Office of Sponsored Programs Guidance:
Reporting Proposal Type and Proposal Budget Information in RAMSeS
Effective June 14, 2016

BACKGROUND/PURPOSE

As ECU pursues its strategic goal of increasing sponsored program activity, increased monitoring of proposal activity is occurring in academic departments, colleges, and other units. Proposal data at a level of detail never provided before are now being requested by key internal stakeholders. A review of Fiscal Year 2014-2015 and 2015-2016 proposal data in RAMSeS revealed significant inconsistencies in how proposal type and proposal budget information were reported in RAMSeS, negatively affecting the accuracy of proposal activity data. These fields are typically completed by the Principal Investigator or a unit administrator when the RAMSeS proposal file is created.

As part of a data integrity improvement initiative, OSP is providing more specific instructions for entering proposal data in RAMSeS. At the same time, OSP is streamlining the management of multi-year awards that are funded in annual increments.

The purpose of this Guidance is to ensure that, beginning in Fiscal Year 2016-2017, the streamlined process for multi-year awards is implemented and that "Proposal Type," "Initial/Current Budget Period," and "Total Period/Total Request" are consistently reported to ensure the sharing of accurate proposal activity data with University leadership.

MODIFIED PROCEDURE: Routing of Proposals for Incremental Funding on a Multi-Year Project Award

In the past, PIs were required to route a proposal in RAMSeS for each year of incremental funding for a multi-year project award for the purposes of ensuring continuing research ethics, safety, and/or export control compliance and of informing Associate Deans for Research (ADRs) that incremental funding was imminent. More efficient and effective ways of informing ADRs of incremental funding and notifying compliance offices of ongoing projects with compliance concerns have been developed and implemented. Thus, the preparation and routing of annual internal RAMSeS proposals, including those for NIH RPPRs, for approved multi-year projects has become an unnecessary step in internal sponsored project management and is being discontinued.

Effective July 1, 2016, PIs should no longer prepare and route an internal RAMSeS proposal for a new year of funding (Year 2 and beyond) on a multi-year project award.

The following special instructions may apply to multi-year projects that are budgeted incrementally:

- **Incremental Budget Updates:** Even though the sponsor has approved a multi-year budget, submission of updated annual budgets may still be required. This budget update may simply be loaded into the RAMSeS project file but should not be routed for any unit approvals. Only OSP approval is required to submit an incremental budget update to the sponsor for a multi-year project. Please coordinate submission of the budget update with your OSP Grants Officer.
• **NIH Awards**: The RPPR should be placed in the RAMSeS project file upon submission to the sponsor, but no proposal and no RAMSeS routing is required. The next increment of funding will be released by NIH upon RPPR submission and will automatically be processed by OSP.

• **Other Sponsor-Required Reports**: Progress reports submitted to the sponsor, as well as any other required reports or documents, should be attached to the RAMSeS project file throughout the project's life regardless of whether release of the next increment of funding is contingent on the sponsor's receipt of a report.

OSP will continue to receive and process incremental awards and load these into the RAMSeS project file.

Note that any proposals routed for incremental funding on multi-year awards (i.e., those for which a financial request was previously submitted and approved by the sponsor) will be deleted from the RAMSeS record by OSP so that they do not contribute to double-counting of proposal activity.

For non-competitive annual renewal of agreements (typically services agreements that have only minor changes in statement of work and budget), each request for annual funding is considered "New." However, multiple proposals of this nature may be associated with a single RAMSeS project file. Projects that do not repeat on an annual basis will typically have only one proposal--the initial request--associated with the project file, with the possible exception of a proposal for a supplement; the supplement request should be associated with the same RAMSeS project.

Individual projects may continue to have multiple award actions, including Project Financial Guarantees (PFGs), incremental funding, no cost extensions, deobligations, and other amendments. Likewise, a single project may have multiple Banner funds; assignment of a Banner fund number is at the discretion of the Office of Grants & Contracts.

**MODIFIED PROCEDURE: Reporting "Proposal Type" When Initiating a RAMSeS Proposal:**

There are six (6) "Proposal Type" choices available on the RAMSeS Proposal General Information screen.

*Effective July 1, 2016, ECU will use only two (2) of the "Proposal Type" choices--"New" and "Supplement."*

"Proposal Type" is interpreted as a description of the nature of the funds, and only new funds that have not been previously requested from the sponsor are captured in the "Proposal Type." Only the "New" and "Supplement" choices are needed to appropriately define requests for new funds. ECU definitions and guidance on use of these two choices are as follows:

1. **New**: Request for new dollars not associated with an existing contract or grant. Requires submission, routing, and approval of a proposal/budget for new funds not previously requested and approved by the sponsor.

   A "New" proposal may be a competitive or non-competitive proposal/budget for:
   - A new single period or multi-year project not previously funded by the sponsor
   - A single budget period with the same project period
   - A new period of funding for a continuing project that was not previously requested as part of a multi-year request
• Additional funding for an ongoing project accompanied by an extension of the end date of the project or budget period

The "New" proposal type is not used for annual incremental funding on a previously proposed multi-year project that is released upon the sponsor's receipt of an annual progress report.

"New" proposals that include, at a minimum, a project plan and a detailed budget, must be routed for review and approval in RAMSeS.

2. **Supplement**: A request for additional new dollars to expand the scope of work on an existing award without extending the end date of the existing award.

A proposal that includes, at a minimum, a project plan and budget for the supplemental funds, must be routed for review and approval in RAMSeS. The "Supplement" proposal should be associated with the existing RAMSeS project. Note that, if the date is extended, the funds are not a "Supplement," and the request for the additional dollars should be handled as a "New" proposal.

The four "Proposal Type" choices that will no longer be used by ECU after June 30, 2016, are:

- "Pre-Proposal:" Pre-proposals are generally used by sponsors to either screen out ideas that are not of interest or to determine how to constitute a peer review panel. In most cases, detailed budgets and/or firm institutional commitments are not required at the proposal stage. For this reason, OSP does not require the routing, review, and approval of pre-proposals. Any proposal that includes a detailed budget and/or firm institutional commitments should be treated as a "New Proposal," regardless of the terminology used by the sponsor.

- Revision, Resubmission, or Amendment" (was not previously used with any consistency)

- "Renewal (Competitive):" Only NIH uses the term "competitive renewal." It indicates a requested renewal of a previously funded activity for another multi-year project period. Because the funds for the new multi-year period have not been previously requested, this type of proposal should be described as "New" (i.e., it is a request for new dollars). This choice is not used for repeating, usually non-competitive, grants and contracts that require a new budget/scope of work or full proposal on an annual basis. Thus, this choice is never applicable in the Proposal Administration section of RAMSeS.

- "Non-Competing Continuation/Progress Report:" Non-Competing Continuations are specific actions of incremental funding for multi-year awards. As noted above, OSP is no longer requiring routing of internal proposals related to annual non-competitive continuation, incremental funding, so this choice will never be applicable in the Proposal Administration section of RAMSeS.

**UNMODIFIED PROCEDURE: Capturing Proposal Budget Information in RAMSeS**

Proposal budgets may be for a matching budget and project period (usually an annual period) or may include a request for funding for each year of a multi-year project (typical of major federal grants). The RAMSeS Proposal Administration Budget screen requires input of two abbreviated budgets designated as "Initial/Current Budget Period" and "Total Period/Total Request."
1. Reporting the Proposal Budget When the Budget and Project Periods Are the Same (usually a one-year period):

When a project is proposed with a single budget that is the same as the project period (usually one year but sometimes a fractional part of a year or more than one year), enter the initial and total budgets in the following manner in the Budget screen of the RAMSeS Proposal Administration section:

   a. In the Initial/Current Budget Period column, enter the Begin Date and End Date
   b. Enter Total Direct Cost for the period
   c. Enter the F&A Base (e.g., Modified Total Direct Cost upon which F&A will be calculated)
   d. Click on the Change Rate link and enter the allowable/requested F&A Rate (up to two decimal places)
   e. Click on the Calculate Amt link to populate F&A Amount (Note: Failure to use the calculate function may result in computational error)
   f. Click on the Calculate Total link to populate Initial Funds Req (Note: Failure to use the calculate function may result in computational error)
   g. Click on the Click Here if this is a one year project link to populate the Total Period/Total Request with the same figures

Example: Project with identical Budget and Total Project Periods

<table>
<thead>
<tr>
<th>Initial/Current Budget Period</th>
<th>Total Period/Total Request Click Here if this is a one year project</th>
</tr>
</thead>
<tbody>
<tr>
<td>Begin Date: 07/01/2016</td>
<td>Begin Date: 07/01/2016</td>
</tr>
<tr>
<td>End Date: 06/30/2017</td>
<td>End Date: 06/30/2017</td>
</tr>
<tr>
<td>Direct: $100000</td>
<td>Direct: $100000</td>
</tr>
<tr>
<td>F&amp;A Base: $90000</td>
<td>F&amp;A Base: $90000</td>
</tr>
<tr>
<td>F&amp;A Rate: 47.5 %</td>
<td>F&amp;A Rate: 47.5 %</td>
</tr>
<tr>
<td>F&amp;A Amount: $42750</td>
<td>F&amp;A Amount: $42750</td>
</tr>
<tr>
<td>Initial Funds Req: $142750</td>
<td>Initial Funds Req: $142750</td>
</tr>
</tbody>
</table>

2. Reporting a Proposal Budget with Annual Budget Periods Within a Multi-Year Project Period:

When annual budgets are proposed for a multi-year project period, enter the initial and total budgets in the following manner in the Budget screen of the RAMSeS Proposal Administration section:

   a. Complete Steps a-f above to enter Initial/Current Budget Period in the left hand column
   b. In the Total Period/Total Request column, enter the Begin Date and End Date of the multi-year project period
   c. Enter Total Direct Cost for the multi-year project period
   d. Enter the F&A Base for the multi-year period (e.g., Modified Total Direct Cost upon which F&A will be calculated)
   e. Click on the Change Rate link and enter the allowable/requested F&A Rate (up to two decimal places)
   f. Click on the Calculate Amt link to populate F&A Amount (Note: Failure to use the calculate function may result in computational error)
   g. Click on the Calculate Total link to populate Total Funds Req (Note: Failure to use the calculate function may result in computational error)
### Example: Multi-Year Project Period with Annual Budget Periods

<table>
<thead>
<tr>
<th>Initial/Current Budget Period</th>
<th>Total Period/Total Request Click Here if this is a one year project</th>
</tr>
</thead>
<tbody>
<tr>
<td>Begin Date: 07/01/2016</td>
<td>Begin Date: 07/01/2016</td>
</tr>
<tr>
<td>End Date: 06/30/2017</td>
<td>End Date: 06/30/2019</td>
</tr>
<tr>
<td>Direct: $100000</td>
<td>Direct: $310000</td>
</tr>
<tr>
<td>F&amp;A Base: $90000</td>
<td>F&amp;A Base: $300000</td>
</tr>
<tr>
<td>F&amp;A Rate: 47.5% Change Rate</td>
<td>F&amp;A Rate: 47.5% Change Rate</td>
</tr>
<tr>
<td>F&amp;A Amount: $42750 Calculate Amt</td>
<td>F&amp;A Amount: $14250 Calculate Amt</td>
</tr>
<tr>
<td>Initial Funds Req: $142750 Calculate Total</td>
<td>Initial Funds Req: $45250 Calculate Total</td>
</tr>
</tbody>
</table>

Note that, because RAMSeS does not allow input of budget detail for each year of a multi-year project, proposal activity reports prepared for Administration capture the "Total Period/Total Request" figures. "Initial/Current Budget Period" data have limited utility. They may allow some projection of anticipated incoming funds for the first year of a new projects, but RAMSeS does not have the capacity to provide projections of second and later years of funding.

### MODIFIED PROCEDURE: Award Processing by OSP

OSP will continue to process and report in RAMSeS all award actions, including PFGs, initial awards, incremental funding, supplements, amendments, and no-cost extensions. Because award data should reflect the maximum funding initially authorized by the sponsor, award amount will not be reduced in RAMSeS because of a deobligation of funds by the sponsor. However, the deobligation notice will be uploaded to the RAMSeS project file, and OGC will modify the Banner Fund budget accordingly.

For award reporting purposes, awards will be designated in one of three ways:

1. **New**: Zero dollar Project Financial Guarantees (PFGs); funds for a new project; funds for Year 1 of an approved multi-year project; additional funds for an existing award associated with an extension of the award period.

2. **Supplement**: Additional funds for an existing award with no extension of the award period

3. **Non-Competing Continuation**: Incremental funding for Year 2 and beyond of an approved multi-year project; no-cost extensions; other zero dollar actions to update the RAMSeS project

All award actions will be captured in the Award Administration section of RAMSeS to ensure a complete historical record is kept for each project.

### ENHANCED PROCEDURE: OSP Data Quality Monitoring

OSP will check the accuracy of "Proposal Type" entered by the PI or unit administrator, as well as the initial and total budgets, at the time of proposal submission. Once a proposal is approved by OSP and submitted to the sponsor, no changes should be made to these RAMSeS fields. If you observe an error or have any questions, contact your OSP Grants Officer to discuss. These RAMSeS proposal data elements will be double-checked by the Grants Officer on receipt of award. OSP will run periodic and annual data checks to ensure accurate reporting of proposal and award types and initial period and total period budget requests.