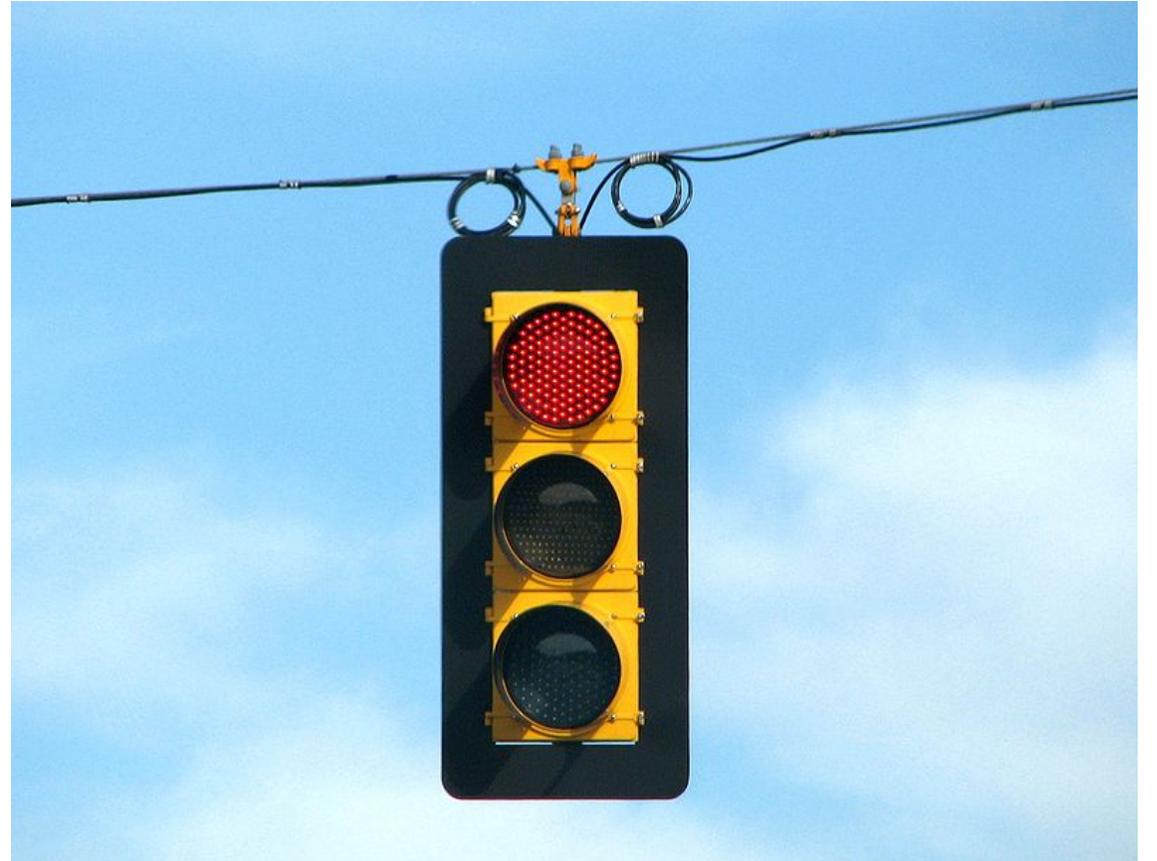


Red Light
Yellow Light
Green Light

How much risk is involved and how should you respond?



The Options

- Red Light: STOP! Do not proceed!
- Yellow Light: Proceed with caution.
- Green Light: Full Speed Ahead!



#1

- A PI's National Science Foundation grant will be expiring next month. He finally got around to looking at your financial reports and noticed that he still has \$20,000 unspent, so he'd like to buy a new electron microscope for his lab.
- **Red Light:** An auditor will see spending funds on a piece of equipment just before a project ends as a red flag. The allocability of the equipment will be questioned. STOP!

#2

A PI needs to start work on her US Dept of Education grant before the current K-12 school year ends, but the award document just arrived at SPO. The project start date is January 1, 2022 and the sponsor allows for 90-day pre-award costs. The PI asks you to process a fund advance as soon as possible.

Green Light: In this case, the award has arrived, the start date is known, the sponsor allows for pre-award costs, and the fund advance will be set up within the 90 day pre-award period. This a low risk situation for the University. Proceed.

#3

A PI approaches you about applying for an upcoming grant proposal, and wants to know what university overhead rates need to be considered. After you show him the different F&A rates on SPO's website, he tells you, "I'm not going to be doing any research, and I'm 'off-campus' because I'm working from home because of COVID, so I'll just let the program officer know we need 16.5% for overhead.

Red Light: PIs must complete the Off-Campus F&A questionnaire before a decision is made about using the off-campus rate. Working from home is not considered off-campus. STOP!

#4

A PI of an NSF award has realized that she needs less funds for supplies than she originally thought. She wants you to re-budget some of the funding for supplies into an existing budget line for participant support costs so that she can offer more participant stipends. If you do this, the University will collect less overhead, but it will not change the SOW.

Green Light: In this case, funds are moving FROM the supply line TO an existing allowable Participant Support Cost. Prior approval from NSF is not needed. Go!

#5

You are helping a PI complete her other support document for a research proposal to NIH. You are aware that she has not listed her consulting work with a local Medical Center.

Yellow Light: In this situation, you would need to know more so a cautious approach is best. You would need to know if the consulting work is related to research. If so, it should be reported. Non-research consulting does not need to be reported as “other support.” Proceed with caution.

How risky are you?



Daredevil?



Anti-Risk?



A risk manager?



See you on February 23, 2022!