



University of Missouri
College of Education

Office of Research Support

Faculty and Staff Manual
2011-2012

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CoE Office of Research Support Overview



Who We Are:

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What We Do:

MISSION STATEMENT: The Office of Research Support (ORS) advances the College's mission of increasing research-based professional practice that enables people to achieve their highest potential. We orchestrate a range of activities and services designed to secure resources for the scholarly work of our faculty, research staff, students, campus colleagues, and school/community partners.

HISTORY: To facilitate the College of Education's research efforts, the College established the Office of Research Support in Summer 1999. The office is an outgrowth of the College's former Office of Grants and Contracts and Graduate Studies.

GOALS: The Office of Research Support facilitates the College's mission of increasing research-based professional practice that enables people to achieve their highest potential. To this end, the ORS office works with College of Education faculty, staff and graduate students to seek internal and external funding opportunities (grants and contracts) and prepare funding proposals. Additionally, ORS facilitates research within and across CoE departments, as well as CoE participation in interdisciplinary research and grant writing teams across the University and with other institutions and organizations.

RESOURCES: The Office of Research Support offers a number of resources to support grant proposal development on its Web site at <http://education.missouri.edu/research/index.php> :

- Faculty and staff manual
- Boiler plate information
- Forms
- Information on upcoming ORS sponsored activities
- Current COE grant award and submission information
- Sample proposal documents
- Current and past ORS newsletters
- Grant writing resources
- Links to various grant websites and resources



Our Services

We assist CoE faculty, staff, and graduate students in all aspects of proposal development. Our staff can:

- Seek grant funding opportunities for research, public service and instruction projects
- Assist faculty/staff in registering with the Community of Science, an international expertise database and funding opportunity database, and setting up funding alerts
- Offer grant writing seminars and workshops for faculty, staff and graduate students
- Locate examples of proposals funded by specific agencies
- Research answers to grant-related questions
- Provide research background to support specific proposals
- Develop proposal writing timelines
- Locate potential collaborators within the CoE and/or the University
- Assist in grant writing, ranging from copy editing to drafting or rewriting specific portions to guiding the entire process of a specific proposal
- Interpret agency guidelines and proposal specifications
- Assist with budget development and form completion for grant proposals
- Assist with development of contracts and subcontracts
- Assist with writing and soliciting letters of support
- Assist with setting up pre-award accounts
- Review proposals to ensure compliance with University regulations and policies
- Review proposals to ensure they meet the grant agency's guidelines
- Submit grant proposals electronically through the Office of Sponsored Programs Administration (OSPA)
- Assist with post-award financial reporting, rebudgeting, and continuation submissions

The Office of Research Support provides monthly updates on currently submitted and funded projects within the College on our website. Each year we also compile an annual report on grant activity for the College; highlights are provided on our website. ORS offers professional development opportunities for CoE faculty, students and staff members. We are also available to give class presentations on various aspects of grant proposal and budget development.

How the Process Works



Step by Step

All external grant proposals (and internal Research Board proposals) developed by CoE faculty, staff or graduate students are reviewed by the Office of Research Support. This includes pre-proposals as well as proposals involving CoE faculty and staff members as co-PIs for which the PI is from another college. Some departments also have internal review processes that need to be followed. Faculty and staff members should check with their department fiscal representatives regarding this process.

Roles and responsibilities for all PIs are outlined in a weblink at Appendix A on page 21. If the proposal involves a collaboration with other schools or colleges within the University or with institutions outside of the University, the Guidelines for Collaborative Agreements in Appendix B on page 22 need to be followed.

Faculty, staff and graduate students should follow these steps for grant proposal development and submission:

1. **Notification:** CoE faculty, staff and graduate students who intend to submit a proposal should discuss the project with their department chairs and fiscal representatives first. ORS should be notified as soon as possible and be provided a copy of the funding agency's guidelines.
2. **Proposal development:** ORS is available to answer questions and assist with all aspects of proposal development, including interpretation of guidelines, supporting research, development of proposal narrative, coordination of collaborative efforts, compilation of supplemental forms, etc.
3. **Budget development:** PIs should first work with their department fiscal officers to develop the grant proposal's budget and budget justification. The fiscal officer and PI may work with ORS's Grant and Contract Administrator in completing the budget and justification. A budget template is available in a weblink at Appendix A on pages 21. The indirect rate used to calculate the budget varies depending on the classification of the grant (Research, Instruction or Other) and agency guidelines.

➤ Research grants are considered either basic or applied:

Basic Research is designed to increase general knowledge. No specific intent is required other than learning. The Basic Research may be narrowly focused on a particular field of study, but there is no specific practical use that drives the direction of the research.

Applied Research has the purpose of meeting a specific goal. The goal (beyond the research itself) is well defined and the research is narrowly focused on obtaining that goal. The goal may or may not be commercial, but it always includes putting something to practical use.

- Instruction grants: Proposal includes expenditures for credit/non-credit courses; academic, vocational, and technical instruction; remedial and tutorial instruction.
- Public service/other grants: Proposals that include activities established to provide non-instructional services beneficial to individuals or groups external to the institution.

NOTE: Indirect rates for various classifications of proposals are listed on page 14.

4. PeopleSoft: Principal Investigators should work with the ORS Grant and Contract Assistant to complete the required electronic Proposal Signature Routing Sheet (PSRS). All faculty members included as PIs, co-PIs, or key personnel on a grant proposal must sign the PSRS, as well as the Department Chairs and Deans of the divisions involved. The PSRS also requires information on shared credit (percentage upon which distribution of Research Incentive Funds (RIF) is calculated), and effort percentage. This credit is determined by the PI, Co-PIs, Department Chair(s) and Dean(s). To make this process easier ORS has developed a checklist of the necessary information to generate a PSRS. It can be found at a weblink in *Appendix A* (page 21).
5. IRB Submission: If a grant proposal includes research on human subjects, the Principal Investigator should apply to the MU Institutional Review Board (IRB) <http://research.missouri.edu/cirb/> for approval to conduct the study at the time the proposal is submitted. Some agencies do not require proof of IRB approval before submission. Check agency guidelines.

The IRB Office also has developed a web-based Educational Package on Conducting Human Research. This orientation for new investigators is available at the following Web site: <http://irb.missouri.edu/eirb>. **All personnel included in a grant proposal with human subjects must take and pass the IRB training before an IRB application may be submitted.**

The IRB has an online application system that allows faculty members to apply and track the progress of their applications online at <http://irb.missouri.edu/eirb>

For CoE staff members, including ORS staff members, to make inquiries concerning faculty members' IRB applications, they must be certified as trained and their names listed as project team members at the time the original application is made.

6. Proposal Submission: Documents to be compiled for submission (assembled but unstapled) include the following:
 - Paper, faxed or emailed copy of electronic *PSRS* that includes signatures of: (1) PI, (2) all co-PI(s), (3) CoE Department Chair or equivalent, and (4) appropriate chair(s) and dean(s) if faculty from another college are involved in the proposal.
 - Completed and signed *Financial Disclosure Form* (see web link in *Appendix A* on page 21) for PIs, coPI(s), and senior personnel on all NSF and NIH pre-proposals and proposals.
 - Completed *Subcontract Information Form* (see web link in *Appendix A* on page 21) and other necessary attachments, if grant involves subcontracts with other institutions or other outside entities.
 - Paper or electronic copy of the sponsor's proposal guidelines.

- Proposal: If paper submission, include the required number of proposal copies, including one each for ORS and the Office of Sponsored Programs Administration (OSPA). If electronic submission, please provide our office with login information and with the original documents in Word (or similar) format. If human subjects are included, the PI should upload a copy of the full proposal and PSRS to the eIRB website.
- 7. ORS Review: The PSRS for all proposals requires the signature of the Associate Dean for Administration, Research and Performance Excellence. To ensure this signature, a proposal needs to be submitted to the CoE ORS at least one (1) full working day (preference of 2 working days) before it needs to be submitted to the University's OSPA. The ORS office reviews the proposal for compliance with university and agency guidelines, and for budget correctness, and submits the proposal to OSPA.
- 8. OSPA Review: Completed proposals, along with the approved PSRS, must be provided by ORS to the appropriate OSPA Satellite Office five (5) business days PRIOR to the date the proposal is due to the sponsor. After its review, OSPA sends the final proposal to the agency (either in electronic or paper form) once it is approved for submission.
- 9. OSPA Submission and Notification to PIs: OSPA submits the proposal to the agency (either electronically or in paper) and notifies PIs when their proposals have been submitted.

NOTE: Given the multiple reviews a grant must go through prior to submission to the agency, it is strongly advised to submit the completed proposal and all required forms to the ORS office seven working days before it is due to allow for modifications before final submission to the agency.

Budget Development

This section of the handbook is intended to help you prepare a grant proposal budget. Your department's fiscal representative is available to help you with this process, as is the Office of Research Support's Grant and Contract Administrator.

The major categories of a grant proposal budget are discussed below:

- (1) personnel
- (2) fringe benefits for personnel
- (3) travel
- (4) equipment
- (5) supplies
- (6) consultants/contracts
- (7) student support
- (8) tuition waivers or tuition remission
- (9) other direct costs
- (10) indirect cost rates
- (11) cost sharing/matching funds

NOTE: Other budget-related issues discussed in this section include project negotiations, subcontracts, notification of awards, establishing pre-award accounts, and no-cost time extensions. A budget template is included as a weblink in *Appendix A* on page 21.



Personnel

All faculty/staff members with a percentage of effort on the grant project need to be listed. Indicate the number of months or time period for each employee's effort on the project. List academic (9-month) appointments and summer period salaries separately.

NOTE: Faculty members on 9-month appointments involved in full-time summer research can be compensated at a rate not to exceed 3/9 of their annual salary. In these circumstances, faculty members with full-time summer research should not be performing any other duties, such as student advising.

When calculating salary and percentage of effort for summer, please seek guidance from your department fiscal officer or ORS grant and contract administrator. Remember to increase current salaries for subsequent years by 3%. Summer salaries for 9-month faculty cannot be cost shared by the University because summer work is never guaranteed. Extra compensation is discouraged and must be approved by the Dean and Provost Offices.

It is not advisable to include funds for clerical and/or administrative staff for account management, preparing forms and general assistance. These funds should only be included if the project is large scale, involves extensive data accumulation, requires travel and meeting arrangements for a large number of participants, preparation of manuals and large reports, geographically inaccessible to departmental administration, and/or major database management. The effort claimed for any staff person must be effort dedicated solely to the project.



Fringe Benefits*

The University uses fringe benefit rates for estimating direct fringe benefit costs in grant applications and contract proposals. For final reporting, the cost of each benefit is specifically identified for each employee and charged individually.

NOTE: We must use a set fringe benefit rate on all federal grants. Grants from other funders will use our regularly determined rates. Please see the chart provided on the Grant Fact Sheet (see weblink in *Appendix A*, page 21). Current rates include:

Full time (75% FTE or higher) faculty and staff: Use 27.25% of requested salary for federal grants and 31.87% of requested salary for non-federal grants, which includes all fringe benefits treated as direct costs, including Social Security, retirement, worker's compensation, and unemployment insurance. Also included are the University's portion of medical insurance, group life insurance and dental insurance (as applicable). As this rate changes frequently, please consult your department's fiscal representative for the most current rates.

Part-time (74% FTE or less) faculty, staff, and non-students: Use 7.65% of requested salary.

Graduate students: There is a flat benefit fee to cover medical insurance. For the 2011-2012 year, use the rate of \$1201.00 for a 25% (10 hours weekly), 12-month graduate student and \$2402.00 for a 50% (20 hours weekly), 12-month graduate student, including a 5% increase each subsequent year.

*Check the Grant Fact Sheet (<http://research.missouri.edu/ogwp/files/grantfactsheet.pdf>) for the most up-to-date rates. Also see the Tuition Waivers and Tuition Remission section on page 13 for further information.



Travel*

Show detail as follows:

- Airfare or Mileage (#miles @ (current rate**) x # trips). Please see (<http://mutravel.missouri.edu/>) for current mileage rate.
- Lodging (#nights @ \$/night)
- Per diem (meals) (\$42 per day max @ #days)

*Check the Grants Fact Sheet <http://research.missouri.edu/ogwp/files/grantfactsheet.pdf> for the latest information on these rates. Travel reimbursements may be subject to change at any time.

Other relevant travel information:

Getting to the airport

- The distance is ~250 miles to and from the St. Louis or Kansas City airport.
- Van services include MO-X (Phone 573-256-1991) and runs approximately \$75 round trip
- If you drive, parking at the airport is usually ~\$7-\$10 per day.

Expenses at destination point – domestic travel

- Ground transportation to get to and from the airport
- Hotel rate per day x number of days x number of individuals
- MU allows \$42 per day, including tips for meals
- If travel involves a conference, include registration fees.

Expenses at destination point – international travel

- The federal per diem rates for international locations are located at <http://www.defensetravel.dod.mil/site/perdiemCalc.cfm> and are updated regularly. The federal rates are intended to include lodging, meals, and incidental travel expenses.

Special considerations for international travel

- Visa fees
- Insurance – some federal agencies require insurance for health, emergency evacuation, and repatriation of remains.
- All foreign travel should be included in the original proposal budget and be adequately justified
- If foreign travel was not included in the original proposal, then sponsor approval must be obtained prior to the travel
- Confirm whether travel via a US-flag air carrier (an air carrier holding a certificate under section 401 of the Federal Aviation Act of 1958) is required prior to purchasing airfare. To be safe, it is recommended that you always use an US-flag air carrier



Equipment

Each **item** costing \$5,000 or more and with a useful life of more than one year is classified as equipment. Items costing less than \$5,000 and with a useful life of less than one year should be included under “Supplies.” Each item that costs more than \$5,000 is excluded before figuring indirect costs, unless otherwise specified by the agency.

The only exception would be if the University is not able to request the FULL federal indirect rate. Then, and only then, will you include equipment in your indirect cost calculations.



Supplies

Individual items costing less than \$5,000 and with a useful life of less than one year will be listed in this category (e.g., office supplies, software, printers, laptop computers).



Consultants/Contracts

You may list consultant and/or evaluator fees as a per-day expense or an agreed-upon total amount. Some agencies have guidelines regarding maximums or minimums that can be paid to consultants and/or evaluators. Also, be sure to address travel expenses for these participants. These expenses can be included in the consulting fee or can be in addition to the consultant's daily rate. An average consulting fee is around \$550/day. University faculty/staff members cannot be listed as consultants; rather they are listed as Personnel. Fringe benefits must be requested for University personnel who are being paid for their time on a project. Subcontracts can sometimes be listed under this category (See Subcontracts/Cooperative Proposals with Other Institutions on page 15 for more information).



Student Support

You may list scholarships or fellowships (# students @ \$/each) and applicable tuition and fees (# students @ \$/ yr.) in this category. Student support costs, such as tuition, fees, scholarships, and fellowships, are excluded from indirect costs (F&A). Scholars and/or fellows are not the same as graduate assistants. A graduate assistant is an employee of the University and must do some work to receive their stipend. A scholar and/or fellow is not considered an employee and does not have to do certain work to receive their stipend.

NOTE: Tuition for a graduate student assistantship is considered a fringe benefit of employment and should be included under the Fringe Benefit category, except when dealing with most federal agencies. They consider tuition to be an “other” expense.

When calculating the tuition for each Graduate Assistant, include nine (9) credit hours per semester for the fall and winter sessions and six (6) credit hours for the summer session. Please check with your department fiscal person to verify the number of hours to be included for a graduate student. Some departments budget more hours per student depending on their program of study.



Tuition Waivers and Tuition Remission

If the funding agency considers tuition as a non-allowable cost, the tuition expense must be reflected on the cost-sharing portion of the PSRS. If tuition is not allowable, a fee waiver request must be submitted to the Graduate School and approved before a grant can be submitted.

The University policy for including *tuition remission* on grants and contracts is as follows:

Tuition remission may be granted to graduate students holding research assistantships. Subject to restrictions of the sponsor, costs will be allowable if the following three conditions are met: “there is a bona fide employer-employee relationship between the student and the institution for the work performed, the tuition or other payments are reasonable compensation for the work performed and are conditioned explicitly upon the performance of necessary work, and it is the institution’s practice to similarly compensate students in non-sponsored as well as sponsored activities.”

The form requesting a waiver of graduate tuition fees for GRAs, GTAs or participants is located in a weblink in *Appendix A*, page 21. This form must be filled out, signed, and submitted to ORS for approval. The form will then be sent to the Graduate School for approval. Once approval is received from the Graduate School, we will return the approved form to you. Approval of the waiver must be received before a grant can be submitted, so please allow at least two weeks for the approval process.

NOTE: Tuition fees for students, including graduate research assistants, cannot be included when calculating the F&A (indirect) costs unless the funding agency restricts the indirect rate to less than the University’s federally negotiated rate.

NOTE: When processing GSSP (Graduate Student Support Program) forms after a grant is funded, these should be submitted to the College Fiscal Office, who will then submit them to the Graduate School.



Other

This is generally a catch-all category which may include dissemination, reproduction, communication, postage, publications, participant compensation and materials.



Indirect Cost (F&A) Rates

A. Negotiated **federal** indirect cost rates, also known as F&A (facilities and administration) for the University of Missouri are as follows:

Base – MTDC (Modified Total Direct Cost)	On-Campus	Off-Campus
Instruction	48%	26%
Research	51.5%	26%
Public Service/Other	30%	26%

B. Typical **state** indirect cost rates are as follows:

Instruction	38%	20.6%
Research	40.8%	20.6%
Public Service/Other	23.8%	20.6%

NOTE: When any state agency is dispensing federal dollars (federal flow-through monies), the federal rates must be used.

The ORS maintains copies of negotiated indirect policy rates with various state agencies. If submitting a state agency proposal, please contact this office for the most current information.

Requests to the University to waive or reduce F&A costs may be made when the institutional benefits of the program clearly outweigh the reduction in sponsor funding, and only after it has been determined that sufficient departmental and/or College funding are not available to recover the reduction. Frequently, OSPA will request that the department waive its RIF return to cover some of the shortfall. See the guidelines and fill out the appropriate forms provided on the weblink in *Appendix A* on page 21.

The F&A rate does NOT apply to the following expenses:

- Student/Participant tuition
- Equipment costs
- Subcontract costs in excess of \$25,000 over the life of the subcontract



Cost Sharing/Matching Funds

Any cost sharing/matching funds must be indicated on the PeopleSoft form with the appropriate Department ID code. Doing so allows the relevant CoE department(s) to better track cost sharing by account. Any matching funds from other sources must be documented with a letter of commitment or intent indicating an exact dollar amount to be contributed. Cost sharing should only be included on a grant when the agency requires it; it is otherwise discouraged.

NOTE: Cost sharing summer salaries for 9-month faculty is not allowed.



Subcontracts/Cooperative Proposals with Other Institutions

When subcontracts and/or cooperative proposals involve other institutions, one institution must be designated as the prime contractor/grantee, the other as subcontractor/subgrantee.

If MU is the prime contractor

The other institution must submit the following:

- Subcontract Information Form
- Individual budget (including direct and indirect costs at that institution's rate). If indirect costs are included by the other institution, then a copy of their indirect cost agreement must be included as well.
- Scope of Work statement
- Letter of support (signed by authorized official)

MU does the following:

- Lists cooperator's budget as a single line item (subcontract) in MU budget
- Appends cooperator's budget as budget detail in MU budget
- Incorporates work statement and letter of support into MU proposal
- Processes proposal through regular channels

The total subcontract amount (direct and indirect) becomes a direct cost in the MU budget. MU only charges indirect costs on individual subcontracts up to \$25,000. Amounts in excess of \$25,000 for the life of the grant are excluded from MU indirect costs.

If MU is Subcontractor

Proposed MU portion is processed as a regular proposal containing the following:

- Individual budget (including direct and indirect costs)
- Scope of Work statement
- Letter of support (signed by PI with space for MU authorized official to sign)
- PSRS

If there is an F&A restriction on the proposal, the PI will need to supply OSPA with a copy of the guidelines that will be used when submitting the prime contractor proposal.

NOTE: Remember that cooperative proposals require more time to develop than standard proposals because they must be reviewed and approved by two or more institutions.

Grant Management



Notifications of Award

Depending on its procedures, an agency may notify only the PI/Project Director, only OSPA, or both when it makes an award.

If the PI receives the award notification directly, she/he should send the original copy of the notification to the CoE ORS. This office will forward the original to OSPA. The PI is responsible for keeping her/his department chair and ORS apprised of the status of the proposal.

If OSPA receives an award notification directly, OSPA staff will send the appropriate documentation to the ORS and the PI. All awards will be sent to the PI for review and approval. If there are any problems with the conditions of the award, now is the time to make sure these items are corrected before the award is accepted.

After the grant award is received, OSPA is responsible for assuring the creation of a University account for the PI's use in accordance with the final award budget. OSPA will notify the PI of the account code for a newly active account.

If the PI submits a revision, amendment, supplement, or similar adjustment at any point within the span of an active project the CoE, ORS and OSPA must be involved in the approval process.



Project Negotiations

If a funding agency is interested in a grant proposal and additional negotiations are necessary, the agency should contact the OSPA since a PI does not have the authority to obligate the University. OSPA will communicate to the PI and to the CoE ORS the preliminary results of any discussions with the agency.

The business and legal terms of any contract must be negotiated by an authorized representative of the University. Therefore, contact OSPA and the CoE ORS before beginning any contracts. Whatever form the negotiations follow, if a revised proposal (either in scope or budget) results from the process, this revision must be resubmitted, following the steps previously outlined for a proposal (see pg. 6), including the processing of a revised PSRS.

Site Visits and Audits. For assistance in preparing for site visits or audits involving financial issues, contact OSPA, 882-7560, CoE ORS, 882-8531, and the College fiscal office, 882-2080.

Award and Contract Negotiation and Acceptance. OSPA will help in any award negotiations as they become necessary, (e.g., copyright, patent rights, royalties, publication terms, facilities costs). If an outside sponsor is issuing a contract to the University, OSPA's staff, in cooperation with the PI and the University's General Counsel, will negotiate the terms of the contract with the external sponsor. The fiscal and legal terms are established, then the proposed contract is

submitted to the General Counsel. Once clearance has been obtained, OSPA will accept the award or contract on behalf of the Curators of the University of Missouri.



Projects Not Approved for Funding

An agency usually communicates directly with the PI concerning a notification of disapproval or a condition of “approved-but-not-funded.” Occasionally an agency also will inform OSPA. When a project is not funded, the PI should notify the CoE ORS, which will in turn notify OSPA.

Most agencies provide PIs with copies of reviews with recommendations for improving their proposals. If they are not provided, PIs may request them from the agency directly.

Revised proposals have a much greater success rate than first-time submissions. If the PI decides to revise and resubmit the proposal, she/he should seek assistance from the CoE ORS office, talk with the agency’s program officer, revise the proposal with the reviewers’ comments in mind, and seek additional critiques from peers at MU or other institutions. The PI may also, with the assistance of the CoE ORS, obtain copies of previously funded grants to use as a reference. Resubmission of a proposal to the same or a different agency requires routing through all the regular University channels as previously outlined.

In some instances (e.g., completing a pilot project or a feasibility study), the PI should delay resubmission. If the project requires interim funding from other sources before resubmitting the mature program, MU’s internal funding programs may be a possible source of funding.



Establishing Pre-Award University Accounts

Sometimes a Principal Investigator knows that a grant or contract will be awarded, even though the agency has not sent the official award. To establish a pre-award account, the “Request for Pre-Award Account Number” form must be submitted (see weblink in Appendix A on page 21). A completed PSRS, current budget and IRB approval (if necessary) must all be accurate and submitted to OSPA before an account number will be assigned. Departments are responsible for any funds spent on a pre-award account if the grant should not be awarded.

NOTE: Please check with your department fiscal officer for the most current guidelines on pre-award accounts.



No Cost Time Extensions (NCTE)

PIs sometimes require more time to complete a project than was originally anticipated. When more time is needed for a project, the PI or fiscal officer will contact the OSPA’s Senior Accountant

(SA) assigned to that grant. The SA will read the terms and conditions of the award to ascertain whether an extension is allowed and what actions need to be taken. The SA should determine if, through expanded authorities, the OSPA can grant extensions in which a notification to the agency is all that is necessary or if a request must be sent to the sponsor.

Requests to Sponsor for NCTE

If the agency allows an extension, the new requested end date, the reason for the extension and other pertinent information should be included in the written request signed by the PI. The request is signed by OSPA to give institutional approval and is forwarded to the agency.

Notifications to Sponsor on NCTE

If the agency allows an automatic time extension under expanded authorities, the new requested end date, the reason for the extension and other pertinent information is provided to the SA. If required, the SA will draft a notification of extension letter and provide any information required by the agency. The notification is signed by OSPA and forwarded to the agency.

Sponsor Response to NCTE Request or Notification

Once the response (if a request was submitted) is received from the sponsor, the SA will inform the PI.

When NCTE processing is complete, the SA creates a revised Grant Award Summary (GAS) that is sent via e-mail to the PIs and their divisions to notify them of the new end date of the project.

No Sponsor Response on NCTE Notification

Some agencies only require that we notify them of an extension. In this case OSPA may not receive a response from the agency. The SA will send a copy of the agency notification to the PI instead of a response from the agency.

NCTE on Fixed Price Awards

Fixed price awards may be extended internally without notifying the agency as long as all deliverables required by the agency have been met. When the SA determines that an internal change is appropriate, they will update the end date as described in Sponsor Response to NCTE Request or Notification.

When NCTE processing is complete, the SA creates a GAS that is sent via e-mail to the PIs and their divisions to notify them of the new end date of the project.



Grant Close Out

***Note:** Make sure that you monitor your account on a monthly basis. This makes the close-out of your project much easier.

90 Days:

- Specific review at 90 days prior to grant close. Correspondence should be received at this time from your OSPA accountant. Please share this correspondence with your departmental fiscal officer.
- Compare the budgeted dollars to the actual costs. It is at this time that you can still request a re-budget of dollars, determine if a no cost time extension is needed, or if any other special request should be sent to the agency. You can work with your departmental fiscal officer and OSPA to send correspondence or requests to the agency if required.
- Review the budget to determine if costs for the next three months will be covered so the account will not be overspent.

-At this point you do not want to be making any large purchases or equipment purchases that do not directly impact the project. If these types of purchases are necessary, then please make sure that proper justification is on file.

-If the grant is not continuing, please review and discuss employment policies regarding vacation payout and termination with your departmental fiscal officer.

-Review calculations for F&A to assure they are accurate and determine what your actual direct expenses remaining will be.

- Contact the OSPA accountant to make sure there are no problems with the billing on the project or the collection of funds.

60 Days:

- Double check all items on the 90 Day list above
- Continue to work through any problems that were not resolved at the 90 Day review
- Make sure that technical reports are being prepared to submit to the agency. The OSPA accountant cannot fully close out an account until the final technical report has been submitted and accepted.
- Work closely with your departmental fiscal officer to make sure expenses are moved, if necessary, or if you may need to request supplemental funds from the agency.
- If the project is not continuing and employees will need to be terminated, this is the time that letters of termination should be issued. Please refer to Human Resource policy on terminations. <http://www.umssystem.edu/ums/rules/hrm/hr100/hr117> and http://www.umssystem.edu/ums/rules/hrm/hr100/hr117_qas.

30 Days:

- Make sure that any charges coming from an internal feeder system are changed to another account or the services are discontinued.

Examples:

WATS number

Phone service

Data port charges

Postage bar codes

- PAFs should be prepared for any employment changes or terminations
- Notify the OSPA accountant if you think you will have a balance remaining in your account and what the balance will be

After End Date:

***Note:** After the end date of a federally funded grant has passed, you have 45 days to ensure that all expenses have cleared the account. The amount of days to close an account will ultimately depend on the award so contact your fiscal department for specific deadlines.

- Communicate with departmental fiscal officer that all expenses have come through the account and no expenses remain outstanding
- Fiscal person will contact the OSPA accountant to let them know that all spending is completed
- When the technical report is complete, please notify the departmental fiscal officer that it has been completed and submitted. They can then contact the OSPA accountant and notify them that everything is complete. Copy of technical report cover letter for file is extremely helpful in case of collection issues.
- The department fiscal officer will continue to monitor the monthly grant reports to make sure the final payment has been collected and the grant has been closed and removed from the grant list

Appendices

Appendix A

University of Missouri Grant Resources

Campus Institutional Review Board: <http://research.missouri.edu/cirb/>

IRB orientation for new investigators: <https://irb.missouri.edu/cirb/>

Financial Disclosure Form: <http://research.missouri.edu/forms/files/financialconflict.pdf>

Graduate Student Support Program (GSSP) Tuition Fee Waiver Request:
<http://gradschool.missouri.edu/financial/assistantships-fellowships/tuition-waivers/cost%20share%20fee%20waiver%20request%20form.pdf>

Grant Fact Sheet: <http://www.research.missouri.edu/ogwp/files/grantfactsheet.pdf>

Guidelines for Processing Interdisciplinary Proposals:
<http://www.research.missouri.edu/ogwp/files/interd-prop.pdf>

New Faculty Grantsmanship Handbook:
http://research.missouri.edu/ogwp/files/Grantsmanship_Support_at_MU.pdf

MU Office of Research: <http://www.research.missouri.edu/>

Request for Pre-Award Account Form:
http://research.missouri.edu/forms/files/pre_award_account_request_form.pdf

Roles & Responsibilities of Principal Investigators:
<http://umsystem.edu/ums/departments/fa/controller/compliance/>

Subcontract Form:
http://research.missouri.edu/forms/forms_dept.htm#ospa
Under Office of Sponsored Programs Administration, select the Subcontractor Information Sheet

University Criteria for Processing External Funding:
http://research.missouri.edu/funding/files/Gift_Grant_Campus.pdf

Request for University Contribution (RUC) A.K.A. F&A Waiver Form:
<http://research.missouri.edu/forms/files/RUC.xls>

College of Education Grant Resources

College of Education Office of Research Support:
<http://education.missouri.edu/research/index.php>

PeopleSoft Checklist
http://education.missouri.edu/files/research_files/forms_docs/COEppsChecklist.pdf

Budget Template
http://education.missouri.edu/files/research_files/forms_docs/COE%20budget.xls

Appendix B

Guidelines for Collaborative Arrangements

Many grant proposals involve collaboration with other schools and colleges on campus, other institutions within the UM system, institutions outside of the UM system, schools, state agencies, for-profit and/or non-profit organizations . While these collaborations often strengthen projects, they also require more time and coordination of logistics to plan and develop the proposal.

Here are guidelines for both on-campus and off-campus collaborations and collaborations involving school districts in the MU Partnership for Educational Renewal (MPER):

Coordinating on-campus collaborations:

- 1) PI takes the lead on all aspects of proposal development, assisted by grant writer.
- 2) Budget is developed with help of PI's fiscal agent and input from all collaborators and their respective fiscal agents.
- 3) Shared credit (percentage credit for PIs and co-PIs upon which distribution of Research Incentive Funds (RIF) is based) is determined by PI and co-PIs with assistance from department chair(s) and dean(s).
- 4) PSRS is signed by PI and all co-PIs, chairs, and deans involved.
- 5) Internal processes of all collaborating schools/colleges/departments are followed.

Coordinating off-campus collaborations:

- 1) PI takes the lead on all aspects of proposal development, assisted by the ORS personnel.
- 2) If collaborators are within the UM system, a separate budget, scope of work, and PSRS are required.
- 3) If collaborators are outside the UM system, a Subcontract Form (see web link in Appendix A on page 21), a separate budget and a scope of work are required as well as a letter of support/commitment signed by an institution official and sponsored programs administrator. These are reviewed by OSPA as part of the proposal package.
- 4) Budget incorporating all partners is developed with help of PI's fiscal agent and input from all collaborators and their respective fiscal agents.
- 5) For MU team participants only, shared credit (percentage credit for PIs and co-PIs upon which distribution of Research Incentive Funds (RIF) is based) is determined by PI and co-PIs with assistance from department chair(s) and dean(s).
- 6) MU PSRS is signed by PI and all co-PIs, chairs, and deans involved.
- 7) Partners submit letters to the PI indicating support of the grant project and outlining their understanding of their respective roles and responsibilities in the project.
- 8) Internal processes of all collaborating agencies are followed.

Coordinating collaborations with MPER school districts:

The College of Education has developed a partnership with 22 school districts across the state of Missouri (<http://education.missouri.edu/orgs/mper/>). This partnership allows opportunities for university-school collaborations on grant projects. When working with school districts in the MU

Partnership for Educational Renewal (MPER) or with mentor teachers in the MU Teaching Fellowship Program, first contact MPER co-director(s) Dan Lowry (lowryda@missouri.edu) and/or Mike Pullis (pullism@missouri.edu) and provide the following information:

- one-page summary of the project
- requirements for school participation (time, teacher training, etc.)
- an outline of what is being asked of the school district
- a plan for ensuring confidentiality
- an outline of the benefits to the school district

On behalf of the Partnership, Lowry or Pullis will send a letter, also signed by the PI, to the appropriate school(s) requesting participation. PIs may also present proposal ideas to the MPER governing board for endorsement and to seek participation of partner districts. Projects involving partnership schools will need IRB approval before the research begins.

Letters of MPER support/commitment for relevant grant projects are also available by contacting Dr. Lowry. These letters often outline how MPER will work with particular projects, assist with dissemination of results, and provide other infrastructure assistance.

Appendix C

Office of Sponsored Programs Administration Contacts

The College of Education is assigned to OSPA's Black Team. Please refer to their webpage for the most current information about team assignments (<http://research.missouri.edu/ospa/>).

PreAward contact: *

Kate Wilson, Senior Grants & Contracts Administrator

Email: wilsonkate@missouri.edu

Phone: 882-8307

PostAward contact:

Marvin Williams, Senior Accountant

Email: williamsmarv@missouri.edu

Phone: 882-9586

Team Leader:

Zack Odem

Email: odemz@missouri.edu

Phone: 882-0290

*Please note that Kate Wilson is serving as our preaward contact on an interim basis. Please check with ORS if you have questions about who the current preaward contact is.

Appendix D

COLLEGE OF EDUCATION INSTRUCTIONS FOR REQUEST FOR COST SHARING GSSP FEE WAIVER

Principal Investigator: Name of Principal Investigator on grant

Project Name: Title of grant

Funding Agency: Agency where grant is being submitted

Total Grant Dollars Requested: Total dollar amount requested from the agency; do not include cost sharing dollars if they are being requested

Proposal Number: Number generated by the PeopleSoft system; if the number is not known, just leave blank

Number of Graduate Students on Project: How many students will waivers be requested for

Number of Years to Complete Program/Project: How many years will it take for the students to complete the program/project; for example: you are applying for a five year grant but it will only take a cohort of students two years to complete their program; you fill in two years on this line

Starting and Ending Dates of Project: Start and end date of the grant

FTE* (per student per year): State full-time equivalent of each student on the project each year

Total Proposed Fee Waivers: How many fee waivers are requested for students. This includes both grant-paid fee waivers and cost-shared fee waivers.

Total Cost Shared Waivers: How many of the fee waivers will be cost shared by the university.

Number of Cost Shared Fee Waivers Per Semester Per Year from CoE Allotment by Year: This is the number of standard fee waivers you will be requesting each year. A standard fee waiver is when the student qualifies for the GSSP program. (For example, if one student is attending FS, WS, and SS the number of fee waivers would be three for that year)

Year One Year Two Year Three Year Four Year Five

Number of Additional Cost Shared Fee Waivers from Graduate School by Year: (Special circumstances**) This is when you are asking for tuition for students or participants that may or may not qualify for the GSSP program, but because of special circumstances or excessive numbers of fee waivers involved a special request to cost share is being requested. If you are uncertain about which category your fee waivers fall under, please consult ORS and they will help you make this determination. . (For example, if one student is attending FS, WS, and SS the number of fee waivers would be three for that year)

Year One Year Two Year Three Year Four Year Five

Reason for Cost Sharing: Justification of your request. This could include that the funding agency does not allow tuition costs; the University must show a percentage of their request as cost sharing; or competitiveness of a proposal or program