FUNDAMENTAL EXPECTATIONS for PI/PDs

This guidance applies to all PI/PDs applying for and/or managing grants on behalf of Shepherd University. Compliance will lead to greater success and increased funding for PI/PDs and stakeholders. Questions? Call OSP!

GENERAL

1. Adhere to the "REQUIRED READING FOR SU PI/PDs."
2. Only full-time SU employees may serve as Project Director or Principal Investigator (PD/PI).
3. Work directly with the Office of Sponsored Programs (OSP) from start to finish of all grants.
4. Ensure OSP is alerted about any intended procedural or formal communications with funders.
5. Contact the OSP **at least one month prior to funder due date** via the Intent to Submit form.

PRE-AWARD

6. Fully review and comply with solicitation (FOA, NOFO, RFP, etc.) and application instructions.
7. Arrange administrative assistance ahead of time, as needed, to perform Post-Award responsibilities.
8. Remain available and engaged throughout institutional review to edit proposal as needed.
9. Review all documents with the OSP for submission, which OSP will handle unless noted otherwise.

POST-AWARD

10. Refrain from getting involved with requesting, securing or accepting money from the funder. This includes signing of contracts (see below).
11. **OSP handles signature requests for all grant contracts.** PI/PDs are not authorized to sign sponsored agreements without direction from the OSP or give the impression that they are negotiating on behalf of the University.
12. Document all project expenses and reconcile regularly with the funder-approved budget in Banner.
13. Only charge costs to the grant that are pre-approved by the funder, aligned with your budget, made within the project period and directed to the correct fund/org. Communicate with OSP as soon as prior approvals are anticipated.
14. Cooperate with admin support and/or the following offices to initiate and execute your expenditures:
    a. Procurement – vendors, contractors, consultants, speakers, P-Card use, and (non-IT) purchases
    b. IT Services – purchases related to technological equipment, software, cloud service(s), connectivity to existing cloud(s), and data security/authentication
    c. Financial Aid – scholarships and student employment
    d. Communications – press releases, marketing materials, and branding
    e. Human Resources – creation and fulfillment of new (non-student) employee positions
15. Do not use indirects (from the current grant) to cover project expenses without prior written permission.
16. Whenever practical, please add the grant's internal name and fund/org number in email subject lines.
17. Monitor and plan your budget to use the funding without over-spending, while maintaining a steady "burn rate" (with the exception of equipment which should be purchased early if the storage is available).

PRE-AWARD PROPOSAL DEVELOPMENT & APPLICATION

Please note: Use the following timeline to prepare a short proposal for a modest amount of money. **Significantly more time** *will be needed for larger requests, more complicated applications, or for grant-seekers who are newer to the process.*

(1) No less than **ONE MONTH** (4+ business weeks) before external submission deadline:

→ **Discuss your proposal with direct and senior supervisors (Chair/Director and Dean/VP)**

→ **Complete the SU OSP "Intent to Submit" Form**

→ **Schedule a proposal development meeting and/or early review with OSP staff as soon as practical.**

→ **Initiate request for any third party documents, information or approvals.**

(Statements of Institutional Support, Letters of Commitment, institutional data, etc.)

→ **Identify sources for required cost share and secure documentation via the Cost Share Commitment form (if applicable).**

→ **Review the IRB/IACUC committee meeting calendar and plan your request accordingly (if applicable).**

→ **Alert team members of the proposal so they are aware they will need to review.**

(2) No less than **TWO WEEKS** (10 business days) before external submission deadline:

→ **Email your Complete Proposal Package to OSP for the Institutional Review Team.**

→ **Ensure that you will be available to answer questions, resolve concerns and/or incorporate required changes to the proposal throughout the entire insitutional review process.**

→ **Secure evidence of external collaboration and/or complete Cost Share Commitment form (if applicable).**

→ **Confirm that IRB/IACUC approval is expected before the project start date (if applicable).**

COMPLETE PROPOSAL PACKAGE: FORMAT AND CONTENT

Due to OSP at least **two weeks** before external submission deadlines, please provide ALL the documents listed below as separate attachments or links within **a single email** titled with the internal grant name.

Title and Executive Summary

Short paragraph (1-4 sentences) providing a clear summary of the proposal including:

- Clear, descriptive, unique project title
- Goals of the project
- Briefly describe activities or items to be paid for by the grant
- Benefit to the university, students or community
- Costs to Shepherd (including un-compensated time & required cost-share)

Budget

If the funder provides an Excel template, use it. If not, request an Excel template from OSP.
Use formulas to ensure calculations are correct and easy to follow and check.
Always use standard categories. (i.e. personnel, equipment, materials & supplies, travel, etc.)
Commit ONLY the minimum required amount of cost share or percent of full-time effort (% FTE).

Budget Justification (AKA "budget narrative") *as needed*

Clearly show how expenses were calculated and why they are necessary for project.
For grant programs that request a budget justification, follow those instructions exactly.
Always organize justification categories to mirror the budget. Use clear headings and sub-headings.
For SU, the justification can be a separate document, or a clearly labeled section of budget or narrative.

Narrative

Follow the outline/criteria/prompts in the exact order laid out in the solicitation or instructions.
Use clear headings and sub-headings to make it obvious where you address each topic.
Insert page numbers and check that you have observed length limits (character/word/page).
Have someone other than yourself/your team proofread it.

All Other Documents

Include all other documents required by the funder - EXCEPT for application forms**
If third party participation is required, please initiate those requests as soon as practical.
If multiple additional documents are required, use a checklist and delegate early.
Do not be discouraged if you are unfamiliar with a document type. OSP staff can help.
If funding agency supplies a naming convention for these documents, use it.

**For clarification about which required documents are considered part of the proposal package and which are considered application forms, contact OSP at esamide@shepherd.edu *or 304-876-5095.*

POST- AWARD MANAGEMENT MILESTONES

- **Receive Award Notification, Contract and/or Funder Instructions.** OSP will receive and fully review these documents, comparing award expectations to the proposed project and budget and note any adjustments needed to the contract.

- **CHECK IN:** The PI/PD, OSP, and the Senior Accountant meet to ensure PI/PD has correct project period, reporting requirements, funding coding and the PI/PD understands their responsibilities. This can be an in-person meeting, phone call or an email exchange depending on your needs and preferences.

- **Project Period Starts.** Start spending! Track and monitor all expenditures. Reconcile with Banner regularly. Save documentation/receipts for project expenses, including cost share, and share with OSP and Senior Accountant. (The only other financial data OSP & Senior Accountant have access to is what has cleared in Banner.)

- **If Interim Reports Are Required,** make sure these are provided to the funder by the date and in the manner and format requested. CC OSP or provide copies and a record of submission date. For assistance with the technical/progress or financial report, reach out to OSP and the Senior Accountant well before the deadline. If financial information is needed, work with Senior Accountant to ensure data is correct and in the format required.

- **CHECK UP with OSP.** During the 3rd or 4th quarter(s) of the project year(s), work with OSP to decide if a budget change and/or no-cost extension is needed. Review progress and make a plan for completion.

- **Project Period Ends.** Stop spending; gather & share any expense or cost share documentation not yet provided to OSP.

- **CHECK OUT with OSP:** After the project period ends but before final reports are due, meet with the OSP and Senior Accountant to review successes or challenges and prepare for final reports. OSP can assist with planning the next round of grant funding for the project (if applicable).

- **Final Reports:** Due 30-120 days after the project period. Work with the Senior Accountant to ensure reconciliations are properly performed, all necessary financial documentation is available (including for cost share), and that accurate financial data is being provided in the correct format. For support with the technical/program report, contact OSP as early as practical. When reports are shared with funder, provide copies to OSP and confirm that they were submitted on time.