SPONSORED PROJECTS HANDBOOK

A guide to sponsored projects at the University of the Incarnate Word

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The Office of Research and Sponsored Projects Operations

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Activity	PI/PD

- Online Research Compliance Training – UIW subscribes to online, on-demand research compliance training on a variety of topics through the Collaborative Institutional Training Initiative. Courses are offered in Human Subjects Research, the Responsible Conduct of Research, Good Clinical Practice, Health Information Privacy and Security, Animal Care and Use, Good Laboratory Practice, Biosafety/Biosecurity, and Conflicts of Interest. The Office of Research and Sponsored Projects Operations maintains the UIW CITI training account. Information on registering and accessing CITI training can be found on the ORSPO website.

- IRB Training: The Office of Research and Sponsored Projects Operations

- Review of compliance with reporting requirements and regulatory oversight of sponsored projects
- Management of internal funding opportunities for faculty and students
- Assistance with external funding searches
- Grant writing and grants management training
- Sponsored projects coordination
- Dissemination of information on funding opportunities, sponsor requirements, federal policies, and national best practices
- Researcher support for development and analysis of statistical data
- Organization of annual Research Week
- Support for on-campus conferences and research-related events

ORGS Office location: Administration Building, Suite 1A

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Website: http://www.uiw.edu/orgs/research

1.3: Searching for Opportunities

Several resources are available for faculty, staff and students who are seeking support for research and other projects, including internal seed funding opportunities, access to grants databases, and assistance with funding searches.

Internal funding opportunities for Faculty

The Office of Research and Sponsored Projects Operations manages several internal funding opportunities for faculty, described below. Requests for proposals are announced annually at the beginning of the Spring semester. Proposals are due mid-Spring, and awards are announced by the end of the semester. Full program descriptions, guidelines, and applications are available on the ORSPO website.

Faculty Endowment Research Award (FERA)

The Faculty Development Endowment Fund was established to provide limited support for new and ongoing faculty research projects. The award is considered "seed money" for research, in that the project should lead to further funding from external sources if continued support is needed and normally available in this area of research.

Search Tools

Here are some suggested avenues that UIW faculty, staff, and students can utilize to find funding. Visit any of the links below to search for funding sources and calls for proposals which may meet your research interests and needs

Grant Forward

GrantForward is a search engine dedicated to helping institutions and individuals find grants to fund their research. GrantForward covers more than 12,000 sponsor sources to provide a comprehensive database of more than 40,000 funding opportunities that continues to grow with the most up to date information. GrantForward's powerful search system helps to lessen the hassle of searching for grants with adaptable search filters and specialized search features. GrantForward researcher profiles allow researchers to highlight their research achievements and interests to receive personalized grant recommendations for grant opportunities that match their research needs.

Other useful websites

- Grants.gov is a centralized location for grant seekers to find federal funding opportunities. It includes a Grants Learning Center with information about the federal grants life cycle, policies on grants management, and profiles on grant-making agencies.
- Open Education Database: "100+ Places to Find Funding for Your Research"
- www.cfda.gov: Provides a list and description of many federal programs, some of which may not be listed on grants.gov.
- A very helpful page from the Foundation Center's Funding Research Web site

Section 2: Proposal Preparation

2.1: Proposal Development Timeline

The following is a suggested timeline for a well-planned proposal submission.

Proposal Submission Timeline

Due Date Prior to Agency's Submission Deadline	Task	Resources/Forms
6 – 5 months	Pre-Proposal • Develop your idea	Pre-Proposal Questionnaire
5 – 4 months		

2.2: Obtaining Preliminary Approval

Preliminary Approval Form

Before beginning work on a proposal, the Project Director/Principal Investigator must complete and turn in a Preliminary Approval Form whether or not assistance will be requested from the Grants Office. Approval to begin a project must be secured from the Dean or Supervisor. If the Project Director/Principal Investigator is a Dean or Senior Administrator, approval must be secured from the Provost or corresponding VP. Projects involving institutional impacts outside of the Dean/Supervisor's area of responsibility will require the approval of the corresponding VP or Provost. The purpose of this form and approval is to ensure that supervisors are aware that the PD/PI is undertaking a project that may affect the time, roles and responsibilities of the PD/PI and that the appropriate senior administrators are aware of projects that involve institutional impacts. The form is also used to alert the relevant offices that a grant proposal is being planned and to facilitate institutional coordination in support of the project.

Preliminary Approval Routing Process

- Step 1: PI/PD completes online form and submits it to the ORSPO staff. The Grants Office and the Grants Accounting Office are Cc'd on the submission.
- Step 2: ORSPO staff routes the form to the Dean or Supervisor and Provost/VP (if necessary) to review and sign.
- Step 3: The PI/PD, the signing administrator(s), the three affiliated offices receive copies: The Office of Research and Sponsored Projects Operations, the Grants Office, and the Grants Accounting Office.

2.3: Writing the Proposal

Overview of basic elements of a proposal

A proposal is an application for funding that contains all the information necessary to describe a project's plans, staff capabilities, and the funds requested. Most funding agencies have specific guidelines and requirements for the content and formatting of proposals. The sponsor guidelines should be strictly followed. A good, fundable proposal should start with a strong concept; have goals and objectives that are clear and understandable; be readable, well-organized, and grammatically correct; have a realistic budget that reflects the project goals; and be responsive to the sponsor's mission and interests. Although specific requirements vary, proposals may include many or all the basic elements described below.

Application Cover Page

Commonly Requested Institutional Information

Official Name	University of the Incarnate Word
Official Address	4301 Broadway San Antonio, TX 78209-6318
Authorized Institutional Signatory	Darrell Haydon, CFO Vice President for Administrative Services Phone: (210) 829-6038 Email: haydon@uiwtx.edu

Budget and Budget Justification

A detailed budget listing all costs to be requested from the sponsor must be prepared for all proposals and must follow the sponsor's guidelines, UIW financial policies, and applicable federal cost policies. A proposal budget usually consists of two parts: a budget worksheet and a narrative budget description, also known as a budget justification. The budget should be tied to and fully support the technical narrative. See Section 2.4 for more detailed budgeting guidance.

Biographical Sketch

A biographical sketch is a condensed version of a project personnel's curriculum vitae (CV). It is typically required of all key personnel named on the proposal. It is important to note that a complete CV is almost never allowed in proposals; funding agencies usually impose specific page limits and restrict the amount and type of information to be included. The biographical sketch should include the publications, experiences, and other key information that is most

- C an W Talk? o C ntacting Pro gram Officers by Robert Per
- Guide to writing co nds ty

2.4 Developing the Bu dg et OMB Uniform Guidance for Sponsored Project Support The OMB

(Subpart E-Cost Principles) outlines and explains the general accounting rules for institutions of higher education. The university is required to follow OMB's gui nce when determinin

Travel

Whenever possible, list the destination and purpose of each trip, and a breakdown of costs, including airfare, mileage, accommodation, per diem, and local travel. Include any required travel specified in program solicitation. While it is not always possible to specify all travel costs in advance, it is important to be as specific as possible and explain how travel is necessary for the conduct and/or dissemination of the project.

Grant funded travel must follow University travel policies as outlined in the General Travel Expense Report

Equipment

Equipment is defined as items of durable value at or exceeding $5,000 per unit. See funding agency guidelines for more specific definitions and/or restrictions.

The budget should list the requested equipment, including specific names, and as necessary, model numbers, price quotes, and price quote source. In the budget justification, explain why the equipment is necessary to the project and how it will be used.

Equipment purchased with sponsored project funds usually becomes the property of the University. It must be placed on inventory and the department is accountable for the equipment. (see Financial Procedures Manual Sec. 3)

Supplies

Be careful when including costs that are normally considered indirect costs in this category, such as office

Contractors

Contractors provide goods or services within routine business operations and operate in a competitive environment providing similar goods and services to a variety of customers. A quote for the contracted goods and/or services should be obtained and included in the budget. Contracts are normally paid

When the use of computers or the purchase of computer equipment is anticipated, the PI/PD should contact the IT Procurement Coordinator for guidance and information on pricing. Computers acquired using grant or contract funds will be purchased using the same guidelines and vendors as other University computers, unless there is cause for an exception as outlined in the University's Computer Purchase and Replacement Policy. Non-standard computer purchases must be approved by the dean (for faculty) or VP or director/budget manager (for administrators and staff). Large-scale software purchases involving a contract with the vendor must be reviewed and approved by the Vice President for Information Resources.

Indirect Costs (or Facilities and Administrative Costs)

Indirect costs, also called Overhead or Facilities and Administrative Costs (F & A), are defined as costs that are not readily identifiable with individual projects. These indirect costs include building space, utilities, library services, janitorial services, accounting, purchasing, and other administrative services. The University has a negotiated indirect cost rate agreement with the federal government. These rates are to be used in preparing all grant/contract proposals, including applications to federal agencies. Applications to other non-federal agencies must include a request for reimbursement of indirect costs at the rate the sponsor allows. If no specific rate is provided by the sponsor, the university's standard rate applies.

Indirect costs will be calculated at 60% of direct salaries and wages (exclusive of fringe benefits) for on campus projects and 22% of direct salaries and wages for off campus projects, or the rate required in sponsoring agencies' published guidelines. Grants Accounting staff will help determine the correct percentage to use for each sponsor. (see Financial Procedures Manual S.1 (i)4 (n)]TJ uhm(v)7 (e)3 (r)14 5 (o)

Section 3: Proposal Review, Approval, and Submission

3.1: Internal Proposal Submission Process

All proposals for external funding must be reviewed and approved by the university administration before they can be submitted to sponsors. To ensure ample time for routing and processing, the completed funding proposal and Final Grant Proposal Approval Form must be submitted two weeks before the sponsoring agency's submission deadline.

The submission deadline for the ABC Grant is May 30th. The completed proposal and Final Grant Proposal Approval Form must be submitted by May 15th.

Final Grant Proposal Approval Form

The Final Grant Proposal Approval Form must be completed by the PDIP and routed to the departments listed for the appropriate signatures at least two weeks before the grant deadline. It must be completed

Routing process

4.2: Human Subjects Research

The Office of Research and Sponsored Projects Operations (ORSPO) administers the human research protection program at UIW. The ORSPO

4.6: Responsible Conduct of Research

All faculty, staff, and students engaged in research at UIW are held to the highest standards for ethical conduct and are expected to maintain exemplary standards of intellectual honesty in the formulation, conduct, and reporting of research. Responsible conduct of research (RCR) is defined as "the practice of scientific investigation with integrity." It involves the awareness and application of established professional norms and ethical principles in the performance of all activities related to scientific research. Certain funding agencies, including the National Science Foundation and the National Institutes of Health, require researchers receiving funding to complete responsible conduct of research training.

The University of the Incarnate Word offers training in Responsible Conduct of Research (RCR) for those involved in research. RCR training includes instruction on Authorship, Collaborative Research, Conflicts of Interest, Data Management, Mentoring, Peer Review, and Research Misconduct. RCR training is available to UIW researchers via the Collaborative Institutional Training Initiative (CITI) website. Specifically designed RCR courses are available for Biomedical, Social/Behavioral, Physical Science, Arts

Section 5: Award Administration

5.1: Award acceptance

Please see the Financial Procedures Manual Section 5 for a complete description of purchasing policies and procedures.

5.5 Grant-supported travel

Please refer to University's comprehensive travel policy as printed on the back of the General Travel Expense Report

The following are additional policies and procedures related to grant-funded travel:

- The General Travel Expense Report must also be approved by the PI/PD and Grants Accounting Staff.
- Grantors may allow different per diem rates.
- Foreign currency exchange rates for the dates of travel must be included in the travel settlement
- The University's travel policy applies to employees as well as to program participants.

Please contact the Grants Accounting Office if you have any questions or need assistance in completing the travel forms. (see Financial Procedures Manual Sec. 3)

5.6 Charging tuition and fees to a grant

Tuition and fees for participants in a particular program may be charged directly to the grant account. The following procedures must be followed:

1. Prior to registration, the Business Office and Grants Accounting Manager must be notified, in writing, of the names and alternate identification numbers (PIDM) of the participants. The name and account number of the program to be charged must also be provided, as well as any restrictions governing the allowability of the charges (i.e. parking fees, graduation fees).

2. If the required information is not available prior to registration, please discuss the situation with the Business Office and Grants Accounting Manager to avoid delays/problems with the registration process.

3. It is the PI/PD's responsibility to notify the Business Office and Grants Accounting Manager whenever a participant withdraws from the program or is otherwise ineligible for tuition coverage. (see Financial Procedures Manual Sec. 3)

5.7 Budget Revision Requests

Budget revisions are allowed based on the agency guidelines. The PI/PD must submit request to Grants Accounting when it is necessary to revise a budget for a project. Grants Accounting will prepare the budget revision forms based on agency guidelines. The Grants Accounting Manager may assist in obtaining the necessary prior approval from the grantor; however, the PI/PD must request agency's approval. In certain instances, Grants Accounting may authorize a budget revision according to the grantor's regulations. Please note that agency requests may take 30 or more days to receive a reply. (see

5.8 Initiating no cost extension

Most granting agencies require approximately four to six months to process a request for an extension of time with funds. A “no cost” extension can usually be granted if requested at least ten working days before the current expiration date. The Grants Accounting Manager should be contacted to initiate a no cost extension. (see Financial Procedures Manual Sec. 3)

If the grant stays with the University, then a new PI/PD must be instated and a request for the new PI/PD must be sent to the agency.

Equipment Transfers

In some cases, a PI/PD may request to transfer equipment purchased with external funds to a new institution. Such requests will be handled on a case-by-case basis, taking the following considerations into account:

- If equipment was purchased under Federal funds, the government can require equipment purchased to be transferred if the aw

Grants Accounting Staff reconciles financial aid, finance, and Department of Education records. For other

7.2 Forms

- Preliminary Approval Form
- Final Grant Proposal Approval Form
- Budget Template
- General Travel Expense Report
- Time and Effort Report
- Significant Financial Interests Disclosure Form

7.3 Other University Documents & Reference materials

- Chart of Accounts (request from Grants Accounting)
- Indirect Cost Agreement (request from Grants Accounting)

Chapter 8: Glossary of Grants Terminology

Allocable Costs
Costs that benefit a grant or contract.

Allowable Costs
Categories of costs that can be charged to an award, grant, or contract because they are directly related to the agreement or project.

Audit
A formal examination of an organization's or individual's financial accounts and/or financial situations. An audit can also be

progress, property, and patent reports.

Conflict of Interest
A conflict of interest occurs when an individual has a financial interest or personal connection that affects or has the potential to affect the individual's conduct during the project.

Consortium Agreement
A written agreement and specified terms for a group of collaborative investigators or organizations that support a project.

Continuation Project (Non-competing)
A continuation project is applicable to grants and cooperative agreements where a project is approved for multiple-year fu

Expiration Date

The expiration date signifies the end of the performance period, as indicated on the Notice of Grant Award.

Incremental Funding

A method of funding contracts that provides specific spending limits below the total estimated costs.

Indirect Costs

Costs related to expenses incurred in conducting or supporting research or other externally funded activities but not directly attributional to a specific project. General categories of indirect costs include general administration (accounting, payroll, purchasing, etc.), sponsored project administration, plant

Matching Grant

A grant that requires a specified portion of the cost of a supported item of equipment or project to be

Pre-Proposal

A brief informal description of a project and estimated budget. The pre-proposal is sometimes submitted to determine the interest of a potential sponsor prior to submission of a formal proposal and are often submitted to the sponsor by the PI. A pre-proposal is also known as a preliminary, initial or Phase I proposal. Pre-proposals that are binding require institutional approval.

Re-budget
The act of amending a budget by moving funds from one category or line item to another; also called

Supplemental (Re-budgeting or Modification) Proposal
A request to the sponsor for additional funds for an ongoing project during the previously approved performance period. A supplemental proposal may result from increased costs, modifications in design, or a desire to add a closely related component to the ongoing project.

Terms of Award
All legal requirements imposed on an agreement by the sponsor, whether by statute, regulation, or terms in the award document. The terms of an agreement may include both standard and special provisions that are considered necessary to protect the recipient's and sponsor's interests.

Total Direct Costs (TDC)
The total of all direct costs of a project

Total Project Costs
The total allowable direct and indirect costs incurred by an organization to carry out an approved project.

Unallowable Costs
Those expenses which are not reimbursable under the terms and conditions of federally sponsored