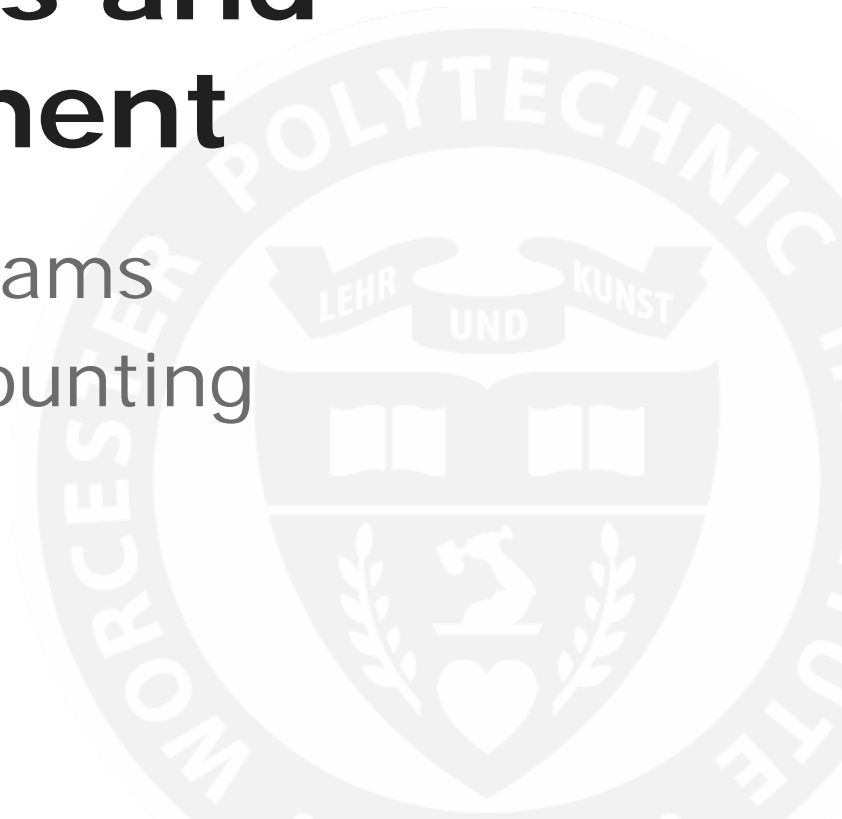




# WPI

# Proposal Process and Award Management

Office of Sponsored Programs  
Sponsored Programs Accounting



# Today's Agenda

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- Roles and Responsibilities
- Proposal and Budget Development
- Award Review and Acceptance
- Subawards
- Account Set-Up
- Award Management

# PI Responsibilities

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- Identify appropriate funding opportunities
- Submit a Notice of Intent to submit proposal as early as possible
- **Read proposal solicitation for requirements**
- Prepare internal forms
- Prepare draft budget and justification
- Prepare full proposal as required by sponsor
- Submit proposal to OSP with adequate time for us to review the proposal before we submit it

# OSP Responsibilities

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- Provide technical assistance on policies, procedures and guidelines
- Assist with, review and approve budget and justification
- Review proposal for compliance with sponsor requirements and provide feedback
- Approve proposal, serve as authorized signatory and institutional representative
- Submit approved electronic proposal to sponsor if sponsor requires e-submission by institutional representative

# Electronic Proposal Submission

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- Electronic Research Administration
  - Grants.gov
  - NSF Fastlane
  - NIH e-Commons
  - Other federal, non-profit, or foundation
- Account Registration
  - Grants.gov (University is registered - PI does not register)/Cayuse
  - NSF Fastlane (PI must register)
  - NIH e-Commons (PI must be registered)
    - All PIs and all senior personnel have to be registered at time of proposal

# Proposal Requirements

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- Sponsor typically requires:
  - Cover page with appropriate signatures
  - Statement of Work
  - Personnel biographical sketches
  - Detailed budget with justification
  - Facilities statement
  - Sponsor-specific requirements
  - Financial Interest Disclosure
- WPI/OSP requires
  - PRF
  - Cost-Share and other approvals/sign-offs

# Budget Development— what do I need?

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- Once the project objectives are decided, determine what is needed:
  - What resources do you need to execute the proposed project?
  - Who will be performing the research (e.g., RA, Post-Doc, etc.)?
  - How long will the research take?
  - When will you begin?
  - Will you need a sub-contractor and/or consultants?
  - Are you a sub-contractor on another PI's proposal?
  - Will you be traveling to meetings?
  - Will you be purchasing equipment?

# Components of a Budget

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## Direct Costs

- Salaries/stipends and fringes
- Materials and supplies
- Travel
- Equipment
- Participant Support Costs (subsistence, stipends)

## Other Direct Costs

- Other/Tuition
- Consultants
- Sub-awards
- Publication costs

Indirect Costs (F&A)  
Cost Share (if required)



# Faculty Salary

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- Monthly faculty salaries are based on the number of months of appointment.
- A 9-month faculty can earn an additional 2 months of his/her base salary as summer salary; more than 2 months needs dept. head/provost approval.
  - Ex.: If 9-month salary = \$100,000, then each additional month = \$11,111.
  - NSF only allows 2 months to be charged to their grants or, in this case, \$22,222.
- If a PI wishes to buy out of teaching, he/she needs department head approval.

# How much will a Research Assistant cost?

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- Stipends can vary; guidelines can be found on the OSP website.
- Health fee is currently \$1082/year.
- Tuition has to be included (at 50% of the current rate for Ph.D. students as long as there is no cost-share).
- A 20-hour, 9-month graduate assistant is considered full-time for the academic year.
- A 20-hour RA for the academic year will cost a total of about \$49,000. This includes stipend, tuition, health fee and IDC.
- A 20-hour RA for the calendar year will cost about \$61,000.

# Direct vs. Indirect (Facilities & Administrative) Costs

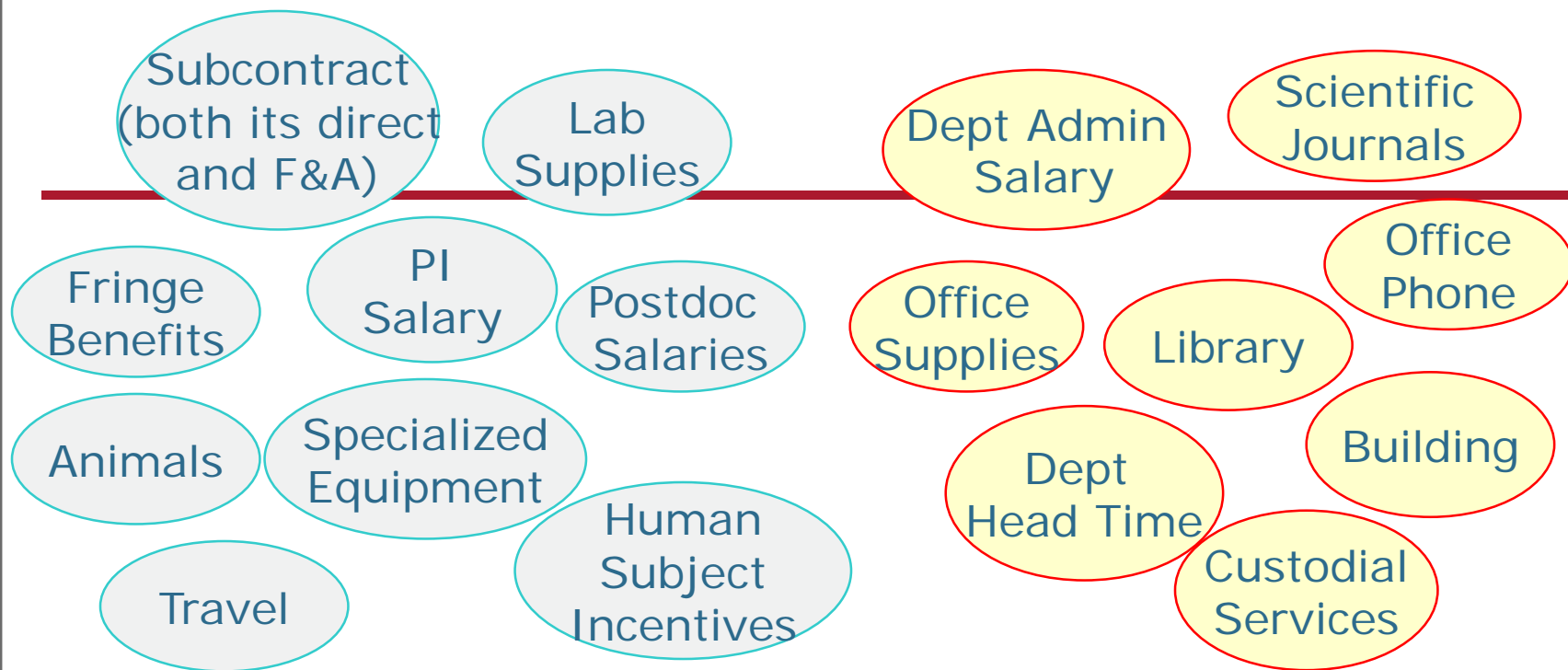
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## Direct Costs

- Identified with a particular project
- Incurred to advance the work on that project
- Assigned to that project with ease accuracy

## Indirect (F&A) Costs

- Benefit common or joint activities
- Benefit numerous projects – cannot readily be identified with specific project
- Are negotiated between the University and its cognizant federal agency



# Budget Justification

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- The budget justification should correspond to the line items on your budget.
  - Personnel:
    - # of months effort for all Personnel
    - What their project responsibilities are
    - The Fringe Benefit rate for faculty and staff
    - Inflation factors used
  - If requesting equipment (items > \$5,000),
    - Explain what you intend to purchase;
    - How it relates to your project;
    - If you have a quote, include it.
  - Travel:
    - Where are you going/which meeting will you attend?
    - Itemize airfare, hotel, meals, registration, etc.

# Budget Justification (Cont'd)

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- Explain all Other Direct costs
- Explain WPI's policy of charging tuition costs and health fee
- Note indirect cost rate of 57% of the Modified Total Direct Costs (MTDC) for research projects.
  - Modified Total Direct Costs = IDC base of direct costs less certain exceptions (e.g., equipment items > \$5K, tuition, sub-awards amounts beyond the first \$25K)

# Cost Share

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- Cost share is any portion of the cost that is covered/paid for by WPI
  - Mandatory
  - Voluntary committed
  - Voluntary uncommitted
- Some programs require cost share (e.g., DOD, NOAA, DOE)
- Some prohibit cost share (e.g., NSF)
- Some indirectly require cost-share by mandating a reduced F&A rate
- If no requirement, it is strongly suggested that cost share not be included.
- Why not include cost share?

# I've been funded, what happens next?

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- OSP/SPA needs the following to set up an account:
  - An approved proposal
  - Terms and conditions of the award have been reviewed, understood, possibly negotiated, and accepted
  - An award document
    - Notice of Grant Award
    - Fully-executed Contract
  - A budget that matches the awarded amount
  - Any Export Control and Financial Conflict of Interest matters resolved
  - Any human (IRB) and animal (IACUC) approvals need to be in place
- SPA issues an account number and releases the budget. An Award Notification is sent to the PI.



# How do I get the money to my collaborators?

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- OSP creates the sub-award and routes it for signatures
- Once sub-award is fully executed, collaborator can start work
- Collaborator sends invoice to SPA
- PI approves invoice
  - Review for allowable costs
  - Confirm charges reflect work performed
- PI monitors performance and notifies OSP/SPA if any issues arise.

# What can I charge to my grant?

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- Costs included in your proposed and approved budget, such as salaries, supplies, equipment, travel, sub-awards, consultants, etc.
- Allowable costs are:
  - Reasonable
  - Allocable to the project
  - Treated consistently in like circumstances
  - In accordance with sponsor policies and guidelines
- Unallowable cost are:
  - Alcohol
  - Travel upgrades
  - General office supplies

# What if I need more money in a budget category?

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- Contact Sponsored Programs Accounting
  - Provide justification
  - Sponsor approval may be required
- Be careful when rebudgeting in or out of budget categories that effects the IDCs (e.g., equipment, sub-awards > \$25,000, and tuition)
- Proposed level of effort is important
  - PI's, Co-PI's, and Key Personnel need written prior approval from the sponsor to reduce their level of effort by 25% or more.

# What if I need more time?

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- Submit a no-cost extension request to OSP
- Provide appropriate justification
- Sponsor approval may be required
- OSP is able to approve the first no-cost extension on some federal awards (e.g. NIH, NSF)

# How much money is currently in my account?

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- There are various tools available for your use.
  - Banner
  - Argos reports
- Account monitoring is important
  - Monthly reports sent by SPA

# What if there is a cost-share commitment?

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- Cost-shared commitments:
  - Have to be tracked and may be reported to the sponsor
  - Have to be spent during the period for which they were committed
  - Require documentation in support of commitment
- Sub-award cost-share needs to be properly reported and documented with their invoices
- Third party cost-share needs to be reported and documented

# What if I have multiple grants?

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- Each grant needs to be accounted for separately
- Make sure that expenses associated with each grant are charged to the appropriate account
- Personnel costs should be charged to the grant on which they are working
- If an expense is charged to the wrong grant account, it needs to be transferred as soon as possible via a cost transfer
- Cost-transfers must be properly justified

# What is my responsibility at the end of the grant or budget period?

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- Submit all technical reports on time
- Complete financial review, including potential unallowable costs, deficits, and pending charges
- Ensure sub-awardees have submitted their reports and their expenditures are appropriate
- Ensure all inventions have been disclosed so that OSP can complete the invention statement, as required by the sponsor, accurately.



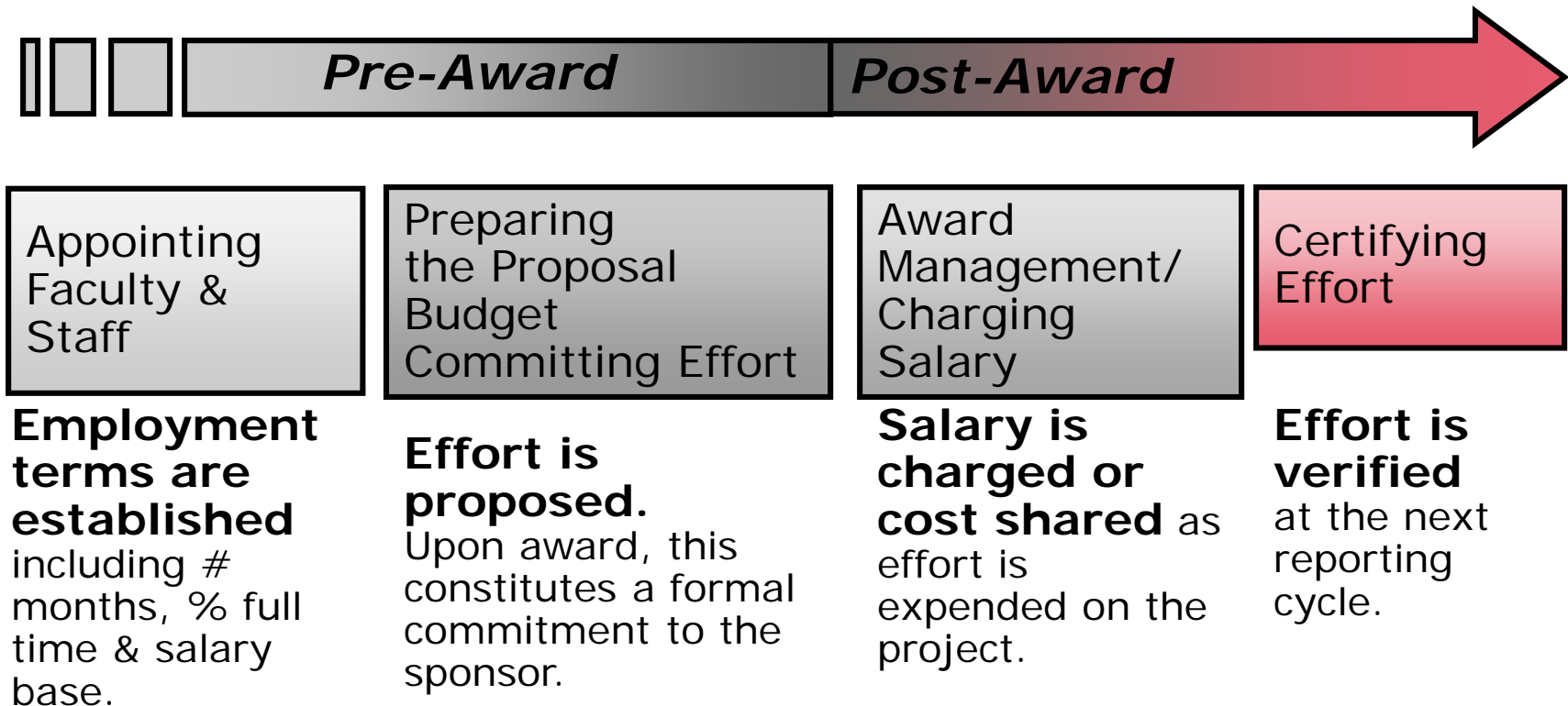
# What is effort reporting?

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- All individuals working on sponsored projects (both paid and cost-shared) are required to certify their effort.
- Verification of paid effort helps to ensure that labor expenses charged to grants were appropriate.
- In general, effort reporting is needed to ensure that commitments made to sponsors have been met.
- Each report must be signed by either the individual or the PI of each project on which the individual is working.

# Effort Reporting encompasses ...

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# What are my responsibilities?

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- PI is responsible for the scientific or technical aspects of the grant and day-to-day management of the project.
- The PI is responsible for ensuring compliance with the financial and administrative aspects of the award.
  - Allocate costs properly among grants
  - Monitor sub-award performance and expenditures
  - Review and approve fiscal and effort reports
  - Ensure budget vs. spending is reasonable
  - Avoid cost overruns/deficits
  - Ensure regulatory compliance (IRB, IACUC, etc.)
  - Report changes in scope of work and/or effort
- OSP and SPA are here to help!

# Who do I contact if I have questions?

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- Office of Sponsored Programs
  - <http://www.wpi.edu/offices/osp.html>
  - <http://www.wpi.edu/offices/osp/staff.html>
  - (508) 831-5359
  - [resadm@wpi.edu](mailto:resadm@wpi.edu)
- Sponsored Programs Accounting
  - <http://www.wpi.edu/offices/finops/sponsored-research.html>
  - Engineering (508) 831-5702
  - Arts & Sciences (508) 831-5141
  - Other (508) 831-5422

# Where can I find WPI Info?

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- On the OSP website, you will find:
  - Institutional information and rates  
<http://www.wpi.edu/offices/osp/reference.html>
  - Budget spreadsheet and other templates:  
<http://www.wpi.edu/offices/osp/proposaldev.html>
  - The Budgeting and Costing Guide:  
<http://www.wpi.edu/offices/osp/reference.html>
    - RA stipend rates
    - Fringe Benefit Rate
    - Tuition Rate
    - Indirect Cost Rate