



School of
Health Professions

University of Missouri Health System

Faculty and Staff Grants Manual
2016-17

SHP Office of Research Faculty Resources:

[https://missouri.app.box.com/files/0/f/6207306465/SHP Office of Research Faculty Resources](https://missouri.app.box.com/files/0/f/6207306465/SHP_Office_of_Research_Faculty_Resources)

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SHP Office of Research Overview

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Our Resources and Services

The SHP Office of Research staff are available to provide individual and department training and presentations on various aspects of grant proposal development and award administration. The Office also issues monthly and annual reports on SHP sponsored projects, which are posted in the Research Metrics subfolder in the SHP Office of Research Faculty Resources folder in Box https://missouri.app.box.com/files/0/f/6772124590/Research_Metrics

Our Resources

- **SHP Faculty and Staff Grants Manual***
- **Funding opportunity search tools**
- **Proposal development and grantsmanship skills***
- **Samples of funded grant proposals and supporting documents**
- **Sample descriptive text for campus, school, departments, and facilities***
- **Application forms, guidelines, and budget templates**
- **SHP monthly and annual reports on sponsored projects***
* These and many more resources are posted in the SHP Office of Research Faculty Resources folder in Box at [https://missouri.app.box.com/files/0/f/6207306465/SHP Office of Research Faculty Resources](https://missouri.app.box.com/files/0/f/6207306465/SHP_Office_of_Research_Faculty_Resources)

Our Services

Identifying Funding Opportunities

- Assist faculty with locating funding opportunities for research, instruction, and public service projects
- Assist faculty with using the Pivot funding opportunity database and setting up funding alerts

Project Development

- Locate potential collaborators within the School and/or the University
- Provide research support for specific proposals
- Consult on research methodology and data analysis

Proposal Development

- Interpret sponsor guidelines, proposal specifications, and federal regulations
- Arrange for internal mock review
- Assist with budget development and form completion
- Assist with development of contracts and

subcontracts

- Develop proposal writing timelines and checklists
- Edit grant proposals for clarity, readability, and mechanics
- Assist with customizing letters of support, facilities sections, and biosketches
- Compile applications

Proposal Review and Submission

- Review proposals to ensure compliance with University regulations and policies
- Review proposals to ensure they address sponsor guidelines and priorities
- Submit proposals through the Office of Sponsored Programs Administration

Pre- and Post-award Administration

- Assist with setting up Pre-Award accounts
- Processing Notices of Award
- Support post-award administration (e.g., reporting, rebudgeting, continuation submissions)

Glossary of Grant-Related Terms

ACUC	Animal Care and Use Committee: Internal MU committee that reviews animal research protocols and ensures compliance with federal animal care and use policies and regulations.
Award, Reimbursable	Payment is made after expenses are incurred and invoiced. Cost-reimbursable awards are made at a “Not-To-Exceed” total amount.
Award, Fixed Price	A fixed price amount of funds is sometimes awarded up front or in increments. These are not based on cost reimbursement . Fixed price awards may be extended internally without notifying the sponsor as long as all deliverables required by the sponsor have been met AND MU has received all of the funds from the sponsor. If not all of the funds have been received from the sponsor, OSPA will likely need to get sponsor approval to extend the timeframe for the scope of work. Fixed price awards are unique to each sponsor, so these are handled on a case by case basis. When the OSPA Senior Accountant determines that an internal change is appropriate, s/he will update the end date as described above in “Sponsor Response to NCTE Request or Notification.”
CA	Confidentiality Agreement: A legally-binding agreement that defines the obligations and rights of all the participants involved in exchanging confidential information between the signing parties.
CE	Correcting Entry: Correction within the financial system.
Cost Sharing	Portion of the total cost not paid by the sponsor that is covered by the grantee institution.
Direct Costs	Costs that can be directly assigned to a sponsored project, instructional activity, or other institutional activity.
F&A	Facilities & Administrative Costs (Indirect Costs): Infrastructure, overhead, and administrative costs that are indirectly associated with a sponsored project, but not directly assigned – MU’s F&A rate is determined by negotiation with DHHS.
FOA	Funding Opportunity Announcement: Grants.gov official announcement for the availability of funding.
GAS	Grant Award Summary: OSPA document that provides a financial description of an award.

IRB	Institutional Review Board: Internal MU committee that reviews research involving human subjects to ensure protection and compliance with federal and institutional regulations.
Limited Submission	Programs under which the sponsor limits the number of proposals that an institution may submit.
LOC	Letter of Commitment: Notice that articulates a commitment of resources.
LOI	Letter of Intent: Notice that expresses intent to submit before due date. If the sponsor requires a detailed budget or institutional signature, the LOI must be processed through the SHP Office of Research and OSPA, following the same internal due dates as full proposals, per MU OSPA policy.
LOS	Letter of Support: Notice expressing support without committing resources.
MoCode	The 5-digit chartfield string that identifies the fund, department ID, program, project, and class to identify the grant.
NCTE	No Cost Time Extension: An extension of the period of performance beyond the expiration date to finish a project without receiving an increase in funding from the sponsor.
OIDF	Outside Interest Disclosure Form: Submitted annually in eCompliance.
OSPA	Office of Sponsored Programs Administration: Central campus office for pre-award and post-award support for submitting extramural proposals and receiving extramural awards.
PA	Program Announcement: FOA that is open for three years (e.g. PA-14-033).
PAR	Program Announcement w/ Review: FOA with special considerations (e.g. PAR-14-028).
Pre-Award Account	Early establishment of a grant account prior to actual award receipt arranged when award is imminent. This allows a PI to charge expenses to the appropriate PeopleSoft chartfield and avoid the need for later cost transfers.
Pre-Award Activities	Effort performed to create a proposal through submission to a sponsor.

Post-Award Activities	Effort performed (primarily financial) following award set-up through award close-out.
Pre-Proposal	Preliminary Proposal: A brief project description prior to submission of a full proposal. Generally the highest-ranked receive an invitation to submit. If the sponsor requires a detailed budget or institutional signature, the pre-proposal must be processed through the SHP Office of Research and OSPA, following the same internal due dates as full proposals, per MU OSPA policy.
ePSRS	Electronic Proposal Signature Routing Sheet: Internal MU document that provides administrative and budget information about a proposed project and participating personnel. The PSRS is now processed electronically.
PS	PeopleSoft: MU software used for financial, human resources, grant, and tracking purposes.
RIF	Research Incentive Funds: A share of the F&A dollars received on grants each fiscal year. Amount received by project personnel is based on the shared credit percentage on the ePSRS.
RFA	Request for Application: FOA that is specific to a well-defined area of research, usually issued only once (e.g. RFA-HS-14-007).
Shared Credit	Distribution of RIF that is returned to those listed in the shared credit panel in the ePSRS. It will always sum to 100%.
SOW	Scope of Work: A description of the effort to be accomplished by outside personnel on a project through a subcontract or consulting agreement.
Sponsored Travel Report	Report to disclose travel expense funded by an outside entity, including reimbursed travel, when such expenses exceed \$5,000 when aggregated over the last 12 months.
Subcontract	A contract for project effort by personnel from other organizations defining their budget and scope of work on a grant project.

Grant Development & Submission Process – Step by Step

All external grant proposals that are administered by MU and developed by SHP faculty are reviewed by the SHP Office of Research staff prior to submission and require chair and dean approvals. This review includes proposals involving SHP faculty as Co-PIs and/or project personnel when the PI is from another division or business unit. It also includes pre-proposals and letters of intent when the sponsor asks for a detailed budget and/or institutional signature. Internal proposals are not required to be routed through the SHP Office of Research staff, but a copy should be e-mailed to the SHP grants administrators, so they can be recorded in SHP reports. Individual external fellowship grants that are payable directly to the individual (faculty and students), and are part of their taxable income, are not administered by MU. They are not submitted through SHP Office of Research staff and MU OSPA, and should be submitted directly to the sponsor. SHP grants and contracts administrators are available to help faculty and students distinguish between institutional and individual grants.

PI Responsibilities are outlined in Appendix B. If the proposal involves collaboration with other divisions or business units within the University or with institutions outside the University, the Guidelines for Collaborative Agreements in Appendix F should be followed.

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

Notification and Classification

Notification: SHP faculty who intend to submit a proposal, pre-proposal, or letter of intent should first discuss the project with their department chair and fiscal/grants administrator. Notify the grants administrators in the SHP Office of Research and provide a copy of the funding opportunity announcement (FOA) or request for proposal (RFA), the funding agency's guidelines, and the application form or relevant URL as far in advance of the sponsor deadline as possible. For assistance with proposal development and editing, also contact the grant writing consultant.

Classification: Projects are classified as Research, Instruction, or Other (Sponsored Activity)/Public Service

- **Research** projects are considered either *basic*, *applied*, or *development*
 - **Basic Research** is aimed at advancing knowledge. No specific intent is required other than learning. 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** seeks to achieve a specific goal, such as improving patient outcomes. The goal is well defined and the research is narrowly focused on obtaining that goal. The goal is pragmatic and practical.

- **Research Development** involves the systematic use of the knowledge or understanding gained from research directed toward the production of useful materials, devices, systems, or methods, including the design and development of prototypes and processes.
- **Instruction** projects include expenditures for credit/non-credit courses; course development; and academic, vocational, and technical instruction.
- **Public Service/Other** projects include activities established to provide non-instructional services beneficial to individuals and/or groups external to the University.

Proposal Development

The Office of Research Grant Writing Consultant is available to answer questions and assist with many aspects of proposal development, including interpreting funding announcements and guidelines, creating proposal timelines and checklists, editing proposal narratives, customizing letters of support, assisting with the design of figures and tables, and proofing final documents. On larger projects, the grant writing consultant can assist with coordinating and compiling technical documents (e.g., research narratives) and supporting materials.

Budget Development

PIs should work with the Office of Research grants administrators to develop the grant proposal budget and budget justification. A sample budget format is available in [Appendix C](#). SHP Office of Research grant administrators have Excel templates for SHP's standard budget formats that can be adapted to fit various sponsor requirements. The appropriate rate for calculating F&A (indirect cost) depends upon the classification of the project: Research, Instruction, or Other/Public Service; on- or off-campus project status; and sponsor guidelines.

NOTE: Follow the link to MU's Grant Fact Sheet for a listing of current F&A rates for the different classifications <http://research.missouri.edu/ogwp/files/grantfactsheet.pdf>.

PeopleSoft ePSRS Processing

A SHP Office of Research grants administrator prepares an Electronic Proposal Signature Routing Sheet (ePSRS) for each proposal being submitted to an external sponsor. The ePSRS is an internal document that provides administrative, personnel, and budget information about the proposed project. The ePSRS is routed for approval/signature to all faculty members who are PIs, Co-PIs, or key personnel on a proposal and then to department chairs and the Dean. The grants and contracts administrator sends the completed ePSRS and the proposal to the Office of Sponsored Programs Administration (OSPA) for final review, institutional approval, and submission to the sponsor.

The ePSRS also includes information on shared credit (the distribution of Research Incentive Funds is calculated according to a percentage allocated to each investigator and key person). This credit is determined by the PI and any Co-PIs and is approved by approval/signature on the ePSRS by their chair(s) and dean(s).

IRB/ACUC Approvals and Training

IRB Approval: If a project includes research on human subjects, the Principal Investigator must apply for and receive approval from an MU Health Sciences Institutional Review Board (IRB) before an award can be processed by the Office of Sponsored Programs Administration and before the PI can start the project. Information about MU IRBs and access to the electronic IRB application is available at <https://research.missouri.edu/irb/>. Follow-on renewals and amendments are also processed electronically through this site.

IRB Training: The PI and all personnel included in the grant project must have completed IRB training on conducting human research and have a current CITI certificate on file before an award can be processed by the Office of Sponsored Programs Administration. This training is available at <https://research.missouri.edu/irb/>

ACUC Protocol: If a project involves animal subjects, an approved protocol must be obtained from the MU Animal Care and Use Committee (ACUC) prior to award acceptance or project start. ACUC information and the TOPAZ electronic protocol application system may be accessed on the MU Animal Care Quality Assurance website located at <https://research.missouri.edu/acqa/>

ACUC Training: The PI and all project personnel must successfully complete the ACUC online training and enroll in the ACUC “Occupational Health Program for People who Work with Animals” before the portion of a project award involving animals can be processed by OSPA and work with animals can begin. Training can be accessed through the Animal Care Quality Assurance website located at <https://research.missouri.edu/acqa/>

Conflict of Interest Compliance - eCompliance

In response to increased public scrutiny and concern about conflicts of interest at research institutions, the federal Public Health Service (PHS) now requires that all investigators on a proposal must disclose potential conflicts of interest prior to submission, as directed under the policy of the University of Missouri, through **eCompliance** at http://research.missouri.edu/compliance/conflict_of_interest/using

The following are the responsibilities of investigators under the PHS regulation:

- **Complete Conflict of Interest Training:** Prior to engaging in any PHS-funded projects, all investigators must complete conflict of interest training in eCompliance (see link above). Investigators may also be required to renew their training when they have failed to properly disclose outside interests or when they are noncompliant with regulations, including any necessary management plans.
- **Disclose Outside Interests:** All investigators must submit an annual Outside Interest Disclosure Form (OIDF) in eCompliance prior to submitting any proposals for PHS-funded

research and each year thereafter. Proposals will not be submitted if all investigators do not have a current OIDF on file.

- **Disclose Sponsored Travel:** Investigators participating in PHS-funded projects are required to disclose travel expenses funded by an outside entity, including reimbursed travel, when such expenses exceed \$5,000 when aggregated over the last 12 months. Once the \$5,000 threshold for sponsored travel from a single entity has been reached, a **Sponsored Travel Report** must be submitted through eCompliance describing the travel sponsored by that entity.
- **Updating Disclosures:** While participating in a PHS-funded project, investigators must update their Outside Interest Disclosure Form (OIDF) or Sponsored Travel Report within 30 days of acquiring or discovering new outside interests or exceeding the \$5,000 threshold for sponsored travel not previously disclosed.
- **Adding New Investigators:** Before a Principal Investigator (PI) can add any new investigators to an on-going PHS-funded project, the “new” investigator must file an OIDF and complete the online eCompliance training.

Proposal Submission

The majority of proposals are now submitted electronically. Faculty should work with a SHP Office of Research grants and contracts administrators to complete electronic application forms and compile proposals. When paper submissions are required, the PI should submit the original proposal and any required sponsor copies, plus two additional copies.

Documents required for submission include:

- A copy of the funding opportunity announcement, proposal guidelines, application forms and instructions, and the URL where these documents may be found. For non-federal online applications, the PI should go through the steps to create an application and then provide the login and password to the SHP grants administrators. The SHP grants administrators and OSPA will need to access the online proposal, pre-proposal, and letter of intent applications to obtain guidelines and view required signature lines that are not indicated in the general guidelines. OSPA is the only office that is authorized to submit proposals and they will do the final review and submit the online application.
- All required proposal components, including narrative sections, biosketches, letters of support, and all compliance documentation (conflict of interest, IRB, ACUC, etc.).
- If the project involves subcontracts to other institutions or outside entities, please work with the SHP grants and contracts administrators to determine the correct forms and procedures and allow additional time for processing. See the [Subcontracts with Other Institutions](#) section for additional information.

- Electronic ePSRS (created by grants administrator) containing all required approvals up to the SHP Dean level. This includes approvals/signatures from any faculty from other divisions, and their chairs and deans.

Letters of Intent (LOIs) and Pre-proposals

SHP faculty who intend to submit a proposal, pre-proposal, or letter of intent (LOI) should first discuss the project with their department chair and fiscal/grants administrator. Letters of intent (LOI's) and pre-proposals vary widely in sponsor requirements. Some must follow the standard internal review and submission procedures, while others may be submitted directly to the sponsor by the principal investigator. It is not always easy to determine what is required. Therefore, PIs should notify the grants administrators in the SHP Office of Research as far in advance of the sponsor deadline as possible, and provide a copy of the funding opportunity announcement, the funding agency's guidelines, and the application form or relevant URL.

For online LOIs and pre-proposal applications, the PI should also follow the steps to create an account and an application, and then provide the login and password to the grants and contract administrators. This is important because many online applications contain additional instructions and requirements for budget information and institutional signatures that are not mentioned in the guidelines. LOIs and pre-proposals that require a detailed budget or institutional signature must be reviewed and submitted through SHP and OSPA. OSPA is the office which provides institutional approval and has signature authority and is the only office authorized to submit budgets related to grants and contracts. SHP Office of Research grants administrators will carefully review the entire application package and inform the PI of any such requirements and if the LOI or pre-proposal must be submitted through OPSA or should be submitted directly to the sponsor by the PI.

Submissions of LOIs and pre-proposals through OSPA require a complete package of information ([see above](#)). The completed LOI or pre-proposal package is due to the SHP Office of Research grants administrator at least 6 business days prior to the sponsor due date, and is due to OSPA 5-business days prior to the sponsor due date. Since LOIs and pre-proposals can require the same amount of administrative work (internal paperwork, ePSRS, etc.) the SHP Office of Research grants administrators need time to review the FOA, guidelines, assist with and review the budget, and prepare the required internal paperwork.

Limited Submissions

Limited submission programs are those for which the sponsor limits the number of applications or nominations that a given institution may submit. The guidelines for these programs generally allow only one or two applications and always require the institution to determine which applications will be submitted. PIs must follow OSPA Internal Procedures for Limited Submissions, see below, to receive approval to submit a limited submission grant proposal.

Announcements for these programs, along with the internal campus deadlines for submission of letters of intent to the Office of Research, are posted at <http://research.missouri.edu/ogwp/lisa/>. To subscribe or unsubscribe to the campus listserv that receives a notice each time new announcements are posted, go to <http://research.missouri.edu/ogwp/subscribe>

For limited submissions, the PI is responsible to submit all of the below information to OSPA. It does not require routing through SHP Office of Research, but it's helpful to copy the grants administrators or let them know your plan of a potential proposal, since these have a shorter timeframe to meet sponsor deadlines. OSPA does not require a detailed budget, only an estimated total amount. If the sponsor requires a cost match, the total amount and source(s) should be indicated.

Internal Procedures for Limited Submissions

1. Read the sponsor's guidelines and consider what the most important review criteria will be. Draft a letter of intent of three pages or less, including the following:
 - A. A description of your proposed project, focusing on the most important review criteria including objectives, methods, and outcomes,
 - B. An estimate as to the budget request,
 - C. The anticipated amounts and sources of cost match commitments (if there will be cost match commitments), and
 - D. The names of three MU personnel who would be qualified to review your letter of intent for this funding opportunity.
2. Submit your letter of intent to ltsub@missouri.edu by the internal deadline. Please be sure to note in the cover email or the subject line the limited submission competition to which you are responding.
3. If the number of letters of intent received does not exceed the sponsor's limit, the Office of Sponsored Programs Administration will notify you within a day or two that your proposal is cleared to proceed.
4. If the number of letters of intent received exceeds the sponsor's limit, the Office of Sponsored Programs Administration will solicit faculty reviews. Instructions to reviewers will be to read the sponsor guidelines and the letters of intent and then to rank the letters in the order in which the reviewer would expect the letters to be funded in light of the sponsor's guidelines. Reviews represent recommendations to the Senior Vice Chancellor for Research, Graduate Studies, and Economic Development or his designee, who makes the final decision. You will be notified of the results of the review process as soon as reviews are all in and a decision has been reached.
5. If your proposal is selected to proceed, please be aware of the following caveats:
 - A. Selection does not imply any cost match commitments.

- B. Normal processing procedures by your department and division and the Office of Sponsored Programs Administration apply.
 - C. If for some reason you decide not to proceed with a proposal, you should notify the Office of Sponsored Programs Administration (ltsub@missouri.edu) as soon as possible so that an alternate application can be approved.
6. If the internal deadline passes and all of the sponsor's allowed slots have not been filled, additional applications will be treated on a first-come, first-served basis. Please contact the Office of Sponsored Programs Administration (ltsub@missouri.edu) if the internal deadline has passed and you are interested in submitting an application.

SHP Office of Research Administrative Review

Proposals requiring either electronic or paper submission must be completed and received for final review in the SHP Office of Research no less than six (6) full business days prior to the submission due date, which will be one (1) business day prior to submission for OSPA review. This should occur after working with the SHP Office of Research grants administrators, who will prepare the budget, internal and external forms, and the application package, and the grant writer, who performs a final format check of application documents.

[Appendix D](#) depicts the proposal preparation and submission process timeline.

OSPA Review, Submission, and Notification to PIs

The SHP Office of Research is required to submit a proposal to OSPA five (5) full working days before the sponsor deadline. After reviewing the proposal, OSPA submits the proposal to the sponsoring agency (either electronically or in paper format) and notifies the PI when it has been submitted. PI's should remain available during the time period from OSPA submission to the sponsor deadline in case problems in the submission process require her/his attention.

NOTE: Any deviation from the Office of Research review and submission deadlines must be approved in advance by the Interim Associate Dean for Research. Given the multiple reviews a proposal must go through prior to submission to the sponsor, it is strongly advised to submit the final version of the complete proposal and all required forms to the Office of Research at least eight (8) and preferably ten (10) working days before the submission date, to allow for modifications before final submission to the sponsor. See [Appendix D](#) for the SHP Proposal Development and Submission Timeline.

Budget Development

This section of the handbook is intended to help you prepare a grant proposal budget. Your department fiscal/grants administrator is available to assist you with this process, as are the SHP Office of Research grants administrators.

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

- Personnel
- Fringe Benefits
- Travel
- Equipment
- Supplies
- Consultants/Contracts
- Student Support & Tuition Remission for GRAs
- Other Direct Costs
- Indirect Cost Rates)
- Cost Sharing / Matching Funds
- Subcontracts with Other Institutions

Personnel

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

NOTE: Faculty members on 9-month appointments involved in full-time summer research are normally compensated at a rate not to exceed 2/9 of their annual salary. In unusual circumstances, compensation supported by grant funds may exceed 2/9, but in no case shall exceed 3/9 of the annual salary.

When calculating pay/effort from grants and contracts, please seek guidance from your departmental fiscal/grants administrator or SHP Office of Research grants administrators. It is customary practice for faculty and researchers to be funded from externally sponsored grants and contracts based on effort. However, costs for clerical and/or administrative staff are generally prohibited except on large projects (generally where staff positions exist due to the project). For all individuals funded from a grant/contract, the funded effort must be effort dedicated solely to the project.

During budget planning, it is important to remember to increase current salaries by the expected annual increase at September 1 each year and consider changes in effort across multiple year awards. For 12 month appointments, the effort/pay calculation methods are consistent (i.e. do not change over summer) and extra compensation is not generally allowed (most sponsors do not allow extra

compensation). For faculty on 9-month appointments, when calculating effort that spans the summer or includes summer months, there are a few things to remember. Summer salaries for 9-month faculty cannot be cost shared by the University as there is no base effort or pay during summer months. Extra compensation allowable for grant effort over summer months must be in accordance with the sponsor-endorsed budget and must be approved by the Dean and Provost Office. Any questions should be directed to a SHP grants administrator.

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: It was determined by the Federal Government that we must use a set fringe benefit rate on all federal grants. Grants from non-federal sponsors will use our regularly determined rates. For current rates see MU's Grant Fact Sheet at: <http://research.missouri.edu/ogwp/files/grantfactsheet.pdf>.

Project personnel are identified as full time (75%FTE or higher appointment) or part-time (less than 75% FTE appointment). See the Grant Fact Sheet for full time benefit rates. For part-time employees, use 7.65% of requested salary.

Graduate Students (GRAs): Please check with the SHP Office of Research grants and contracts administrators for current information on GRA health insurance.

Travel

Show Detail as Follows:

- Airfare or Mileage (#miles @ current mileage rate x # trips)
- Lodging (#nights @ \$/night)
- Meals (\$ rate/day max @ #days)

Check MU's Grant Fact Sheet at <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. Mileage rates are tied to the federal rate and generally change at January 1. Receipts must be kept for some expenses and provided to your department fiscal administrator to claim reimbursement. See the Travel and Expense (T&E) System FAQs for detail at https://www.umsystem.edu/oei/sharedservices/apss/travel_and_expense/links_doc_te

Airports:

- [Columbia Regional Airport](#), with service to Chicago and Dallas by American Airlines, is about 14 miles south of Columbia. It is served by local taxis (cost about \$25 one-way), and Hertz and Enterprise car rental companies. Parking is free.
- St. Louis airport is 112 miles east of Columbia and is served by two van/bus shuttle services: [EZGo Bus](#) and [MOX](#). Kansas City Airport is 145 miles west of Columbia and

is served by [MOX](#) shuttle service only. Fares range from \$35 to \$62 each way. Airport parking fees range from \$8 to \$22 per day.

Expenses at Destination Point – Domestic Travel:

- Roundtrip ground transportation from the airport to your hotel and return
- Hotel rate per day x number of days x number of individuals
- Beginning July 1, 2014, the University changed its per diem allowance for domestic overnight travel outside the state of Missouri to Contiguous United States (CONUS) rates as determined by the federal government. Specific meal rates by location can be found at <http://www.defensetravel.dod.mil/site/perdiemCalc.cfm>. For overnight travel within the state of Missouri, the meal allowance is \$46
- If travel involves a conference, include registration fees.

Expenses at Destination Point – International Travel:

- The federal per diem rates for international locations by location are also published at <http://www.defensetravel.dod.mil/site/perdiemCalc.cfm> and are updated regularly. Use these rates to estimate international costs for your proposal budget.

Special Considerations for International Travel:

- Visa fees
- Insurance – depending upon the destination, some federal sponsors require insurance for health, emergency evacuation, and repatriation of remains.
- All foreign travel must be included in the proposal budget and must be adequately justified.
- If foreign travel was not included in the original proposal, sponsor approval *must* be obtained *prior* to the travel.
- It is recommended that you always use a US-flag air carrier.

Equipment

Each individual item with a cost of \$5,000 or more AND a useful life of more than one year is considered equipment and must be listed separately in the budget. Items costing less than \$5,000 and with a useful life of less than one year should be included under “Supplies” or “Other Direct Costs,” as applicable. Fabricated equipment that includes components under \$5,000, but which is required in order for the equipment to operate, is capitalized and budgeted in the “Equipment” section, and excluded from F&A.

Each item that qualifies as equipment is excluded before you calculate the F&A (indirect costs). No matter the cost, software is NOT considered equipment. The only exception to this rule is in the case of a sponsor which does not pay the full federal F&A rate and does not exclude equipment in the grant guidelines. Then, and only then, should equipment be included in the F&A cost calculation.

Supplies

According to federal regulations, general office supplies are NOT allowed in normal project budgets. These costs are included in the University's F&A rate. Since the costs are not allowable as project charges, they are also not allowable as cost sharing and should not appear in the budget.

Consultants/Contracts

You may list consultant and/or evaluator fees as a per-day expense or as an agreed upon total amount. Some sponsors have guidelines regarding maximums or minimums that can be paid to consultants and/or evaluators (the National Science Foundation, for example). Also address travel expenses for these individuals. 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 \$500/day. University faculty/staff are not listed in a budget as consultants; rather they are listed under Personnel. Fringe benefits must be requested for University personnel who are being paid for their time on a project. Some sponsors include subcontracts under this heading in their budget formats, but unless specifically instructed to do so in the sponsor guidelines, list subcontracts as a separate category (see [Subcontracts](#), below, for more information).

Student Support

You may list scholarships or fellowships (# students @ \$/each) and applicable tuition and fees (# students @ \$/yr.) under this category. Student support costs such as tuition, fees, scholarships, and fellowships are excluded from F&A (indirect costs). Scholars and fellows are not the same as graduate research assistants (GRA). Most of the time a GRA is an employee of the University and must have project effort to receive a stipend (salary on the project). A scholar or fellow is considered a "trainee" not an employee and does not have to provide a service to receive a stipend. SHP Office of Research grants administrators can determine when a student is classified as an employee or non-employee/trainee on a grant or contract, depending on the guidelines for the particular program.

NOTE: Tuition remission (educational fees) is shown in the "Other Direct Costs" section of the budget (see SHP sample budget template in Appendix C). Allowability of GRA Health Insurance is TBD (see above under [Fringe Benefits](#)).

When calculating the tuition for each GRA, include nine (9) credit hours per semester for the fall and winter semesters and four (4) credit hours for the summer session for a total of 22 credit hours per year.

Tuition Remission for GRAs

If the funding sponsor considers tuition/educational fees as an allowable cost, you must include it in the sponsor's portion of the budget. If the sponsor considers tuition/educational fees as a non-allowable cost, the expense does not need to be shown on the cost-sharing portion of the internal MU budget and ePSRS or linked/recorded to the project expenses, unless it is mandatory cost share required by the sponsor. If tuition is not allowable, a fee waiver request (see below) should be

completed and submitted to the Graduate School. In some cases, the Graduate School will provide a waiver of tuition/educational fees. If this is not possible, your department will be responsible for cost sharing this GRA benefit.

NOTE: 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.”

A web link to the form for requesting a waiver of graduate tuition/educational fees for GRAs, GTAs or participants is located in Appendix A: University of Missouri Grant Resources or at <http://gradschool.missouri.edu/forms-downloads/repository/cost-share-fee-waiver-request-form.pdf>. This form must be completed, signed, and submitted to the SHP Office of Research 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 proposal can be submitted, so please allow at least one full week for the approval process.

NOTE: Tuition/Educational Fees are not included in the budget F&A calculation unless the funding sponsor restricts the F&A rate to less than the University’s federally negotiated rate

Other Direct Costs

This is generally a catch-all category that includes project costs that do not fit the other categories. Include here GRA Tuition Remission and costs such as dissemination, reproduction, subject compensation, postage, publications, etc. Check with your departmental fiscal/grants administrator if you are uncertain on whether a project expense is allowable and if it is, how it should be categorized.

Indirect Costs (F&A Rates)

The Office of Sponsored Programs Administration negotiates the University’s F&A rates with the Department of Health and Human Services. The current negotiated rates for the University of Missouri-Columbia can be found in the OSPA Grant Fact Sheet at <http://research.missouri.edu/ogwp/files/grantfactsheet.pdf>

SHP Office of Research grants administrators maintain copies of negotiated F&A policy rates with various state agencies. If submitting a state agency proposal, please contact them for the most current rates.

Requests to the University to waive or reduce F&A costs, ***which are strongly discouraged and rarely approved***, 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 School funding is not available to recover the reduction. The campus Office of Research will

require that the department waive its RIF return to cover part of the shortfall and may also require a dollar match. See the guidelines and fill out the appropriate forms provided at http://research.missouri.edu/forms/files/ospa_FA_Waiver.pdf

F&A is not calculated against the following project expenses:

- Student or Participant Tuition/Educational Fees
- Individual items of equipment with a single unit value of \$5,000 or greater and an estimated useful life of more than one year.
- Subcontract costs in excess of the first \$25,000 of each subcontract

Cost Sharing/Matching Funds

Cost sharing is strongly discouraged, unless absolutely necessary due to sponsor disallowances of needed project costs or a sponsor requirement for a cost share. Cost shares are real costs which must be covered by the department. In most cases only mandatory cost sharing (sponsor required) should be included in proposal budgets. Please discuss any questions regarding cost sharing with the SHP grants manager. Sponsor required cost sharing and committed cost sharing must be indicated on the ePSRS, with the appropriate department chartfield information. This information, together with the signatures of the department chair and SHP dean, indicate approval of the cost sharing and allow the relevant SHP department(s) to track cost sharing by specific project. Any matching or in-kind contributions from sources outside the University must be documented with a letter of commitment or intent indicating the exact dollar amount or value of in-kind contributions.

NOTE: Summer salaries for 9-month faculty cannot be cost shared because there is no base effort or pay during summer months.

Subcontracts with Other Institutions

When a proposal is submitted that involves effort by other institutions, generally one institution must be designated as prime contractor/grantee and the other as subcontractor/subgrantee.

If MU is the Prime Grantee, MU does the following:

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

SHP grant administrators will also collect the required documentation from the other institution. First, they will check if the institution participates in the Federal Demonstration Partnership (FDP) FCOI Clearing House, which documents institutional compliance with PHS Financial Conflict of Interest (FCOI) rules and regulations. <http://sites.nationalacademies.org/Pages/fdp/Pages/171219>. If the other institution is listed, they will generate an institutional endorsement letter or form that includes the following: Project title, subcontract PI name, period of performance, dollar amount, the proposal/project, and an institutional endorsement. MU OSPA has created a form letter for the

Subrecipient Letter of Intent that can be used for the listed items, excluding the attachments. It is available on the [OSPA Forms webpage](#).

If the institution is not listed in the FDP, the institution must complete the Subrecipient Commitment Form provided by MU – Web link in Appendix A or at: http://research.missouri.edu/forms/files/Subrecipient_Commitment_Form.pdf.

After the correct form is determined from one of the two above, the other institution must also provide the following items:

- Line item budget and budget justification (including direct and F&A costs at that institution's applicable rate and/or the prime sponsor's guidelines). The SHP grants administrators will provide guidance on the correct rates that should be used.
- Brief Scope of Work outlining the specific duties to be accomplished by the subcontractor.
- A completed subrecipient/vendor determination form signed by the institution
- A copy of the collaborator institution's recent indirect cost/F&A rate agreement

The total subcontract budget amount (direct plus F&A) becomes a direct cost in the MU budget. MU is allowed to charge F&A on the first \$25,000 of each individual subcontract. Amounts in excess of \$25,000 are excluded from MU F&A calculations.

If MU is the Subcontractor:

Proposed MU portion is processed through OSPA as a regular (albeit smaller) proposal including:

- ePSRS, and any other applicable internal forms required
- MU budget (including direct and F&A costs) and justification
- Brief Scope of Work
- Cover letter prepared and signed by MU OSPA authorized official or other documentation the prime applicant may require
- Subrecipient form from the University submitting the proposal to the sponsor, if applicable.
- Any required letters of support signed by the PI that are to be included in the prime application, Biosketches, if applicable, and any other items requested by the prime applicant.

If there is an F&A restriction on the proposal, the PI must provide OSPA with a copy of the guidelines to be used when submitting the prime proposal. In the case of a restricted F&A rate, institutions (including MU) generally flow that restriction down to the subcontractor.

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. Be sure to allow yourself and the SHP Office of Research grants administrators enough time to accomplish this coordination.

Grant Management

Grant management includes the process from the initial award notification through the close-out of the grant award. The overall process from proposal submission to award to close-out is summarized in Appendix E.

Notifications of Award

Depending on its own procedures, a sponsor may notify only OSPA, only the PI, or both when it makes an award.

If the PI receives the award notification directly, s/he should forward the entire original copy of the notification to the SHP Office of Research grants administrators. After reviewing the award notice and discussing any possible contractual problems with the PI, the SHP grants administrators will forward it to OSPA with any necessary comments.

If OSPA receives an award notification directly, OSPA staff will forward documentation to the SHP Office of Research grants administrators and the PI via email. All award notices are sent to the PI for review and approval; OSPA will not accept an award without this approval. If there are any problems with the terms and conditions of the award, or if the budget has been reduced, it is possible the scope of work must be adjusted. In this case, alert the SHP Office of Research grants administrators immediately so we may assist you.

After the award is received, OSPA will create a University project account for the PI's use in accordance with the final award budget. OSPA will provide the PI, the department fiscal/grants administrator, and SHP grants administrators with the project's Grant Award Summary (GAS) form.

NOTE: At any point within the life of an active project, any revisions, amendments, supplemental requests, or similar adjustments must be processed through the SHP Office of Research grants administrators and officially submitted through OSPA.

Project Negotiations

If a sponsor is interested in a grant proposal and any negotiations are necessary, the sponsor should contact OSPA to conduct those negotiations. Faculty members and SHP staff are not authorized to negotiate on behalf of the University. OSPA will contact the PI or the SHP Office of Research grants administrators to discuss the negotiations and will provide us with the preliminary results of any discussions with the sponsor.

The business and legal terms of any contract/award must be negotiated by an authorized representative of the University. OSPA has been given that authority. The OSPA grants & contracts administrator responsible for the negotiations will contact the PI and the SHP Office of Research grants administrators if it becomes necessary to revise the budget and/or scope of work as a result

of the negotiations. OSPA will coordinate any additional review and approvals that may be needed from other University offices (for copyright, patent, royalty issues, publication terms, etc.). Once the fiscal and legal terms have been agreed upon, OSPA will submit the proposed contract to the University's General Counsel for final review and approval. Once this is accomplished, OSPA will accept the award or contract on behalf of The Curators of the University of Missouri and will proceed with the project account set up described above.

Site Visits and/or Audits : For assistance in preparing for site visits or audits involving fiscal issues, contact OSPA at 882-7560 and the SHP fiscal office at 882-8425.

Projects Not Approved for Funding

Sponsors usually communicate directly with the PI concerning a notification of disapproval or a condition of "approved-but-not-funded." Occasionally a sponsor will also inform OSPA, but since this is not always the case, if notified that a proposed project is not going to be funded, the PI should notify the SHP Office of Research grants administrators, which will in turn notify OSPA. Some sponsors provide PIs with copies of reviewer comments with recommendations for improvement of the proposals. If these comments are not provided, the PI may contact the sponsor directly to inquire if they are available. Neither the SHP Office of Research nor OSPA requires copies of the reviewer comments.

Revised proposals have a greater success rate than first-time submissions. If the PI decides to revise and resubmit the proposal, s/he should discuss this possibility with the sponsor's program officer, seek assistance from the SHP Office of Research grant writer, and revise the proposal with the reviewers' comments in mind. If possible, the PI may seek additional critiques from peers at MU or other institutions. Resubmission of a proposal to the same or a different sponsor requires routing through all of the regular University channels, as previously outlined.

In some instances (e.g., completing a pilot project or a feasibility study), the PI may decide it is best to delay submission until the additional data has been compiled. If the project requires interim support from other sources prior to submission of the mature program, MU's internal funding programs provide a possible source of funding. See [Appendix G](#) for a listing of internal grants programs.

Establishing Pre-Award University Accounts

As a result of contact with a prospective sponsor, a Principal Investigator is sometimes aware that a grant or contract will be awarded, even though the sponsor has not yet sent the official documentation. In such a case, especially if the time before the planned project start date is short, it may be possible to request that OSPA establish a Pre-Award account so the project may begin on time and all expenses may be charged to the appropriate project account from the beginning. The PI should contact the SHP Office of Research grants administrators to begin the Pre-Award process. A SHP Office of Research grants administrator will determine whether the sponsor allows spending prior to the official project start date; although most federal sponsors do allow spending up to 90 days prior to the official start date, many non-federal sponsors do not.

If it is determined that the sponsor will allow Pre-Award spending, the SHP Office of Research will complete an Advance/Pre-Award Account Request form and forward it to the PI for signature. A completed ePSRS, current budget, and IRB/ACUC approval (if appropriate) must all be submitted to OSPA with the signed form. Pre-Award accounts are not automatically approved; the department chair must sign the form, accepting responsibility for any expenditures made should the grant not be awarded. The SHP Administrative Manager signs on behalf of the Dean.

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 should alert his/her department fiscal/grants administrator, who will contact the SHP Office of Research grants administrators. Together they will review the award terms and conditions to ascertain whether an extension is allowed and what actions need to be taken. If the award terms are unclear on this, OSPA will be asked to contact the sponsor for clarification. Under some federal awards, the University is granted “expanded authorities” which allow OSPA to approve an extension and merely notify the sponsor. Other sponsors require submission of a formal written request. OSPA will notify the SHP Office of Research and the PI when the appropriate avenue has been determined.

As a general rule, sponsors that do allow time extensions will grant up to one 12-month extension. It is advisable to request the full 12 months rather than a shorter amount of time; the PI sometimes underestimates how much additional time is needed to complete the project and additional requests are often not approved.

The NCTE form should be filled out by the SHP grants administrators and the PI. http://research.missouri.edu/forms/files/NCTE_Form.pdf. Once completed with the PI signature, the SHP grants administrators will route the form to OSPA for processing. Additional information may be needed, depending on the sponsor requirements. Some sponsors may ask for a budget showing how the remaining funds will be used.

Requests to Sponsor for NCTE: If the sponsor allows an extension, the written request, via the above form signed by the PI, should include, at a minimum, the new requested end date, the amount of the remaining funds to be used, and the reason for the extension. OSPA prepares a signed, written letter to the sponsor to provide institutional approval and forwards the request to the sponsor.

Notifications to Sponsor on NCTE: If the sponsor allows an automatic time extension under expanded authorities, the NCTE form is filled out and, if required, OSPA drafts a notification of extension letter and provides any information required by the sponsor.

Sponsor Response to NCTE Request or Notification: Once the response (if a request was submitted) is received from the sponsor, OSPA will inform the PI and the SHP grants administrator. When NCTE processing is complete, OSPA creates an amended Grant Award Summary (GAS) reflecting the new end date and forwards it via email to the PI and SHP grants administrators. A copy is provided to the departmental fiscal/grants administrator.

No Sponsor Response to NCTE Request or Notification: Some sponsors only require that we notify them of an extension and make no response to that notification. In this case, OSPA will provide the PI, department fiscal/grants administrator, and SHP grants administrators with a copy of the notification that was submitted to the sponsor.

NCTE on Fixed Price Awards: Fixed price awards may be extended internally without notifying the sponsor as long as all deliverables required by the sponsor have been met AND if MU has received all of the funds from the sponsor. If not all of the funds have been received from the sponsor, OSPA will likely need to get sponsor approval to extend the timeframe for the scope of work. Fixed price awards are unique to each sponsor, so these are handled on a case by case basis. When the OSPA Senior Accountant determines that an internal change is appropriate, s/he will update the end date as described above in “Sponsor Response to NCTE Request or Notification.”

When NCTE processing is complete, OSPA creates a revised GAS reflecting the new end date and emails it to the PI and his/her division to notify them of the new project end date.

Grant Close Out

It is the PI's responsibility to monitor project expenses on a monthly basis. Doing so will make the close-out process much easier. During the project period, SHP department fiscal officers will provide and explain a monthly expenditure report to assist the PI in tracking project expenses on an on-going basis. SHP Office of Research grants administrators conduct a quarterly review of grant expenditures.

90 Days:

- The SHP Office of Research grants administrators will work with the PI, department fiscal/grants administrator, and OSPA to conduct a final review of expenditures.
- During this review you will 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 sponsor. The SHP Office of Research grants administrators will work with you and OSPA to coordinate any necessary correspondence the sponsor may require.
- 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 should not be planning any large purchases or equipment purchases that do not directly impact the project. If these types of purchases are necessary, 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 SHP Office of Research grants administrators and your departmental fiscal officer.

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

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 sponsor. The OSPA accountant cannot fully close out an account until the final technical report has been submitted and accepted.
- Work closely with the SHP Office of Research grants administrators and your departmental fiscal officer to make sure expenses are moved, if necessary.
- If the project is not continuing and employees will need to be terminated, this is the time when letters of termination should be issued. Please refer to Human Resource policy on terminations at <http://www.umsystem.edu/ums/rules/hrm/hr100/hr117> and http://www.umsystem.edu/ums/rules/hrm/hr100/hr117_qas.

30 Days:

- Make sure that any charges coming from an internal feeder system are charged to another account or the services have been scheduled for discontinuation.

Examples:

- WATS number
 - Phone service
 - Data port charges
 - Postage bar codes
- PAFs should be prepared for any employment changes or terminations.

After End Date:

- After the end date of a federally funded grant has passed, you have between 12 to 60 days to ensure that all expenses have cleared the account. The number of days allowed to close an account will ultimately depend on the award and sponsor guidelines.
- Communicate with departmental fiscal officer that all expenses have come through the account and no expenses remain outstanding.

In most instances, the OSPA senior accountant will contact the PI, SHP Office of Research grants administrators and SHP department fiscal officers directly to verify that all spending is complete. The closing balance is determined and documented through coordination between the PI, department fiscal officer, SHP grants administrators and OSPA.

When the technical report is complete, provide a copy to the SHP Office of Research grants administrators if an institutional signature is required and/or if any financial reporting sections are required in the technical report. The SHP grants administrators will coordinate the financial section and/or signature and submission of the report with OSPA. If the final technical report does not include financial reporting or institutional signature, then OSPA will contact the PI for verification that the report has been submitted. OSPA is in charge of closing and inactivating the grant account, after they collect the revenue from the sponsor. They are responsible for invoicing and financial reporting to the sponsor, and for collections from the sponsor.

Acknowledgement:

Production of the SHP Faculty and Staff Grants Manual would not have been possible without the generous support of MU's College of Education (COE). The SHP Office of Research would like to acknowledge the contribution of COE by thanking them for providing the initial draft and template for a grants manual to be modified accordingly.

Appendices

Appendix A: University of Missouri Grant Resources

General

Internal University Funding (see also, Appendix G): <http://research.missouri.edu/internal/>

Office of Research, Graduate Studies, and Economic Development: <http://research.missouri.edu/>

Office of Sponsored Programs Administration: <http://research.missouri.edu/ospa/index>

Pre-Award

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>

Request for University Contribution of F&A Costs (F&A Waiver Request):
https://research.missouri.edu/forms/files/ospa_FA_Waiver.pdf

Forms

GRA Waiver Request Form: <http://gradschool.missouri.edu/forms-downloads/repository/cost-share-fee-waiver-request-form.pdf>

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

Subrecipient Commitment Form:
http://research.missouri.edu/forms/files/Subrecipient_Commitment_Form.pdf

Compliance

Animal Care and Use Committee (ACUC): <https://research.missouri.edu/acqa/>

Conflict of Interest Compliance – Forms and Training:
http://research.missouri.edu/compliance/conflict_of_interest/using

Health Sciences Institutional Review Board: <http://research.missouri.edu/hsirb/>

Appendix B: Responsibilities of Principal Investigators (PIs)

Any award received by a PI is considered a legally binding contract between the sponsor granting the award and The Curators of the University of Missouri, not the PI. However, the University of Missouri delegates responsibilities concerning the grant/contract to the PI.

The specific policy relating to this issue is found in the [UM Business Policy Manual](#):

NEGOTIATION AND ACCEPTANCE – Sponsor Negotiation Responsibilities: Technical/programmatic negotiations with the sponsor are the responsibility of the Project Director/Principal Investigator. Fiscal/business/legal negotiations with the sponsor are the responsibility of the Grants and Contracts Office of each campus (Office of Sponsored Program Administration for Columbia campus and UM System).

General Responsibilities: The PI is responsible for each phase of the project award including all program, fiscal, and compliance issues.

Program and Fiscal Responsibilities include but are not limited to the following:

- making personnel decisions
- making expenditure decisions/approving expenditures
- conducting the project responsibly
- filing intellectual property disclosures with the Office of Technology and Special Projects
- meeting and documenting cost sharing requirements
- ensuring timely completion of project milestones
- submitting project reports according to the awarded schedule

Compliance Responsibilities include but are not limited to the following:

- filing an IRB application for initial approval, if the project involves human subjects
- filing an ACUC application for initial approval, if the project involves animals
- continuing to file for IRB/ACUC approval, as needed, in a multi-year project
- adhering to specific terms and conditions of the award
- adhering to all federal, university, school, and departmental policies and procedures

NOTE: University policies and procedures are developed with general federal compliance issues in mind so that compliance with university policy is also compliance with federal regulations. For specific requirements, the grant terms and conditions must be followed.

Additional Responsibilities: More specific responsibilities of the PI receiving an award include:

Changes to Award: Any changes in regard to scope of work, expenditures, reporting and budget should be processed through departmental, SHP and OSPA channels for review. OSPA can determine if agency approval is necessary for possible changes.

Hiring/Termination: Any personnel hired/terminated on awarded projects must be hired/terminated according to departmental, SHP and University hiring and termination policies and

procedures. Please work with your department fiscal/grants administrator before hiring or terminating staff.

Reports: All technical or program reports associated with the awarded project must be submitted by the PI in a timely manner, as specified in the award documentation. If institutional signature is required and/or if any financial reporting sections are required in the technical report, the SHP grants administrators will coordinate the financial section and/or signature and submission of the report with OSPA. If the final technical report does not include financial reporting or institutional signature, OSPA will contact the PI for verification that the report has been submitted.

Records: The PI is responsible for ensuring that all terms and conditions of the award have been met before closeout of the grant's fiscal account. Specifically, the PI must provide the sponsor all required project technical/progress reports and any other programmatic deliverables. In addition, the PI is responsible for coordinating with the departmental fiscal/grants administrator and the SHP Office of Research grants administrators so OSPA can be notified that all allocable expenses have been charged so the project account can be closed. If reports are not filed in a timely manner, it can result in withholding of funds for the one specific project and possibly, university-wide projects.

Once the project is closed, the PI is responsible for maintaining all records associated with the project for a period of three (3) years from the date of project closeout. Under certain circumstances (specific sponsor requirement, audit, etc.), this time period may be extended. The PI should verify the project's retention requirements to ensure that all records are kept the appropriate amount of time.

NOTE: The PI is also responsible for notifying the IRB or ACUC of the status of the project. There are instances when the IRB protocol needs to remain in "active" status after the project itself has ended. Contact the IRB for details.

Appendix C: SHP Sample Budget Format

The SHP department fiscal/grants administrators have SHP budget Excel spreadsheet templates for developing project budgets. The sample provided below is abbreviated to show typical line items. The PI should work with his/her department administrator or the SHP Office of Research staff to create the project budget according to sponsor and University guidelines.

Cost Sharing: Cost sharing is strongly discouraged, unless absolutely necessary due to a sponsor requirement for cost share. These are real costs which must be covered by the department. Sponsor required and committed cost sharing must be indicated on the ePSRS with the appropriate department chartfield information. In most cases we should only be including mandatory (sponsor required) cost share in proposal budgets. Please discuss with SHP grants manager if there are any questions regarding cost share. This listing and the signature of the department chair and SHP dean indicate approval of the cost sharing. This allows the relevant SHP department(s) to track cost sharing by specific project. Any matching or in-kind contributions from sources outside the University must be documented with a letter of commitment or intent indicating an exact dollar amount to be contributed.

NOTE: Summer salaries for 9-month faculty cannot be cost shared because there is no base effort or pay during summer months.

Single-Year Sample Budget (various rates effective as of 7/2016)

Current rates at <http://www.research.missouri.edu/ogwp/files/grantfactsheet.pdf>

<u>Personnel</u>	<u>Role/Effort/FTE</u>	<u>Project Total</u>
Name	PI 25%/12 M	18,750
Name	Co-I 15%/12 M	9,000
TBN'D	GRA Master's (50% appt/12 M)*	18,361
Other Personnel, listed in same format		
	Subtotal	46,111
<u>Fringe Benefits</u>		
Faculty/Full time Staff (32.59%)	Percentage changes each year	9,044
Part-time Personnel (7.65%)		0
GRA Health Insurance	(50% appt/12 M/ MS GRA)	2,628
	Subtotal	11,672
<u>Equipment**</u>		Subtotal
		5,500
<u>Travel (Indicate Domestic vs Foreign)</u>		
Airfare/Mileage		800
Lodging (#nights@\$xxx)		900
Meals (\$46/day x #days)	per diem allowance	138
(mileage as of 01/01/16 is \$0.51)	Subtotal	1,838
<u>Other</u>		
Materials and Supplies***		0
Publication Costs		0
GRA Educational Fees**		7,757
Statistical Support (MU BioStats - \$100/hr.)		0
Space Rent (NO F&A)		0
Subject Payment (\$__ x __subject /yr.)		0
	Subtotal	7,757
Total Direct Cost		72,878
Modified Direct Cost		59,621
F&A @ 55% MTDC	Type - On Campus Research	32,792
TOTAL COST		105,670

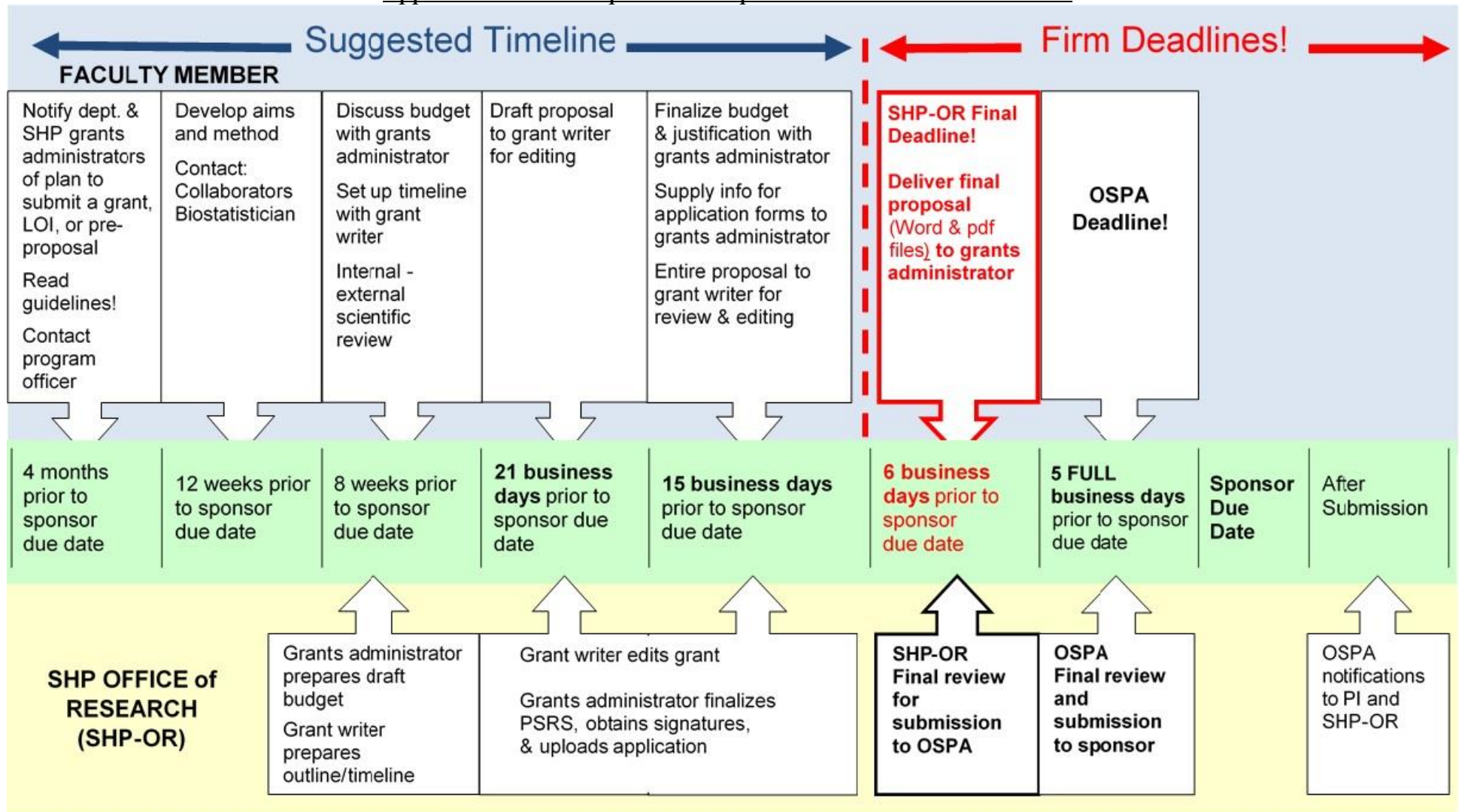
*Inst. Minimum GRA Master's & Specialist Level. See Grants Fact Sheet for Doctoral Level

**Equipment = unit price \$5,000 or more. The Equipment and GRA Educational Fees are excluded from the F&A calculation.

***Lab supplies, computer (<\$5,000), project software.

NOTE: According to federal regs., general office supplies should NOT be included in normal project budgets.

Appendix D: SHP Proposal Development and Submission Timeline



SHP-OR: School of Health Professions Office of Research; **OSPA:** MU Office of Sponsored Programs Administration; **PSRS:** People Soft Routing Sheet

NOTES:

- Investigators run a real risk of missing the proposal deadline if they attempt to submit proposals at the last minute.
- PI must remain available with internet and email access from the submission to SHP Office of Research until the sponsor due date, to make any needed corrections.
- NIH proposals: All corrections must be made and the application resubmitted through Grants.gov and received at NIH eRA Commons by the published NIH due date.

Appendix E: SHP Grants Team: From Proposal to Award to Close-out

Although the proposal submission and award processes have many variables, there is a basic process followed from proposal to award close-out. The chart below outlines the process for each step and who in SHP Office of Research grants administrators (SHP OR GAs) helps at what point to provide optimal service to SHP investigators and ensure compliance with all applicable regulations.

Status	Description	Process
Proposal Submission	PI decides to respond to a specific announcement or submit a proposal and is ready to begin proposal preparation	PI notifies SHP OR staff to prepare and submit proposal. (See Appendix D - SHP Proposal Submission Timeline)
Submitted Proposals	Proposal submitted to OSPA/Sponsor	SHP OR GA staff work with PI and OSPA to track status.
Pending Award	Sponsor notifies OSPA and/or PI of potential funding	OSPA GA works with SHP OR staff and PI to finalize and accept the award.
Award Notification and Negotiation	OSPA obtains necessary approvals and negotiates terms and conditions with the Sponsor as needed.	SHP OR GA staff work with PI, department administrator, and OSPA to obtain necessary approvals and information to execute/formally accept the award.
Award Execution & Set-up	OSPA fully executes the award and issues Grant Award Summary (GAS) with MoCode.	OSPA copies PI, SHP OR GAs and department administrator on all award information for project set-up and administration.
Project Administration	PI maintains compliance in fiscal and scientific activity throughout the award	PI holds primary responsibility with the support of the department and SHP OR GA staff.
Progress Reports		PI submits progress reports to Sponsor. For more information, see Reports in Appendix B.
Supplemental Award	Agency issues supplemental (additional) funding to an existing award.	Follows the same process as the initial award set-up.
NCTE	No-cost time extension requested or issued	PI works with department and SHP OR GA staff to determine need for NCTE and the SHP OR GA processes the request through the appropriate OSPA senior accountant.
Project End	Project period is complete (will not be extended).	SHP OR GA and department work with PI and OSPA to close project fiscally. PI submits final report to Sponsor For more information, see Reports in Appendix B.
Project Closed	All expenses have been charged and final narrative and financial reports submitted.	PI works with department to process all final expenses and with SHP OR GA and OSPA to verify submission of final report.

Appendix F: Guidelines for Collaborative Agreements

Many grant proposals involve collaboration with other schools or divisions on campus, other institutions within the UM system (extension, UMSL, UMKC, Missouri University of Science and Technology), other universities, state agencies, and non-profit organizations. While these collaborations often strengthen projects, they also require more time and logistical coordination to plan, develop, and submit proposals.

Coordinating on-campus collaborations:

- 1) The PI takes the lead on all aspects of proposal development, assisted by the SHP grant administrators and the grant writer.
- 2) The SHP Office of Research grants administrators work with the PI to develop the project budget. They collect information from all collaborators and if necessary respective department/fiscal administrators.
- 3) Shared credit (percentage credit upon which distribution of Research Incentive Funds (RIF) is based) is determined by the PI and co-PIs with assistance from department chair(s) and dean(s) as necessary. It is normally figured based on the various senior project personnel's scientific contributions. Generally, the PI and co-PI's negotiate shared credit, but some divisions may require chair and/or dean approval prior to signing the ePSRS.
- 4) The SHP Office of Research grants administrators develops the ePSRS and routes it for approval by the PI, all co-PIs, chairs, and deans involved.
- 5) The internal processes of all collaborating schools/divisions are followed.

Coordinating multi-campus collaborations (assuming MU is the lead campus):

- 1) The PI takes the lead on all aspects of proposal development, assisted by the SHP grant administrators and the grant writer.
- 2) Each UM campus and Extension is considered a separate "business unit" within the University system. For this reason, a separate budget, work scope, and ePSRS are required for each non-Columbia campus (MU) collaborator.
- 3) These are created at the individual campus/Extension level and processed through the appropriate Sponsored Programs office. Each ePSRS will contain shared credit percentages for that business unit's project participants.
- 4) The co-PI's fiscal administrator or the appropriate campus Sponsored Programs Office provides the SHP grants administrator with a copy of the approved ePSRS and internal budget. These are sent to OSPA along with the MU paperwork needed for final proposal submission. All budgets are combined into one budget for the proposal, but separate awards are set up for each business unit if the project is funded.

Coordinating collaborations with external partners:

- 1) The PI takes the lead on all aspects of proposal development, assisted by the SHP grant administrators and the grant writer.
- 2) When external collaborators are part of a proposal, their funding is usually accomplished via a subcontract or a consulting agreement, issued after the University receives an award. See [Subcontracts with Other Institutions](#) for procedures.
- 3) If the collaborator's project role is a consultant, a simple consulting agreement is drawn up after the University receives an award.

Appendix G: University of Missouri Internal Funding Opportunities

UM SYSTEM

Research Board Grants

PURPOSE	To enhance the long-term quality and quantity of scholarship throughout all of the University of Missouri campuses by supporting research and creative activity of regular faculty and to provide seed funding for research initiatives with significant potential for high return on investment, in terms of future external funding,
ELIGIBILITY	Primary applicants must be regular (tenured or tenure-track) faculty. Non-regular faculty may serve as co-applicants. Non-regular faculty may apply as primary applicants if the Research Board has approved them.
AMOUNT	\$3,000 up to \$75,000
WEBSITE	Research Board Grants Guidelines

Fast Track Funding Awards

PURPOSE	To increase research activity that could lead to the advancement of technologies and commercialization.
ELIGIBILITY	All tenured/tenure-track faculty and full-time ranked, on-tenure research faculty.
AMOUNT	TBD
WEBSITE	Fast Track Funding Awards Guidelines

Interdisciplinary Intercampus (IDIC) Research Program (INACTIVE)

PURPOSE	This program is intended to increase interdisciplinary and intercampus (IDIC) research collaborations to leverage the intellectual capital and resources at the four University of Missouri campuses.
ELIGIBILITY	All tenured/tenure-track faculty and full-time ranked, non-tenure research faculty.
AMOUNT	TBD
WEBSITE	IDIC Research Program Guidelines

Spinal Cord Injury/Disease Research Program (Next funding round will be FY18)

PURPOSE	To provide seed grants for research projects in Missouri that deal with spinal cord injuries or acquired/congenital diseases of the spinal cord.
ELIGIBILITY	Includes, but is not limited to, tenure-track and non-tenure track faculty, postdoctoral fellows, graduate students, engineers, physicians, nurses, physical therapists, and other types of health care workers
AMOUNT	Research Grants: One- or two-year grants for up to \$250,000 per year Career Awards: Grants for up to five years at up to \$250,000 per year for well-established investigators who have had extended and highly productive careers that have resulted in significant contributions to the areas of spinal cord injuries and/or spinal cord diseases.
WEBSITE	Spinal Cord Injury/Disease Research Program Guidelines

MU CAMPUS

Research Council Small and Large Grants

PURPOSE	Assist the initiation of new projects and, in disciplines for which securing funds from other sources is particularly difficult, funds are provided to cover costs associated with continuing research projects.
ELIGIBILITY	Benefit and non-benefit eligible tenured, tenure-track and ranked non-tenure track faculty members at the level of Assistant Professor and above.
AMOUNT	Small grants are for requests up to \$1,000. Large grants are for requests from greater than \$1,000 to a maximum of \$10,000.
WEBSITE	Research Council Small and Large Grants Guidelines

Faculty International Travel Fund

PURPOSE	To provide partial support for travel to destinations outside the United States to participate in professional meetings, give performances, or hold exhibitions.
ELIGIBILITY	Benefit and non-benefit eligible tenured, tenure-track and ranked non-tenure track faculty at the level of Assistant Professor and above.
AMOUNT	Up to \$2,000
WEBSITE	FIT Guidelines

Prime Fund

PURPOSE	General: To provide cost-match monies to promote new external research proposals, with an emphasis on interdisciplinary projects. Instructional: To provide cost-match monies for new external research related to instruction.
ELIGIBILITY	Groups of MU faculty (Tenured, tenure-track, and non-tenure-track).
AMOUNT	Up to 25% of the external grant amount (direct and indirect).
WEBSITE	Prime Fund Guidelines

Dr. Richard Wallace Faculty Incentive Grant

PURPOSE	In recognition of the creativity and productivity of junior faculty, the Alumni Association will make available \$50,000 for awards for the 2016 - 2017 academic year. There are two award cycles in October and February.
ELIGIBILITY	Tenure-track and tenured faculty are eligible to apply for funding. Preference will be given to junior tenure-track faculty and to projects that include collaboration with colleagues on campus and/or that include undergraduate researchers in the project.
AMOUNT	Up to \$4,000
WEBSITE	Dr. Richard Wallace Faculty Incentive Grant Guidelines

Interdisciplinary Innovations Fund

PURPOSE	To provide seed money for student-centered, interdisciplinary projects that demonstrate MU's leadership in using information technology to develop innovative approaches to teaching, research and service that foster both innovation and entrepreneurship.
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ELIGIBILITY Proposals will be accepted from individual teams of MU faculty and/or students or academic units coordinating such teams. Teams must involve students as active participants. Preference will be given to proposals with these features: Direct involvement of students in executing the project. Matching support from academic units and/or from external funding sources. Evidence that the project will produce measurable results within one year. Use of information technology as an advance over existing technology at MU.

AMOUNT Up to \$25,000

WEBSITE [Interdisciplinary Innovations Fund Call for Proposals](#)

Interdisciplinary Center on Aging - Research Enrichment and Dissemination (READ) Small Grants

PURPOSE To encourage interdisciplinary aging research and collaboration; to assist junior faculty and graduate students (pre- and post-doc) to develop an interest in aging and to begin their research agendas; to develop innovative and creative online or classroom interdisciplinary courses on aging.

ELIGIBILITY Assistant professors and above; Pre-doc and post-doc graduate students.

AMOUNT Up to four \$10,000 interdisciplinary intervention research grants.
Up to two \$5,000 interdisciplinary course development grants.
Up to four \$2,500 interdisciplinary graduate student grants.

WEBSITE [READ Small Grant Guidelines](#)

SCHOOL OF HEALTH PROFESSIONS

Catalyst Award

PURPOSE To catalyze well-formulated projects that show promise of obtaining funding from sources external to the School of Health Professions; assist faculty in conducting academic scholarship; promote the visibility of project results.

ELIGIBILITY All SHP tenured, tenure-track and non-tenured faculty are eligible to apply.

AMOUNT Up to \$5,500.

WEBSITE [SHP Internal Funding Programs](#)

Roger S. Williams Endowment Research Award

PURPOSE To provide funding for basic or applied research related to physical function and mobility, or speech and language which has the potential for application to stroke and head injury rehabilitation. Projects in normal aging, cognition, motor control, and similar content areas will be considered when their importance to the understanding of loss or decline of function and/or rehabilitation is clear.

ELIGIBILITY All SHP tenured, tenure track and non-tenure track faculty are eligible.

AMOUNT Up to \$20,000.

WEBSITE [SHP Internal Funding Programs](#)

SHP Faculty Scholarship Facilitation Award

PURPOSE To promote the scholarly activities of tenured, tenure-track, and non-tenure track faculty members. Scholarship is broadly defined by generally includes

creative or innovative work that is valued by peers and communicated outside the institution.

ELIGIBILITY All SHP tenured, tenure track and non-tenure track faculty are eligible.

AMOUNT Up to \$1,250. Up to two awards per year

WEBSITE [SHP Internal Funding Programs](#)

SHP Faculty Research Facilitation Award

PURPOSE To promote the research programs of tenure-track and tenured faculty members. Funds are available through the SHP Office of Research, and applications are accepted by the Interim Associate Dean for Research on a rolling basis.

ELIGIBILITY All SHP tenured and tenure-track faculty are eligible.

AMOUNT Varies, typically \$250 - \$3500.

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