Serving as Principal Investigator

How to submit and manage a sponsored project

Office of Sponsored Projects, Washburn University
Office of Sponsored Projects

Purpose: To facilitate all external funding to Washburn University for programs, projects, and related activities

We use a customized approach with faculty/staff for pre-award and post-award support
External Grants

- Requests to federal, state, or foundations for WU projects
- Funds are restricted to specific projects
- Require documentation of expenses and outcomes
- Require a faculty/staff member to serve as Principal Investigator (PI)
- Require approval from Chair of Department, Dean, Vice President for Academic Affairs, and Vice President of Administration and Treasurer
Lifecycle of Sponsored Projects

**Pre-Award**
- Development
- Internal Approval
- Submission

**Award Initiation**
- Notification
- Negotiation
- Initiation

**Post-Award**
- Conduct activities
- Manage project
- Monitor compliance

**Closeout**
- Review financials
- Manage record retention
- Final reporting
- Audit

Serving as Principal Investigator
Principal Investigator (PI)

The PI is the employee who initiates the application for the external funding, and, if funding is received, is responsible for the administration of the project.

**PI is responsible for ensuring the project is completed on time, within budget, in compliance with guidelines, and with the intended outcomes.**

PI should expect to be involved in all aspects of the project.
Pre-Award

**PI**

- Develop idea
- Find funding
- Consult with Dean, Chair, or Director
- Develop proposal
- Internal Approval
- Institutional Review Board (IRB)/Animal Care Committee Faculty Handbook App. IV & V
- Submit applications (except Federal)
- Get ready for the award

**OSP**

- Help find funding and craft proposal
- Reviews proposal for compliance
- Facilitates internal approval (VPAA/VPAT)
- Submit Federal applications
- Start files of signature documents and all submissions
Pre-Award Resources

OSP Forms Webpage: http://www.washburn.edu/faculty-staff/grants-office/forms-applications.html

- Guide to Completing the Internal Approval Form
- Internal Approval Form
- IRB Information
- Grant Reference Sheet
- Fact Sheet
- Budget Proposal Preparation
- Budget Narrative and Worksheet Samples
Award Initiation

1. Notification
2. Review of award documents
3. Open grant fund
4. Grant initiation meeting
5. Training on Banner and Amplifund
6. Start project:
   • After the project effective date
   • After the original, signed copy of the approved award document is in the possession of the Sponsored Projects Accountant
Post-Award

• Conduct the project
• Review and approve expenditures
  Allowable ~ Allocable ~ Reasonable ~ Consistent
• Approve time and effort
• Monitor progress towards goals and outcomes
• Monitor partners and contracts
• Complete technical and programmatic reports
• Prepare budget modifications or extensions
• Conduct project related correspondence
• Maintain organized documentation in readily accessible files
• Be responsible for your project
Post-Award

OSP

• Monitor compliance
• Review expenses
• Identify and communicate instances of non-compliance
• Assist with financial tracking and reporting
• Maintain official financial records, original award documents, & copies of all grant reports
• Facilitate budget modification or extension requests
• Assist with contract and subaward monitoring
Budget Expenditures

• Only within the project period
• According to project requirements
• Within funds available for each expense classification
• According to the more stringent of
  • 1) project regulations
  • 2) University purchasing regulations
• Document and submit record of in-kind contribution and cost-share to the Sponsored Projects Accountant for all required matches 2 CFR 200.306
<table>
<thead>
<tr>
<th>Universal Grant Rules</th>
<th>Rules Prior to Grant Activity</th>
<th>Principal Investigator Responsibilities</th>
</tr>
</thead>
<tbody>
<tr>
<td>• Must be allowable: Conform to Terms in Circular A-21, EDGAR, and agency regulations regarding costs that are allowable to charge to the grant.</td>
<td>Commitments against a project shall be made only after: • The project effective date; and, • The original copy of the approved project award document is in the possession of the Grants Accountant.</td>
<td>Post award-PI Financial Administrative Responsibilities: The PI shall be familiar and comply with University regulations and procedures governing project proposals. The PI also is responsible for the administration of projects.</td>
</tr>
<tr>
<td>• Must be allocable: It can be assigned to the activity on some reasonable basis (i.e., it is incurred solely to advance the work under the sponsored agreement). General University purchases used by several departments or administration are not allocable to a grant.</td>
<td>All expenditures shall be authorized and made: • Only within the projected period; • According to project requirements; • Within funds available for each expense classification, and, • According to the more stringent of 1) project regulations or, 2) University purchasing regulations.</td>
<td>Financial Information/Control: The PI shall maintain detailed financial information and control of the project jointly with the Grants Accountants.</td>
</tr>
<tr>
<td>• Must be reasonable: A prudent business person would have purchased this item and paid this price.</td>
<td>• Costs must be charged to a sponsored project in a consistent manner (i.e., Like costs must be treated the same in like circumstances).</td>
<td>Budget Changes: The PI shall consult with the Grants Accountant to request any changes in the project budget. Official requests for budget changes shall be submitted to the sponsoring agency through the Grants Accountant.</td>
</tr>
<tr>
<td>• Costs must be charged to a sponsored project in a consistent manner (i.e., Like costs must be treated the same in like circumstances).</td>
<td></td>
<td>Project Related Correspondence: The PI Shall: • Initiate all project related correspondence; and, • Provide the Grants Accountant and Grants Facilitator a copy of the correspondence.</td>
</tr>
</tbody>
</table>

**Allowable/ Unallowable Expenses**

<table>
<thead>
<tr>
<th>Generally Allowable Direct Costs</th>
<th>Generally NOT Allowable to be DIRECTLY Charged (Needs Grant Accountant’s Approval)</th>
<th>Always Unallowable</th>
</tr>
</thead>
<tbody>
<tr>
<td>• Faculty salaries- requires semester time and effort report</td>
<td>• Administrative or clerical salaries</td>
<td>• Alcohol and food</td>
</tr>
<tr>
<td>• Technical research support personnel salaries- requires monthly time and effort report</td>
<td>• Telecommunications (local phone, cell phone)</td>
<td>• Entertainment</td>
</tr>
<tr>
<td>• Associated fringe benefits</td>
<td>• Postage (USPS, FedEx, UPS)</td>
<td>• Fines and penalties</td>
</tr>
<tr>
<td>• Specialized scientific equipment</td>
<td>• Dues and memberships</td>
<td>• Goods or service for personal use</td>
</tr>
<tr>
<td>• Travel- must directly benefit grant</td>
<td>• Office supplies/computer supplies</td>
<td>• Cost overruns (deficits in grant fund)</td>
</tr>
<tr>
<td>• Publication Costs</td>
<td>• Subscriptions, books, periodicals</td>
<td>• Public relations to promote the institution</td>
</tr>
<tr>
<td>• Consortium costs</td>
<td>• General purpose equipment used for general office purposes (fax, copier, etc.), and related supplies (toner, etc.)</td>
<td>• Selling and marketing</td>
</tr>
<tr>
<td>• Equipment may need prior approval by awarding agency and be competitively bid</td>
<td>• Travel that Washburn was already supporting prior to grant (this includes professional development conferences)</td>
<td>• Organized fundraising</td>
</tr>
<tr>
<td></td>
<td></td>
<td>• Alumni activities</td>
</tr>
</tbody>
</table>
Closeout

**PI**

- Final technical or programmatic reports
- Ensure expenses are appropriate
- Ensure obligations have been liquidated
- Ensure outcomes are met and supported with adequate documentation
- Work with OSP to complete equipment inventory & disposition
- Store award records
- Participate in any audit interviews

**OSP**

- Balance account and close the grant fund
- Report final financials
- Act as a point of contact for audits of sponsored projects
Best Practices and Examples

1. Communication

2. Record Retention

3. Ask first

4. Documentation
Regulations and Guidance

• Conflict of Interest  WUPRPM Section A.5, 2 CFR 200.112

• Davis Bacon Act  OSP Procedure, OMB Circular A-110 A.3, 2 CFR Appendix II to Part 200

• Debarment and Suspension  OSP Procedure, OMB Circular A-110 A.8, 2 CFR 200.212

• Employee Time and Effort Certification  OSP Procedure, OMB Circular A-21 J.10


• Purchasing/Procurement  WUPRPM Section R, 2 CFR 200.318

• Record Retention  OSP Procedure, OMB Circular A-110 C.53, 2 CFR 200.333

• Sponsored Projects  WUPRPM Section O

• Travel  WUPRPM Section J, 2 CFR 200.474
Ready to Serve as PI?

• Develop a project idea
  • What do you want to achieve (goal or anticipated outcome)?
  • Who else is doing similar work?
  • What need(s) does this address?
  • How much will it cost to accomplish this?
  • When and where will it occur?

• Search for funding
  • [www.grants.gov](http://www.grants.gov)
  • [www.foundationcenter.org](http://www.foundationcenter.org)
  • [www.foundationsearch.com](http://www.foundationsearch.com)
  • Find the right match: check your project for eligibility, deadline, timeline, award amount, types of support, allowable costs, and areas of interest
Start Early!

- Is there enough time to develop a competitive proposal?

- Completion estimates:
  - Federal – 80 to 120 hours
  - State – 25 to 40 hours
  - Foundation – 15 to 25 hours

- Internal Approval process takes 2 weeks
Next Steps

- Sign up for an email alert for grant announcements
- Try a search and compare the results
- Schedule a planning session with OSP
- Meet with other faculty/staff members to brainstorm project ideas
- Attend upcoming training:

  Writing a Grant Proposal
  June 15, 19, and independent work