

Mathematics Pre-Award Checklist

Set Initial Meeting – *at least four weeks out*

Once you know you're going to submit a proposal, contact [Jennifer Williams](#) to set a time to meet and talk generally about the proposal. Bring any information you have about the proposal to this meeting, including the **RFP or related documents**. If you prefer email to initiate the process, that's fine, but be sure to send the RFP or related documents in that communication. Jennifer will provide a timeline with due dates for each step of the process.

Discussion points:

- RFP or related documents, including method of submission and deadline
- Whether or not this is a continuation or a collaborative effort
- Who the collaborators/subcontractors will be, if any
- Who the Co-PIs will be, if any
- Any preliminary budget plans

Set Budget Meeting – *at least three weeks out*

Once you are ready to create the financial budget for your proposal, contact Jennifer to set a time to review the budget together. If you prefer to email a draft budget and justification & communicate via email/phone, that's fine, too. Know how you'd like to spend the money, and Jennifer will help ensure the costs do not exceed the allowable amount, amounts fall into the correct categories, and budget justifications are written effectively. In addition, budgets may be submitted to the college for advance review (budget preview) prior to the entire proposal being finalized.

Discussion points:

- *Salary:* Who will be receiving salary, their titles, effort/time spent, and if names are known at the time (names are for salary verification only)
- *Materials & Supplies:* Specifics on supplies and materials (don't have to include *all* of these details in justification, but needed to accurately prepare a budget to avoid surprises later). Use language like, "Supplies such as..." and prorate the costs of more expensive supplies to show you've done your due diligence... without limiting yourself. The department pays 5% of the cost of computers.
- *Equipment:* Whether or not any equipment greater than \$5k will be needed. The department pays 5% of the cost of equipment.
- *Travel:* Whether any travel will be needed, by who, where it will be, number of trips, whether foreign or domestic, etc. Again, use language showing you've done your homework in planning your travel budget.
- *Current services:* Whether publishing, printing, equipment maintenance, shipping costs, and/or any other OFF-campus services will be needed.
- *Fixed charges:* Whether property rental, equipment rental, maintenance contracts, insurance and bonding, or ON campus services will be needed.
- *Sub-agreements:* Whether any subcontracts or sub-agreements will be needed.
- *Other Direct Costs:* Whether any tuition will be paid.

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Email Final Documents – *at least two weeks out*

Once the proposal is complete, email Jennifer all proposal documentation. Submit the proposal in pieces if that's easier for you (i.e. title and CV first, with technical portion to follow). Why? The approval process has several layers, and those reviewing and approving the budget need a reasonable amount of time to review your proposal, ask questions, make changes if needed, approve it, and move it to the next level for review. Last-minute submissions run the risk of not being approved by the university, which means no funding will be allowed.

Items often included with proposals:

- Statement of Work/Plan of Work
- Budget and Budget Justification
- Curriculum Vitae (CV)
- Current and Pending Support (CPS)
- Conflict of Interest (if not already up to date)
- Data Management Plan – NSF <http://www.ncsu.edu/sparcs/proposal/dmp.php>
- Technical Proposal, References, Summary
- Anything else required in the RFP or in PINS

Jennifer will review the budget in detail, will check to see if all administrative steps have been followed according to the RFP, and will enter in PINS **at least FIVE business days in advance of the sponsor due date**. She will also respond via email to let you know it's submitted.

PAMS will review and submit to SPARCS for legal review. Once approved, it will go to the sponsor/agency. If not submitted via grants.gov or Fastlane, Jennifer or PAMS C&G will email and/or ship it to the sponsor/agency.

Call Jennifer with Questions – *any time!*

At any point during the proposal process you have questions, including non-financial and procedural questions, don't hesitate to contact Jennifer. If she doesn't know the answer, she'll find out.

Notify Jennifer if you receive –or- are declined an award. She'll transfer any award information to the PAMS post-award manager for post-award handling.

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Congratulations! You've been funded!

This news comes from multiple sources, and the first source is usually from the sponsor (or colleague) directly to the PI via phone call or email (not to your Grants Manager). Once you're notified that you've been funded, there are a few more steps before your proposal transitions from pre-award to post-award state.

This is not authority to spend – not yet. Without a bona fide project number assigned by NCSU, the funds are not yet available.

Click [here](#) to view the flow of processing an award in our University. The sponsor will first will send the award to NC State's Office of Sponsored Programs. They will negotiate the contract if needed, and then send it to University Contracts & Grants, who will assign the project number and send that to our College Contracts & Grants office. PAMS C&G will assign it to an administrator and then send you and our Accounting Department the Notice of Award. Depending on many factors, including how much time the sponsor takes to send the award to us, whether or not there are subcontracts involved (duplicate this process for each institution involved), and whether or not the legal contract to be negotiated has any issues, this process could take as long as several months.

Pre-Award Accounts (formerly K-Accounts)

The University understands the concern with the timing issue caused by the administrative effort that comes with the fiscal responsibilities of award processing. Depending on the funding source, many projects are available for pre-award project numbers/accounts.

A pre-award account is a ledger 5 account that is established before the fully executed award arrives.

A pre-award account is appropriate:

- Only when an award is imminent
- Only when the PI, Department Head, or University has something in writing, from the sponsor, that indicates the award is forthcoming
- Only for the purpose of getting started

What are the Risks?

No Award – If the award does not come to fruition, all expenditures incurred will be the responsibility of the PI's Department.

Pre-Award Costs – If a pre-award account is established with a start date of June 1st, but the actual award comes in with an official start date of July 1st, expenditures between June 1 and June 30 may not be allowable.

How to Apply

Send your written documentation to the pre-award manager, along with the specific funding needed to get your program started (usually enough for the first 90 days), and she will determine if your project is eligible for a pre-award account and submit the necessary forms. Pre-award accounts usually take between one and two weeks to set up.