Purpose: To provide guidance regarding the basic responsibilities of sponsored award administration for the proposal preparation and submission process.

Policy: 1. It is the policy of the Boyce Thompson Institute for Plant Research (BTI) that Principal Investigators (PI) and the Business Office each have unique responsibilities which shall be followed regarding the submission of proposals on sponsored awards.

Principal Investigators (PI):

2. This endorsement indicates that due consideration has been given to the project and it meets BTI's requirements for:

- The substance and merit of the proposed activity including institutional appropriateness and desirability.
- Ensuring staff do not exceed a full-time equivalency (FTE) of 1.0 for all activities combined within the institution, and the possible effects of the proposed commitments on other obligations of the personnel involved.
- Requirements for equipment, facilities, space, and administrative support.
- Compliance with federal, state and BTI policies and regulations on misconduct in research, conflict of interest, drug-free workplace, lobbying, etc.
- Budget, cost sharing and matching funds are approved and documented with all required signatures.
- Writing and certifying the accuracy and originality of a proposal.
- Obtaining appropriate institutional reviews and approvals before submission by PI with assistance from Administrative Assistants:
- The proposal follows program guidelines, includes all required forms, and institutional information is correct.
- Biographical sketches or curriculum vitae are complete, current and include all required elements.
- Facilities and equipment are adequately and accurately described, major equipment is not redundant and already available within BTI and is fully justified.
- Assisting principal investigators / project leaders with proposal preparation and sponsored award administration issues.
- Personnel are or will become BTI employees, at approvable salary rates and levels of FTE so as not to exceed 1.0 FTE for all institutional activities combined.
- If necessary, progress reports, inventions, and other elements are included.
- Current and pending support statements of key personnel are inclusive of all grants and contracts whether paying salary or not, level of effort indicated matches actual activity.

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Business Office:

3. The Business Office is authorized to review and sign proposals on behalf of BTI and reviews a proposal to ensure the following:

- Ensures that the institutional information is correct.
- BTI staff member is eligible as a principal investigator to submit a proposal.
- Proposal has been reviewed and endorsed by required department and BTI administrative officials.
- Budget has been approved and all revisions made based on preliminary review.
- Facilities and administrative (indirect) cost rate is at the appropriate federal rate or at another rate based on sponsor guidelines or BTI approval for a reduction or waiver of the rate.
- Budget narrative matches budget and proposed activities.
- Letters of support, budget and signature of sub-recipient institution included in proposal.
- BTI cost share or matching funds is documented, with amount and sources, and approved by signature or letter of authorizing official.
- Third-party matching funds or cost share are documented by letters of commitment specifying type, amount and period available.
- Compliance with federal regulations on debarment and suspension, lobbying, and drug-free workplace.
- Assisting PI with proposal submission and sponsored award administration issues.

4. Upon receipt of an award, the principal investigator / project leader is responsible for:

- Performing and monitoring work performed, including oversight on any sub-agreements.
- Complying with grant terms and conditions, as well as agency rules and regulations governing the award and institution.
- Hiring and supervising project staff.
- Fiscal monitoring and financial accountability, including monthly review and reconciliation of account activity.
- Preparing and submitting all required reports, including interim and final technical, equipment and invention reports.
- Upon receipt of an award, the Business Office is responsible for:

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- Reviewing, negotiating, and accepting the official award notice and setting up a grant account in the BTI sponsored award accounting system.

- Preparing sub-agreements and approving modifications to agreements.

- Billing for, requesting and depositing the cash or check in payment of the award.

- Preparing and submitting official interim and final financial reports to the funding agency.

- Monitoring project progress and giving approvals for administrative actions such as pre-award expenditures, re-budgeting, no-cost extensions, etc.

- Preparing and submitting all final financial documents and other required reports not submitted by the principal investigator/project leader.

- Coordinating and managing the audit process and preparing appropriate responses to audit issues.

- Assisting principal investigators / project leaders with account monitoring and monthly reconciliation.

- Assisting PI in managing the requirements for equipment, facilities, space, and administrative support.

- Assisting PI regarding compliance with federal, state and BTI policies and regulations including conflict of interest, lobbying, etc.

- Provision of programmatic and fiscal management, to record account charges and reconcile monthly with associated award accounts, monitor personnel or payroll changes, or manage any other project issues as needed.

- Encumbering and paying for all charges for personnel, supplies, travel, equipment, etc. that are in the approved grant budget.

- Assist with preparing documents for payroll and requisitions, either hard-copy on-line as appropriate.