Office of Sponsored Programs Summer Workshop

*Grant Administration at WKU*

July 16, 2015  •  DSU 2122

**Agenda for Principal Investigators/Project Directors**

An opportunity for faculty and staff who serve as principal investigator/project director to learn more about managing an internal and/or external grant.

<table>
<thead>
<tr>
<th>Time</th>
<th>Session Title</th>
<th>Presenter(s)</th>
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</thead>
<tbody>
<tr>
<td>1 - 1:05 p.m.</td>
<td>Welcome</td>
<td>Nancy Mager</td>
</tr>
<tr>
<td>1:05 - 1:30 p.m</td>
<td>Internal Grants for Faculty</td>
<td>Kim Newell, Molly Swietek</td>
</tr>
<tr>
<td>1:30 - 2:00 p.m</td>
<td>Externally Funded Grants</td>
<td>Molly Swietek</td>
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<tr>
<td>2:00 - 2:30 p.m</td>
<td>Post-award: Chart of Accounts, Reallocations, No-cost Extensions, Reporting</td>
<td>Nancy Mager</td>
</tr>
<tr>
<td>2:30 - 2:40 p.m</td>
<td>Break</td>
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<tr>
<td>2:40 - 3:00 p.m</td>
<td>Contracts &amp; Agreements Intellectual Property</td>
<td>Nancy Mager</td>
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<tr>
<td>3:00 - 3:20</td>
<td>Research Integrity/Compliance</td>
<td>Paul Mooney</td>
</tr>
<tr>
<td>3:20 - 4:00 p.m</td>
<td>Grants &amp; Contract Accounting</td>
<td>Sophie McAdams</td>
</tr>
<tr>
<td>4:00 p.m.</td>
<td>Evaluations &amp; Closing Remarks</td>
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</tbody>
</table>
## Who Ya Gonna Call?

<table>
<thead>
<tr>
<th>Unit</th>
<th>Contact Names</th>
<th>Duties</th>
<th>Contact Information</th>
</tr>
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<tbody>
<tr>
<td><strong>Pre-award</strong></td>
<td></td>
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<tr>
<td><strong>Sponsored Programs</strong></td>
<td>Nancy Mager</td>
<td>Authorized institutional representative; approves cost sharing; negotiates F&amp;A rate; accepts awards; approves payroll forms</td>
<td>745-4652 <a href="mailto:nancy.mager@wku.edu">nancy.mager@wku.edu</a></td>
</tr>
<tr>
<td></td>
<td>Molly Swietek</td>
<td>Directs <strong>pre-award</strong> and internal grant services; finds funding; professional development activities/training; coordinates collaborative grant efforts; develops proposal concepts.</td>
<td>745-5853 <a href="mailto:molly.swietek@wku.edu">molly.swietek@wku.edu</a></td>
</tr>
<tr>
<td></td>
<td>Emily Burns</td>
<td>Coordinates <strong>pre-award</strong> operations; finds funding opportunities; interprets proposal guidelines; develops budgets; edits/submits proposals.</td>
<td>745-2160 <a href="mailto:emily.burns@wku.edu">emily.burns@wku.edu</a></td>
</tr>
<tr>
<td></td>
<td>Katie Muchmore</td>
<td><strong>Pre-award</strong> – Finds funding opportunities; interprets proposal guidelines; develops budgets; edits/submits proposals.</td>
<td>745-8895 <a href="mailto:katie.muchmore@wku.edu">katie.muchmore@wku.edu</a></td>
</tr>
<tr>
<td><strong>Post-award</strong></td>
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<tr>
<td><strong>Sponsored Programs</strong></td>
<td>Regina Allen</td>
<td><strong>Post-award</strong> – Receives funding notifications; completes award forms; sets up Chart of Accounts; requests no-cost extensions, budget reallocations; database management</td>
<td>745-5852 <a href="mailto:regina.allen@wku.edu">regina.allen@wku.edu</a></td>
</tr>
<tr>
<td></td>
<td>Marilyn Anderson</td>
<td><strong>Post-award</strong> – Receives funding notifications; completes award forms; sets up Chart of Accounts; submits final award reports; requests no-cost extensions, budget reallocations; sub awards</td>
<td>745-4652 <a href="mailto:marilyn.anderson@wku.edu">marilyn.anderson@wku.edu</a></td>
</tr>
<tr>
<td></td>
<td>Diane Amos</td>
<td><strong>Post-award</strong> – Database entry; final reports; award routing and documentation</td>
<td>745-4009 <a href="mailto:diane.amos@wku.edu">diane.amos@wku.edu</a></td>
</tr>
<tr>
<td><strong>Grants &amp; Contracts Accounting</strong></td>
<td>Sophie McAdams</td>
<td>Approves: invoices and financial reports to sponsors, journal vouchers, award set-up and award close out; calculates and reports monthly F&amp;A revenue; completes annual financial reports for auditors and outside agencies; reconciles grant revenue and expense; and Summer Effort Certification.</td>
<td>745-5338 <a href="mailto:sophie.mcadams@wku.edu">sophie.mcadams@wku.edu</a></td>
</tr>
<tr>
<td></td>
<td>Christy Murphy</td>
<td>Academic year Time and Effort reporting; Academic year Effort Certification; one-on-one PI &amp; support staff training; grants receivable; prepares invoices and financial reports to sponsors</td>
<td>745-2247 <a href="mailto:christy.murphy@wku.edu">christy.murphy@wku.edu</a></td>
</tr>
<tr>
<td></td>
<td>Mary Nunn</td>
<td>Assigns set up for new awards in Banner; Form 16 and EPAF approvals; inter account approvals; one-on-one PI &amp; support staff training; grants receivables; and prepares invoices and financial reports to sponsors</td>
<td>745-5340 <a href="mailto:mary.nunn@wku.edu">mary.nunn@wku.edu</a></td>
</tr>
<tr>
<td></td>
<td>Jessica Clemons</td>
<td>One-on-one PI &amp; support staff training; grants receivable; prepares invoices and financial reports to sponsors</td>
<td>745-5332 <a href="mailto:jessica.clemons@wku.edu">jessica.clemons@wku.edu</a></td>
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<td></td>
<td>Alicia Haley</td>
<td>Approves: Reallocations, Requisitions, Payment Authorizations, Travel Vouchers, Feeds (Procard, Postage, Print, Phone, etc.) and Interaccounts; expense &amp; budget data entry; index set up; terminates awards and maintains terminated file system.</td>
<td>745-8882 <a href="mailto:alicia.haley@wku.edu">alicia.haley@wku.edu</a></td>
</tr>
<tr>
<td><strong>Everything In-between</strong></td>
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<tr>
<td><strong>Research Compliance</strong></td>
<td>Paul Mooney</td>
<td>Compliance officer; administers Institutional Review Boards</td>
<td>745-2129 <a href="mailto:paul.mooney@wku.edu">paul.mooney@wku.edu</a></td>
</tr>
<tr>
<td><strong>Financial Affairs/IT</strong></td>
<td>Seroba Hardcastle</td>
<td>Banner access and training</td>
<td>745-4196 <a href="mailto:seroba.hardcastle@wku.edu">seroba.hardcastle@wku.edu</a></td>
</tr>
<tr>
<td><strong>Enterprise Systems</strong></td>
<td>Barbara Scheidt</td>
<td>Troubleshoots technical problems in Banner</td>
<td>745-8812 <a href="mailto:barbara.scheidt@wku.edu">barbara.scheidt@wku.edu</a></td>
</tr>
<tr>
<td><strong>Human Resources</strong></td>
<td>Sherry Merkling</td>
<td>EPAFs (to put new employee on payroll, to make a one-time payment, or to make changes for an existing employee)</td>
<td>745-5364 <a href="mailto:epaf.help@wku.edu">epaf.help@wku.edu</a></td>
</tr>
<tr>
<td></td>
<td>Jessica Powell</td>
<td></td>
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<tr>
<td><strong>Payroll (WAB)</strong></td>
<td>Tommie Driver</td>
<td>Form 16s (summer or supplemental pay)</td>
<td>745-5352 <a href="mailto:tommie.driver@wku.edu">tommie.driver@wku.edu</a></td>
</tr>
<tr>
<td><strong>Purchasing (SSB)</strong></td>
<td>Maxine Hardin</td>
<td>Purchasing cards and personal services contracts</td>
<td>745-4252 <a href="mailto:maxine.hardin@wku.edu">maxine.hardin@wku.edu</a></td>
</tr>
<tr>
<td><strong>Travel (WAB)</strong></td>
<td>Lee Ann Sowell</td>
<td>Travel forms and travel-related questions</td>
<td>745-5327 <a href="mailto:leeann.sowell@wku.edu">leeann.sowell@wku.edu</a></td>
</tr>
<tr>
<td><strong>Internal Grants Program</strong></td>
<td>Pre-Award Team (Swietek, Burns, Muchmore)</td>
<td>Research &amp; Creative Activities Program (RCAP) – Programmatic development &amp; operations; training; expenditure monitoring; closeout</td>
<td>745-5853 <a href="mailto:internal.grants@wku.edu">internal.grants@wku.edu</a></td>
</tr>
<tr>
<td><strong>Sponsored Programs</strong></td>
<td>Kim Newell</td>
<td>Faculty-Undergraduate Student Engagement (FUSE) – Programmatic operations; expenditure monitoring; closeout</td>
<td>745-6733 <a href="mailto:fuse@wku.edu">fuse@wku.edu</a></td>
</tr>
</tbody>
</table>

The Faculty-Undergraduate Student Engagement (FUSE) program fosters active engagement in the areas of research, creative and/or scholarly activities, and/or artistic performances.

**General Overview:**

- All areas of research, creative activity, and artistic performance are eligible.
- Projects must be student-initiated, although the initial concept can originate from the faculty mentor.
- All undergraduate students in good academic standing who will reach at least sophomore status at the time of award can apply.

**Award Information:**

- Up to $3,000 that can be used as follows:
  - project-related expenses (including travel needed to carry out research)
  - student to travel to a conference to present results of the work
  - travel for the faculty member to accompany student to that conference
  - International FUSE projects receive an additional $1,000
- Scholarship for tuition for a one-hour course (if the course results in an increase in tuition)
- $500 awarded to the student upon successful completion of the project
- $1,000 from college to department of the faculty mentor – $500 for faculty’s professional development and $500 for the department to incentivize student-faculty research

**Expected Outcomes:**

- Student should take “UC 400: Mentored Research Experience” (coursework is the FUSE project itself).
- Student must present a poster or talk, or stage a performance or exhibit, at a national or regional conference, or other venue appropriate to the nature of the work.
- Student must contact the Office of Scholar Development to discuss scholarship options.
- Faculty member should submit publication(s), with appropriate authorship, based on the work.
- Student should participate in WKU’s annual REACH week held in the Spring.

**Deadlines:**

Applications are accepted twice a year. Calls for proposals are announced at the beginning of the Fall and Spring semesters.

email fuse@wku.edu
visit wku.edu/research/fuse

FUSE is supported by the WKU Office of Academic Affairs & Office of Research
RESEARCH & CREATIVE ACTIVITIES PROGRAM (RCAP)
RCAP OVERVIEW

RCAP funding supports eligible faculty in their pursuit to develop research and/or creative activities projects.

**Category I**
- Awards up to **$16,000**
- “Seed” money to enhance the competitiveness of a proposal for external funding

**Category II**
- Awards up to **$8,000**
- Support for the development, expansion, or enhancement of scholarship and/or creative & performing arts
PROGRAM TRACKS

S
- Singular
- Focused research, scholarly or creative project

C
- Inter-Collegiate
- Collaborations between two or more WKU colleges

E
- External/inter-institutional
- Collaborations with other institutions (cost share required)
RCAP

- Eligibility: All full-time faculty and instructors on all campuses
- Call for Proposals: once a year
- Project Period: 18 months (add’l six months to complete Final Report)
- Applications available online, submitted via email

[www.wku.edu/sponsoredprograms/internal-funding.php](http://www.wku.edu/sponsoredprograms/internal-funding.php)
All expenditures must:
- Follow University policy
- Be consistent with the approved RCAP project
- Receive approval from the OSP

To receive approval:
- Submit all expenditure forms to OSP (Potter Hall 301) or email internal.grants@wku.edu for transfer (hardcode) requests
- Student employment must be pre-approved online: www.wku.edu/sponsoredprograms/rcap-studentemployment.php
- Reference awardee’s name & the RCAP award number on all forms
- Direct questions to internal.grants@wku.edu
Awardees should individually track expenditures/balances on their RCAP award.

The OSP also tracks expenditures/balances on all RCAP awards.

Email internal.grants@wku.edu if:
- you would like to reconcile your budget spreadsheet
- you need to move/reallocate funds between categories
- you would like to request a “no-cost extension” – no additional money, just more time
- you are submitting your Final Report
PAYING FOR ITEMS USING RCAP FUNDS

All expenses associated with your RCAP award must be consistent with the approved project budget. Expenses charged to your department’s index or purchasing card will be reimbursed from the Faculty Research index 222100. Reimbursements must be approved by the Office of Research & Sponsored Programs. Please reference your RCAP award number on all expenditures. Do not spend out-of-pocket for purchases unrelated to travel.

COST SHARE INFORMATION – All cost share is subject to substantiation.

If the RCAP project includes cost share (whether committed from a department, college, or external entity), the cost share must be expended by the source committing those funds as originally outlined in the project budget. Cash cost share should not be transferred to the RCAP index. The project’s Principal Investigator (PI) is responsible for making sure the cost share is expended from all identified funding sources, including co-investigators’ portions of cost share commitments and any external collaborators committing funds.

If a portion of the cost share is faculty course release time, you must provide documentation of a standard and a modified course load for the semester/year in which the course release occurred when completing the Final Report Form at the end of the RCAP project.

TRAVEL

NOTE: All travel must be approved PRIOR TO departure by the Office of Academic Affairs (including travel outside of the continental U.S.). Employee Travel Authorization Form: http://www.wku.edu/academicaffairs/forms/forms.php. For specific questions and policy information contact the Travel Office at 745-5327.

- Be aware that you can only be reimbursed for the least expensive method of travel.
- Notify your department head of your travel plans prior to departure, as your department may have internal paperwork regarding liability and disability that must be completed.

When possible, pay for up-front travel expenses (such as airline tickets) using your department Purchasing Card. Once the charges hit Payment Net, your Office Associate can e-mail internal.grants@wku.edu to request that the charges be transferred (hardcoded) to the Faculty Research Index #222100.

Out-of-pocket travel expenses (such as per diem, hotel, taxi fare, etc.) can be reimbursed AFTER you travel by submitting a Travel Voucher: http://www.wku.edu/finadmin/travel/

- After departmental approval, make sure the Travel Voucher is routed to the Office of Research & Sponsored Programs (ORSP) in Potter Hall 301 for approval. All approved Travel Vouchers will be routed by ORSP to the Travel Office for further processing.

Please reference the RCAP Award Number on all payment requests!

ORDERING MATERIALS AND EQUIPMENT

Note: All supplies and equipment become the property of the department in which they were purchased after the RCAP award has ended. All equipment purchased with RCAP funds must be permanently housed at WKU.

Order materials and supplies (individual items under $2,000) using your department purchasing Card. Once the charge hits Payment Net, your department’s Office Associate can e-mail internal.grants@wku.edu (put “HARDCODES” in the subject line) to request that the charge is transferred (hardcoded) to the Faculty Research Index #222100. OSP will then email the approval to pcard.admin@wku.edu for processing.

- Make certain to mention that WKU is tax-exempt! The tax-exempt number is located on the Purchasing Card.

To order equipment (individual items $2,000 or more) work with your Office Associate to complete a Purchase Requisition via TopShop, utilizing your department’s index. Once the purchase is complete, initiate an inter-account to reimburse your department. It is strongly suggested to obtain pre-approval from internal.grants@wku.edu before purchasing equipment.

Please reference the RCAP Award Number on all payment requests!

PAYING FOR PERSONNEL INSIDE AND OUTSIDE THE UNIVERSITY

Please follow standard WKU procedures for paying personnel and contact internal.grants@wku.edu with questions regarding personnel payment options. All requests must be sent to ORSP and approved by the ORSP’s authorized representative (Molly Swietek), who must also be an approver on EPAFs. All students to be paid with RCAP funds via Student Financial Assistance must first be approved by ORSP using the RCAP Student Employment Form.

If paying human subjects participants, refer to the following website for additional information: http://www.wku.edu/compliance/irb_payments.php. Please reference the RCAP Award Number on all payment requests!

Questions? Email internal.grants@wku.edu
OSP PRE-AWARD

- Pre-Award Services
  - Search for funding opportunities
  - Establish a timeline for preparing a grant submission
  - Assist with proposal development
  - Develop the proposal budget
  - Coordinate the Sign-off Sheet approval process
  - Edit, review, and submit proposals

Contact proposal.development@wku.edu
Join our funding listservs – see PURPLE sheet

PIVOT

- Keyword search capabilities
- Create and save funding opportunity searches
- Track funding announcements
- Automatically receive funding notices and updates
- Share funding opportunities with others
- Search for collaborators within and outside of WKU

www.wku.edu/sponsoredprograms/external-funding.php
# Guidelines for Submitting a Grant Proposal for Extramural Funding

Each college has a dedicated Office of Sponsored Programs Grants Coordinator. To contact your representative, email proposal.development@wku.edu

<table>
<thead>
<tr>
<th>Proposals involving.....</th>
<th>As soon as possible</th>
<th>Three Weeks</th>
<th>Ten Days</th>
<th>Seven Days</th>
<th>Five Days</th>
<th>Day Before Deadline</th>
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<tbody>
<tr>
<td>An individual Principal Investigator or multiple PIs from within WKU</td>
<td>Notify OSP of your intent to submit a proposal</td>
<td></td>
<td></td>
<td>Internal Budget FINALIZED (including cost share, if required by sponsor)</td>
<td></td>
<td>8:00 a.m. Final MINOR edits to narrative due to OSP</td>
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<tr>
<td></td>
<td>Provide the sponsor guidelines / Request for Proposal</td>
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<td>DRAFT project summary &amp; narrative submitted to OSP</td>
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<td>ALL institutional approvals completed</td>
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<td>Begin budget development (a draft will be prepared by OSP)</td>
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<td></td>
<td>ALL other proposal content FINALIZED (biosketch, facilities, references, etc.)</td>
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<td>Following verification of approvals and final review, OSP submits the proposal before or on the sponsor’s due date</td>
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<td></td>
<td>Provide contact information for external collaborators and/or sub-recipients</td>
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<td>Institutional approval routing underway (OSP)</td>
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<td>OSP will generate a checklist of all required proposal pieces (narrative, biosketch, etc.)</td>
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<td>If the proposal is a resubmission, a copy of the reviewers’ comments, if any, should be submitted to OSP</td>
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<td>External Collaborators or Subrecipients</td>
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<td></td>
<td>Budget FINALIZED with sub-recipient(s)</td>
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<td>Submit a DRAFT budget justification</td>
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<td></td>
<td>Sub-recipient risk analysis completed (OSP)</td>
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Proposals not adhering to these guidelines are at risk of not being submitted to the sponsor.
OSP Grants Coordinator emails

- Detailed timeline of proposal submission due dates to OSP

<table>
<thead>
<tr>
<th>Deadline</th>
<th>Task</th>
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<tbody>
<tr>
<td>05/18/2015</td>
<td>Contact OSP if a subaward will be included in your proposal</td>
</tr>
<tr>
<td>05/26/2015</td>
<td>Finalized/Sent to OSP: Budget, Project Start/End Dates, Project Title, Co-PI names</td>
</tr>
<tr>
<td>05/28/2015</td>
<td>Final draft of all proposal pieces sent to OSP</td>
</tr>
<tr>
<td>06/01/2015</td>
<td>Internal Approval: Sign-off Sheet signed/approved, returned to OSP</td>
</tr>
<tr>
<td>06/03/2015</td>
<td>Minor revisions to final documents sent to OSP by 8:00 am</td>
</tr>
</tbody>
</table>

- A detailed checklist of all required proposal pieces is attached
- Cc: Department head and Dean (or assistant/associate dean)
Proposal Development Quick Guide

OSP

Timeline/Checklist for: ___________________________ Pi’s Name

Sponsor/Funding Agency: US Department of Agriculture

Program: Agriculture and Food Research Initiative

Deadline: January 1, 2016

General:
• Font size must be at least 12 point
• Margins must be at least one inch in all directions
• Title each attachment in the document header and save each file with the referenced name

Proposal Pieces:

_____ Project Summary is limited to 250 words. Title the attachment as ‘Project Summary’ in the document header and save file as ‘ProjectSummary’. A recommended template for the Project Summary/Abstract can be found at: http://www.nifa.usda.gov/funding/templates/project_summary.doc.

_____ Project Narrative: 18-Page. Title the attachment as ‘Project Narrative’ in the document header and save file as ‘ProjectNarrative’.

_____ Bibliography & References Cited – No Page Limit. Title the attachment as ‘Bibliography & References Cited’ in the document header and save file as ‘BibliographyReferencesCited’.

_____ Facilities & Other Resources – No Page Limit. Title the attachment as ‘Facilities & Other Resources’ in the document header and save file as ‘FacilitiesOtherResources’.

_____ Equipment – No Page Limit. Title the attachment as ‘Equipment’ in the document header and save file as ‘Equipment’.

_____ Biographical Sketch – 2-Page Limit (excluding publications listings) per PD, co-PD, senior associate, and other professional personnel. Title the attachment as ‘Biographical Sketch’ in the document header and save file as ‘BiographicalSketch’.

_____ Budget Justification – No Page Limit. Title the attachment as ‘Budget Justification’ in the document header and save file as ‘BudgetJustification’.
SIGN-OFF SHEET (SOS)

- WHAT: OSP’s internal routing form required for all proposals submitted to external sponsors
- WHY: To obtain official approval of the plans and commitments contained in the proposal & budget
- WHEN: Must be fully signed by all required parties prior to OSP’s submission to the external sponsor
- WHO:
  - All principal investigators/project directors and anyone receiving salary support from the external grant
  - Department/unit heads and deans/VPs of those named above
  - OSP ~ on behalf of WKU and/or WKU Research Foundation
OSP pre-populates most information on the SOS
All signatories should review the SOS for accuracy
Any section highlighted in **GREEN** should be filled out by project signatories
Cost share (**that portion of the project costs borne by WKU or a third-party**) should be thoroughly reviewed for correct amounts, index numbers & account codes
Electronic signatures accepted
When signing the SOS, all parties are agreeing to the post-award responsibilities and accountability terms and conditions
Pre-Award QUESTIONS?

Contact OSP

Call: 270-745-4652
Email: proposal.development@wku.edu
Visit: Potter Hall 301
Click: wku.edu/sponsoredprograms/pre-award
POST-AWARD

- Charts of Accounts
- Reallocations
- No-Cost Extensions
- Reporting

Please remember that this information is related to *externally-funded* projects.
The Sign-off Sheet’s Role at the Award Stage

- Project approval and acknowledgement
- Time Commitment
- Resource Commitment
- Cost-sharing Commitment – Cash/In-kind/3rd Party
- The PI/PD should know what they are signing.
- The Department Head and Dean should know what they are signing.
After the Award Document is Received

• If the award amount is the same as proposed and no budget revisions are needed, OSP sets up the chart of accounts (index).

• If the award is less than proposed, OSP will work with the PI to revise the budget.
Approved Budget to Chart of Accounts

• The Chart of Accounts (COA) is the official document that sets up the index and budget and will be based on the award document, the applicable sponsor guidelines, the sign-off sheet and the budget.

• Signatures are no longer required on the COA, so you can understand why the signatures on the sign-off sheet are CRITICAL.
How the COA Relates to Banner

- Grants & Contracts Accounting (GCA) assigns index number(s) and sets up your budget in Banner.
  - 5-xxxxx for grant funds from sponsor
  - 6-xxxxx for **cash cost sharing** from WKU funds
- OSP will then send you a copy of the fully executed chart of accounts along with a copy of the budget and the award document.
Reallocations

- I want to make a purchase but I don’t have money in the budget line. What do I do?

Electronically submit an “External Grant Reallocation Request Form”

www.wku.edu/sponsoredprograms/reallocation.php

OCSE reallocations/budget transfers go through Cindy.
CEBS reallocations/budget transfers go through Steva.
Reallocations (Continued)

- OSP will:
  - review the award document for guidelines concerning re-budgeting.
  - either contact the sponsor or complete the Banner budget transfer for you.
  - send the PI and the office associate the journal number.
- GCA will complete the process in Banner once all necessary approvals are obtained.
Reporting, Part I

• Financial - Work with GCA on financials
  • *No one else on campus is authorized to submit financials!*

• Interim Programmatic/Technical
  • Review the award document to determine when (if) the reports are due and in what format.
The End Is Near…

• If you need a no-cost extension, request it early!

• Justification for a no-cost extension:
  
  • Valid: The project outcomes depend on rain water sampling throughout the calendar year and we experienced a severe drought that made sample collection impossible.

  • Not valid: I have money left.
No-Cost Extension (NCE)

- Electronically submit an “External Grant No-Cost Extension Request Form”
  

- OSP will review the award document for guidelines concerning NCEs.

- OSP will contact the Sponsor requesting the NCE and will notify you of their decision.
Reporting, Part II

- Final Programmatic/Technical

  - Again, review the award document to determine when the report is due and in what format.

  - Please let OSP know when the final technical report has been submitted to the sponsor by e-mailing a complete, electronic copy of the report to sponsored.programs@wku.edu

  - *The sponsor may not pay the final invoice until after the final technical report is approved!*
THANK YOU!

We hope this gives you a better understanding of what to expect when your proposal is awarded.
CONTRACTS AND RESEARCH AGREEMENTS

OFFICE OF SPONSORED PROGRAMS
WHAT IS A RESEARCH CONTRACT?

• A legal document
• WKU is the contracting party, not PI
• Has specific deliverables and milestones
• Dictates relationship between parties
Who gets what?

- Inventions – patentable device or method
- Works – copyrightable authorship
- Know-how – non patentable
- Trade Secrets
ESSENTIAL ELEMENTS OF RESEARCH CONTRACTS:

PUBLICATION RIGHTS

• University’s mission is to create and disseminate knowledge
• Satisfies tax-exempt status
• Industry seeks to keep information secret for competitive advantage
• Confidentiality clause can keep the information proprietary for a defined period of time (usually two years or less)
ESSENTIAL ELEMENTS OF RESEARCH CONTRACTS:

INDEMNIFICATION

Indemnification provides the ability to restore the victim or a loss, in whole or part, by payment, repair or replacement.

However, WKU cannot be responsible for actions other than their own:

Each party to this Agreement shall be responsible for its own acts and/or omissions and those of its officers, employees or agents...
WKU is vested with sovereign immunity and does not carry general liability for itself, agents, officers, employees, or students. Any claim for negligence brought against WKU is governed by the Kentucky Board of Claims Act, KRS 44.070 et.seq.
ESSENTIAL ELEMENTS OF RESEARCH CONTRACTS:

PAYMENT TERMS

• Milestone based?
• Based on satisfactory results?
• Based on reasonable efforts to perform the work as stated?
• Based on a stated deadline?
ESSENTIAL ELEMENTS OF RESEARCH CONTRACTS:

PERIOD OF PERFORMANCE

Include an end date with a clause that it may be renegotiated upon mutual agreement of the parties.
ESSENTIAL ELEMENTS OF RESEARCH CONTRACTS:

EXPORT CONTROL

Industry and universities have an obligation for export control compliance.

- Identify any issues early, especially when sharing confidential and proprietary information. Contract OSP as soon as possible.

Export controlled items may include, software, equipment, technology, materials, IP, etc.
TYPES OF AGREEMENTS

FEE FOR SERVICE

Sponsor owns the data, reports, drawings, materials, inventions

The service is routinely performed using established methods and techniques;

The service does not involve any expert analysis or discretionary judgment;

No intellectual property or new knowledge is anticipated;

The service does not depend on the expertise of one individual;

No cost sharing or matching funds are required;

No subcontracts or pass-through funding to another entity is contemplated.
TYPES OF AGREEMENTS CONTINUED

Umbrella Agreements

Often simplifies the contracting process

A flexible contract framework with terms and conditions that take into account future opportunities

Umbrella agreements set out general principals that will apply to more specific give-and-take contracts in the future
**CONTRACT NEGOTIATION**

- Involve OR/OSP as early as possible
- Use templates as starting points of the discussion
- OSP is the only official office authorized to accept binding terms of research contracts. PI may discuss scope of work (SOW) and budget with sponsor.
- OSP will confer with Counsel and Office of Research Integrity as needed.
GETTING TO YES

PI must sign prior to OSP sign-off
Scope of Work (SOW) must be included
Budget must be included

(Refer to the information included in our Budget Preparation Information on OSP website)
Intellectual Property Workshop

Nancy Mager
Office of Sponsored Programs

July 2015
What is Intellectual Property?

Four Areas:

- Patent
- Copyright
- Trademark
- Trade Secrets
Patents

- Patents ensures protection to the inventor(s) of new and useful processes, machines, manufactured items, compositions of matter.
- Less commonly also protects designs and on plant matter.

Gives inventor(s) the right to exclude others from making, using or selling an invention that is ‘claimed’ in the patent.
You may be able to obtain a patent on an improvement of someone else’s idea. In this case you will receive exclusive rights to the improvement only, not to the underlying invention.

Patents are granted by government, not automatic, and geographically limited to country where issued.
Copyright

- Protects original works, i.e., books, journal articles, videos, recordings, software.

It is an exclusive right to copy, distribute, perform and make derivative works.

Ideas cannot be copyrighted. Only the actual expression of your idea is protected.
Copyright, continued

- Copyright protection is automatic.
- Copyrights are limited by time.
- A copyright owner may license its rights to others.
Trademarks

- A commercial gimmick used to identify a product (or service, called a ‘service mark’).
- Includes words, names, symbols, sounds, etc. that consumers associate with a product, i.e., “Just Do It”
- Like patents, granted by the government
- Applied to domain name registration.
Trade Secrets

- A concept the derives competitive economic value in the marketplace from its secrecy
- Deliberately maintained
Guidelines

- Any invention, discovery, etc., which results from activities carried out at the University or with substantial aid of its facilities or funds shall be disclosed to the University, shall be the property of the University and shall be assigned to the University or a University-designated organization.

- [wku.edu/ip/documents/wku_ip_disclosure_form_012913.docx](wku.edu/ip/documents/wku_ip_disclosure_form_012913.docx)
When do IP issues arise within the University?

- As a by-product of sponsored research grants
- As a result of a sponsored research agreement
- In the creation of course materials
- In the transfer of tangible properties out of and into the University
- Through collaborations with other institutions
- Through the use of third party proprietary research materials
- During clinical trials (not common but possible)
When does IP Committee become involved in the research process?

New Invention Disclosures

Inter-institutional Agreements

License Agreements

Option Agreements

Material Transfer Agreements (MTAs) – IP clauses

Sponsored Research Agreements – IP clauses

General advising of faculty, students, staff – IP issues, licensing, working with industry
University and Industry Negotiations
Best Practices

- Strive for excellent communications – professional, clear and effective
- Fully understand the goals, interests, priorities and constraints of the university
- Understanding the goals, interests, priorities and constraints of the other party
- Discuss the above at the outset of negotiations
- Establish clear understandings and manage expectations within your own organization
- Respond in a timely manner
MISSION
The Western Kentucky University Research Compliance Program is committed to the highest standards of integrity and quality. All research activities at WKU are governed by institutional policies and compliance committees that are imposed by federal and state laws. Non-compliance can not only result in harsh penalties to WKU, but also to the individual researcher. It is the mission of WKU to foster an environment of compliance and promote the responsible conduct of research.

IRB - Human Subjects
All research that involves the use of humans (e.g., survey, experimental, evaluation, biomedical research) must be approved by the Institutional Review Board. The Institutional Review Board is charged with the responsibility of maintaining institutional compliance with the U.S. Office of Human Research Protections regulations regarding the use of human subjects in research.

Responsible Conduct of Research (RCR)
Responsible Conduct of Research (RCR) is designed to increase the knowledge of and coordinate the practice of responsible and ethical research to Western Kentucky University researchers.

Animal Research
All animal use in instructional, demonstration or research purposes must receive prior approval from the Institutional Animal Care and Use Committee (IACUC).

Export Controls
Western Kentucky University believes that teaching, research, and service shall be conducted openly and without prohibitions or restrictions to the publication and dissemination of the results of academic and research activities. However, several federal laws require WKU to obtain federal authorization before foreign nationals are allowed to participate in research involving specific technologies or before the sharing of research information with persons who are not citizens of the United States or permanent resident aliens. Western Kentucky University is committed to compliance with U.S. export laws and regulations governing transfer and export of controlled hardware, software, and data.

Biosafety
Western Kentucky University’s Institutional Biosafety Committee oversees all research involving recombinant deoxyribonucleic acid (rDNA) molecules and the use of microorganisms for biological research.
Grants & Contracts
Accounting
Financial Monitoring & Reporting

July 16, 2015
Who are we?

• Jessica Clemons-Grant Accounts Specialist
  • Financial reporting & monitoring
• Alicia Haley-Grant Accounts Specialist
  • Approval of expenses (Procard, PAs, Travel Vouchers)
  • Award set up and termination
• Christy Murphy-Grant Staff Accountant
  • Financial reporting & monitoring
  • AY Labor Redistribution (T&E) and Effort Certification
• Mary Nunn-Grant Accounts Analyst
  • Financial reporting & monitoring
  • Approval of Payroll (Form 16s and EPAFs)
  • Approval of Inter Accounts
Monitoring Your Award

- Know your grant index number and cost share index number (if applicable).
- Know your sponsor approved internal budget as well as any specific rules & regulations associated with your funding.
- Know how to access your grant index in Banner Finance via FRIGITD and Banner Finance Reports.
EPAFs

• If 12 month employees, part time employees, and GAs, are paid on your grant, set them up on a new EPAF as soon as possible.

• Make sure you include an end date for the EPAF. If the employee is working on multiple awards, enter the earliest grant end date funding the employee.

• Make sure all appropriate approvers are listed, including the PI.
Form 16s

- Include time period/dates and description of worked performed on all Form 16s.

- FOLLOW the approval instructions for Form16s, located at the bottom left corner of the form. **DO NOT** send a Form 16 to more than one approver at a time.
Budget/Expenditures

• Monitor your departmental index for grant expenditures. All cost transfers (via an inter account) must be completed within 90 days of posting to Banner. (i.e. The 90 Day Rule)

• If budget is not available in a budget account code or pool, request a budget reallocation (through OSP*) PRIOR to making the purchase. Failure to do so:
  • causes delays
  • your department may be charged until a reallocation is performed
  • you will have to do an inter account to move the charges to the grant.

*www.wku.edu/sponsoredprograms/reallocation.php
Requisitions/PAs

• Include the grant ending date on all Requisitions in the Justification section.

• Payment Authorizations should be approved by two individuals before arriving in GCA. One approver must be the PI.
Labor Redistribution (T&E)

- What: Distribution of 9, 10, or 11 month employees labor from a non-grant index to a grant index.
- Why: At this time, we move 9, 10, and 11 month employee salaries manually from their department to the grant; however, steps are being made to improve this process.
- When: Currently, labor redistribution takes place after, or at the very end of, the Fall and Spring semesters.
- Who: Ogden-Cindy Graham; CEBS-Steva Kaufkins; All others-Christy Murphy.
Effort Certification

• What: Certifying non-timesheet employees on federally funded awards during a determined time period.
• Why: It is required by the Federal Government, Office of Management & Budget. (OMB A-21 and OMB 2 CFR 200).
• When: AY-30 days after the end of the semester (1/31 & 6/15); Summer-30 days after the end of each Summer term (9/15, 7/31). Summer pay will not be approved unless prior summer and AY are certified.
• Who: Ogden-Cindy Graham; CEBS-Steva Kaufkins; All others-Christy Murphy (AY), Sophie McAdams (SUM)
Effort Certification

• OMB 2 CFR 200 versus OMB A-21, offers less specific guidance on how to certify effort, transferring the burden of documented proof on the grant recipient.

• Therefore, it is imperative that the effort you certify on an award…federal or non-federal, is documented in some way. This can be notes in your calendar, documented travel related to the award, etc.

• Be prepared to prove your work on the grant should it ever be questioned.
What you can do for GCA?

• If the sponsor of your award requires copies of all invoices/expenses, have those copies ready. Your GCA grant administrator may want copies throughout the month/quarter; or, they may want them all at the end of the reporting period (month, quarter, semi-annually, etc.).

• We are generally on a time constraint so your prompt attention whenever we have questions or need backup documentation is very much appreciated.
What GCA can do for you?

• Provide one on one training.

• Help you navigate Banner.

• Determine whether an expense can be charged to an award.

• Any questions we can’t answer we will either find the answer or direct you to OSP, if appropriate.
Questions?