***Coming soon new documentation reflecting our procedures.

***See the following two pages in regards to the new proposal submission deadline window.

Office of Sponsored Programs Administration

Pre-Award Standard Operating Procedures

October 2011

UNIVERSITY OF MISSOURI-COLUMBIA

Visit our web site at http://www.research.missouri.edu/ospa/index.htm
Change to Proposal Submission Deadline Window
Effective Date 9/5/11

Completed proposals along with the approved PSRS must be provided to the appropriate OSPA Satellite Office five (5) business days PRIOR to the date the proposal is due to the sponsor. A completed proposal is received via an electronic package or hard copy package along with appropriate copies for the sponsor and one (1) additional copy for Sponsored Programs files.

This proposed change is in response to stringent sponsor deadlines with no error-correction windows. The five (5) business day review allows three (3) business days for the OSPA Satellite PreAward Staff to work with the PI and/or departmental administrator to review, edit, and correct the proposal. After the PreAward review, the proposal is forwarded to the Submissions Specialist two (2) business days prior to the deadline to allow for final review, submission, error correction and resubmission when necessary.

Every effort will be made to submit proposals received less than the five (5) business days prior to deadline. However, the risk of an unsuccessful submission is significantly increased. The PI/department assumes responsibility when submitting to OSPA less than five (5) business days prior to sponsor deadline.
Deadline Example:

- Submission Deadline: 8/30/11
- Submission due to OSPA: 5 full business days: 8:00 AM 8/23/11
- PreAward Staff in OSPA to the Authorized official: 8:00 AM 8/26/11
- Submission will occur within the 2 day window, with the opportunity for corrections and resubmission by the deadline date and time.
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Introduction

1. Mission Statement:

- Mission: The Office of Sponsored Programs Administration (OSPA) enhances and facilitates the University’s scholarly activity and external funding by providing service to all persons involved with externally sponsored programs in a timely and professional manner and by protecting the University’s investments in scholarly activity.
  - Develop a model sponsored programs administration operation by moving toward more proactive operations and meeting research community needs.
  - Develop and implement an effective training program for efficient utilization of administrative tools and processes to conduct sponsored projects.
  - Strengthen understanding of OSPA’s service role.
  - Provide leadership to make PeopleSoft Grants functionality a net gain for the research community.
  - Recruit and retain quality personnel, provide an environment that supports individual career planning and accountability.

2. Responsibilities:

- Support the missions of the Research Division, the University of Missouri- Columbia and the UM system;
- Provide financial and administrative guidance and support to University personnel involved with sponsored programs;
- Review all external proposals for compliance with applicable guidelines, rules, and regulations prior to submission;
- Provide institutional endorsement of proposals and administrative reporting on funded projects;
- Negotiate administrative and financial matters of proposed funding agreements, sub-awards, and other documents relating to external scholarly activity;
- Provide financial accountability to the funding agencies; and
- Facilitate the partnership between University personnel involved in sponsored program activities and the external sponsors of such activities.
ROLES AND RESPONSIBILITIES

1. LOCATING POTENTIAL FUNDING SOURCES

- The Office of Research website lists multiple resources to assist faculty searching for funding sources to support their research ideas.

- Proposals with agency-restricted or limited submissions are competitively screened through the Office of Research. It is the Primary Investigator’s (PI) responsibility to check the sponsor guidelines for submission restrictions.

2. DEVELOPING THE PROPOSAL

- Primary responsibility for the development, writing, and review of proposals rests with the PI. The PI may need to work with his/her own research team, departmental staff or other campus sources.

- Sponsor guidelines are the best source of information for much of the proposal writing process i.e. formatting, page limitations, periods of performance, dollar limits on awards. The department/divisional (D/D) staff check the guidelines for compliance with departmental fiscal and administrative policies. The appropriate Senior Grants and Contracts Administrator (SGCA) should be contacted for questions about University policy issues.

- The PI is responsible for verifying what department and campus resources are available for the project. He/she should work with the appropriate department chair and staff to determine needs for space, equipment etc.

- Pre-proposals containing technical information enabling initial sponsor review of a concept and its feasibility, which could lead to an invitation for a full proposal do not need to be submitted for OSPA review if they meet both of the following criteria:
  
  - There is no request for budget information (often the award amount is pre-set by the sponsor)
  - The sponsor does not require University endorsement

- When there is any doubt whether OSPA review of a pre-proposal is required, the PI should contact the responsible SGCA for assistance.

- Any proposal announcement from a sponsor containing special terms and conditions which will constitute a binding obligation on the part of the University must be reviewed by the appropriate SGCA, as well the MU Office of General Counsel and the Office of Technology Management & Industry Relations (OTMIR) department, as necessary. Any required changes must be negotiated with the sponsor by the SGCA prior to submission. Any announcements of this type must be submitted to the SGCA at least a full seven (7) working days prior to the proposal submission deadline to permit completion of this review and negotiation process.

- It is the responsibility of the PI to provide the SGCA with published documentation in a public domain of a limited indirect rate for a funding agency/sponsor. If published documentation in a public domain is not available, the PI has two (2) options:
  
  - Submit a University Request for Contribution of Facilities & Administrative Costs (RUC) to OSPA two (2) weeks PRIOR to the proposal submission deadline. The RUC form can be found on the Office of Research webpage: http://research.missouri.edu/forms/forms_dept.htm#ospa
  - Submit a Fully Costed Budget with the proposal to the funding agency/sponsor.
  - NOTE: It is NOT the responsibility of the SGCA to contact the sponsor to obtain the indirect information.

- Initiating a RUC is the responsibility of the PI. The RUC should be submitted to the appropriate satellite office two weeks prior to the proposal submission deadline. Requesting cost-match PRIME funds from the Office of Research for external grant proposals is also the PI’s responsibility.
• If the University will be subcontracting any part of the project, the PI must obtain a letter of commitment/intent from the participating institution (signed by an authorized institutional official), a scope of work and budget with justification for the subcontractor’s portion. Additionally, a completed Vendor/Subrecipient Checklist must be included in the proposal package.

• The PI is responsible for obtaining all the necessary signatures on the PeopleSoft Signature Routing Sheet (PSRS). There must be signatures for any person listed on the proposal as “Key” to track effort and shared credit. The PI is also responsible for obtaining required signatures on Financial Disclosures from all key University personnel involved in all NSF and PHS proposals.

• The SGCA is available to answer any questions that arise during the process. The SGCA reviews, negotiates, and awards projects.

3. SUBMITTING THE PROPOSAL TO OSPA

• Completing campus and sponsor required forms is the responsibility of the PI, although in most departments a department staff member performs the actual data entry required for the People Soft Grants Module (PSGM). Obtaining signatures for all CO-PI’s, and their appropriate signatories on the PSRS is also part of the PI’s role. The PI should verify mailing instructions, including telephone number if the proposal is being submitted via overnight carrier. Proposals should be delivered to the satellite office unstapled. If the sponsor guidelines require that the completed proposal be stapled, the SGCA will provide those instructions to the OSPA Office Support Staff (OSS).

• The completed proposal package, including the signed PSRS, sponsor specific guidelines or web address, all agency required copies and one OSPA copy must be submitted to the appropriate OSPA satellite office a minimum of five (5) business days prior to the mailing (or electronic submission) date to meet the sponsor deadline.

• For electronic submissions, completed electronic files should be forwarded to the reviewing satellite, along with any special instructions for the submission, i.e., solicitation number or e-mail address, guidelines and the signed PSRS.

• The PI is responsible for securing any regulatory approvals and training. These approvals include IRB, for projects involving human subjects, IACUC, for those involving the use of animals, and EHS for projects involving radioactive materials, recombinant genetic materials, hazardous chemicals, and certain other safety issues. Depending on sponsor requirements and local policies, these approvals must be obtained either before a proposal may be submitted, or within a specified period after submission of the proposal, and must always be in place before a project is awarded.

• If there is any question of a potential conflict of interest, it is the responsibility of the PI to complete the appropriate form and return it to the Office of Research. If the SGCA suspects a conflict of interest, the SGCA notifies the PI via e-mail, and attaches the “Potential for Conflict of Interest Disclosure Form” [http://www.research.missouri.edu/forms/forms_dept.htm#ospa]. The SGCA enters a note in the PS Submit Proposal – Notepad page documenting the notification.

4. SUBMITTING THE PROPOSAL TO THE SPONSOR

• Per University Business Policy and Procedure Section 210 all “proposals are submitted centrally from each campus grants office…”. Any exceptions require prior approval from the OSPA Director.

• The SGCA’s first responsibility when reviewing a proposal is to check for University compliance, i.e. no binding terms and conditions, correct F&A, etc. The SGCA also verifies that all required signatures are obtained. A full review of the budget by the SGCA includes verification of capital equipment expenditures, adequate fringe and tuition rates, medical insurance for graduate students, appropriate F&A rate, subcontractor and cost sharing commitments, if applicable. The SGCA checks the proposal package to assure the correct number of copies have been provided, and the proposal package is complete, per sponsor guidelines. Any potential concerns are addressed directly to the PI, with a copy to the D/D staff.

• After completing the review the SGCA prepares the proposal package:
Hard Copy Submission
- Submits the proposal in PS and completes signatory information
- Provides any internal documentation requested by the sponsor i.e. University Financial Statement
- Creates a cover letter, if required
- Sets up the completed proposal for University endorsement and mailing.
- Signs the PSRS
- Sends to OSPA main office for official signature, mailing & file creation.

Electronic Submission
- Sends an e-mail to AOR with complete instructions for submission along with the signed PSRS.
- Upon submission of electronic proposal, submission confirmation is sent to SGCA, via e-mail, from AOR, The SGCA will forward this notification to the PI and copies the departmental admin (i.e. screen shot; cc on e-mail; confirmation #; etc.)
- Confirmation not received by SGCA within 2 hours – follow up with AOR.

- The OSPA OSS copies and replaces all signature pages and staples copies, as required, prior to mailing the proposal package, as instructed by the SGCA. (applies to Hard Copy submission)

- The OSPA OSS records the mailing information on the PS OSP Signer page. An e-mail notification is sent to the PI, providing him/her with the information that the proposal has been mailed, including FedEx tracking information, if applicable. A file is then created for the proposal and returned to the appropriate satellite office for filing until further action is requested from the sponsor.

- Any additional information requested by the sponsor during sponsor review of the application is prepared by the PI and sent to the SGCA, who reviews and forwards to the AOR to submit it to the sponsor.

5. NEGOTIATING AND PROCESSING THE AWARD

- Per University Policy and Procedures Finance & Accounting 210: “Technical/programmatic negotiations with the sponsor are the responsibility of the Project Director/Principal Investigator.” A sponsor’s program manager/director may contact a PI regarding technical matters or to request a budget revision or clarification of budget justification before a project is awarded. The PI is responsible for deciding whether a project can be pursued with budget or time increases/decreases. If there is a 10% increase/decrease in money or shared credit, approvals by all required personnel must be obtained and submitted to the SGCA, prior to the submission of a revision to the sponsor. A new PS entry is NOT necessary.

- Under some circumstances a sponsor will contact a PI offering a pre-set award amount to conduct specific research. In these instances, the PI should contact the appropriate satellite office, providing a copy of any terms and conditions, a proposal or scope of work, a working budget and a signed PSRS. An award cannot be set up without completion of the PS internal paperwork.

- A PI may request an advance account or a pre-award spending account if an award is assured. Steps required to establish an account include the following:
  - The awarding sponsor’s guidelines must allow advance or pre-award spending.
  - A request for an advance or Pre-Award form must be completed, found at this link: http://research.missouri.edu/forms/files/pre_award_account_request_form.pdf
  - All compliance approvals must be in place before the SGCA can establish a spending account.
  - A submitted proposal must be on file in the OSPA satellite office.
Award notices are received either electronically or by hard copy. The OSPA OSS scans all non-electronic awards, forwarding a notice to the appropriate SGCA. The SGCA pulls the proposal file, verifying the line items in the budget, time period, scope of work, and assures compliance items are met. The SGCA then reviews the funding document terms and conditions, and routes for legal review/approval and review/approval by OTMIR, if necessary. At the same time the SGCA sends the PI an electronic copy of the scanned award, copied to the appropriate D/D, requesting whether the PI accepts the award along with any applicable additional information needed. Upon receipt of award notification, it is the PI’s responsibility to review the terms and conditions, and accept or decline an award. Prompt acceptance, as well as providing any additional information requested will prevent unnecessary delay in establishing an account.

OSPA is authorized by The Curators of the University of Missouri to review, negotiate and endorse sponsored projects. Individual investigators, departments, colleges or schools do not have authority to review, negotiate or endorse an agreement with a sponsor. The SGCA negotiates all changes required by the PI, legal and OTMIR, if necessary and sets up the final version of the contract for University endorsement, routing the copies to the OSPA OSS for signature and mailing. The MU executed files are returned to the satellite office to await receipt of the fully executed agreement.

Once the fully executed agreement is received from the sponsor, the SGCA is responsible for establishing the award in PS, establishing a MoCode and finalizing the award budget in PeopleSoft. Once the budget is finalized, a Grant Award Summary is emailed to the PI, department fiscal contact, OSPA award mailbox and other contacts, as appropriate. Once an award account is established by the SGCA, it is the responsibility of the PI to notify any Co-PI’s and their departmental personnel.

The SGCA stores an electronic copy of the award and sends a hard copy with original signatures, along with the project file to the Tiger Team for processing and filing in Jesse Hall.

**OSPA TIMELINESS GOALS**

<table>
<thead>
<tr>
<th>Timeline Goal</th>
<th>Process</th>
</tr>
</thead>
<tbody>
<tr>
<td>3 Business Days</td>
<td>SGCA process proposal (work with PI and/or departmental administrator to review, edit and correct the proposal)</td>
</tr>
<tr>
<td>2 Business Days</td>
<td>Submission Specialist (final review, submission, error correction and resubmission when necessary)</td>
</tr>
<tr>
<td>&lt;= 3%</td>
<td>Frequency of proposal reviews that exceed one (1) week</td>
</tr>
<tr>
<td>1 Working Day</td>
<td>Notification of PI of receipt of award notice &amp; request for PI approval.</td>
</tr>
<tr>
<td>1 Working Day</td>
<td>Initial communication (may not be definitive response due to requirement for more effort).</td>
</tr>
<tr>
<td>10 Working Days</td>
<td>Award Setup processed - timeline of award setup AFTER all finalizations have been received by SGCA – (i.e. PI approval rec’d; chart field string verified; budget revisions received; IRB, IACUC, safety approvals in place; negotiations complete; transmission time of full execution of signatures, etc.) – once all factors are in place, award setup timeline is 10 working days.</td>
</tr>
</tbody>
</table>

2 Working Days | Pre-Award Account Setup (from time of receipt in OSPA, if all is in place – i.e. Signed PSRS on file in OSPA, submitted proposal on file in OSPA, IRB & ACUC approvals are in place) |
Office of Sponsored Programs Administration

Proposal Processing
PROPOSAL SUBMISSION TIMELINES

- Completed packages for standard proposals will be due in the appropriate OSPA satellite office no later than 5 business days prior to the date the proposal must be transmitted to the sponsor.
- Terms and conditions information for non-standard proposals will be due in the appropriate OSPA satellite office no later than 7 full working days prior to the date the proposal must be transmitted to the sponsor.
- Completed packages for non-standard proposals will be due in the appropriate OSPA satellite office no later than 5 business days prior to the date the proposal must be transmitted to the sponsor.
- Investigators may transmit pre-proposals—as defined below—to potential sponsors without OSPA review.
- Investigators may not transmit full proposals to potential sponsors without OSPA review, nor may investigators negotiate financial or contractual terms with potential sponsors.

DEFINITIONS FOR PURPOSES OF THIS DOCUMENT

Completed proposal package—the entire proposal, required sponsor forms, approvals of any institutional commitments, and completed and signed PSRS.

Non-standard proposal—a proposal in which, by virtue of submitting the proposal, the University is bound to specified terms in an eventual award. Examples include responses to Requests for Quotation (RFQ), bids, SBIR/STTR collaborations, etc. The call for proposals for such a program will contain phrases like “any amendments proposed for the standard terms and conditions must be identified at the time of proposal submission”, “proposer agrees to be bound by the sponsor’s standard terms and conditions”, or similar language.

Pre-proposal—a document containing technical information and sent to a sponsor to enable an initial review of a proposal concept. A sponsor may request a full proposal after reviewing a pre-proposal. Pre-proposals do not lead to funding without full proposals. Pre-proposals do not contain budget information and have no sponsor requirements for institutional signatures. Note: Some sponsor calls for “pre-proposals” will not meet this definition.

Standard proposal—a grant proposal for which submission of the proposal in and of itself does not bind the institution to the terms of an eventual award; most proposals prepared by faculty investigators will fall into this category.

Working day—a day other than a Saturday, Sunday or University holiday.

PROPOSAL GUIDELINES

1. Proposal External Funding
   - The Office of Sponsored Programs Administration (OSPA) is responsible for ensuring all proposals submitted to external sponsors for funding are compliant with University and sponsor requirements. Proposals or applications for funding may have clearly defined guidelines for submission, required forms and/or a required format, or may be a scope of work and budget.
2. Types of Proposals

- Proposals are either competitive or non-competitive and are identified as a new submission, continuation, renewal, or request for supplemental funds.
  - **Competitive** - proposals are reviewed by the sponsor and measured with other proposals against established criteria with awards being made to those highest ranked. Competitive proposals may be for a new or an ongoing project.
  - **Non-competitive** - proposals for which funds have already been recommended for a specific project or otherwise are going to be awarded without competition (example: continuations, sole sources).

- **New**
  - A new proposal is a proposal that fits any of the following categories:
    - A proposal that has never been submitted.
    - A modification of a previous proposal that has not been funded.
    - A proposal that may be related to a previous project, but which is proposed to a different sponsor than the previously funded project.
    - A proposal that may be related to a previous project, but which extends the project in a new technical direction from that funded previously.

- **Continuation**
  - Funding planned when initial proposal was submitted.
  - Relates to a previously existing funded project.
  - Principal Investigator (PI) entered budget into PeopleSoft with initial proposal submission & obtained required approvals on PSRS.
  - Award terms and conditions fixed by terms and conditions of original award.

- **Renewal**
  - An extension of an existing project that was not planned when the initial proposal was submitted and awarded
  - Relates to a previously existing but separately funded (new award agreement) project.
  - PI may use documentation/data from previous proposal as a starting point for preparation of renewal proposal.
  - New award terms and conditions not fixed by terms and conditions of previous award.

- **Supplement**
  - A request for additional funds (not previously included in the project) for a project that has already been awarded.
  - Award time period overlaps the original period of performance and may or may not include additional time.
  - Supplemental funds will be made a part of the original award by making appropriate adjustments in project funding lines and timelines. Terms and conditions of the original award apply.
Proposal Process Flow

Primary Investigator (PI) (and/or department administrator):
- Obtains appropriate approvals to include chair, dean, human subjects, animals, or safety
- Completes the PeopleSoft (PS) Proposal and Proposal Signature Routing Sheet (PSRS) and submits to Office of Sponsored Programs Administration (OSPA) OSPA satellite office. PI(s) must sign Proposal Signature Routing Sheet (PSRS) and obtain signatures of Department Chair(s) and Dean(s).
- Compiles the original proposal, signed PSRS, all required copies of the proposal, agency guidelines if applicable, any other pertinent information, and provides all to the appropriate OSPA satellite office

OSPA Senior Grants and Contracts Administrator (SGCA):
- Reviews proposal for sponsor and University compliance; when indicated seeks legal review/approval & TMIR review/approval, as applicable; reviews the proposal in PS and the PSRS and makes any corrections and verifies budget calculations.
- Prepares cover letters and compliance letters as necessary.
- Completes information in PS and submits proposal in PS. Signs PSRS and routes proposal for authorized institutional signature.

Authorized institutional representative:
- Reviews and signs proposal and the PSRS
- Routes to OSPA Office Support Staff for submission to sponsor.

OSPA Office Support Staff (OSS):
- Makes all necessary copies of signature page(s) and replaces in all copies.
- Prepares for shipment as instructed on routing sheet.
- Sends copies of signature pages to department or PI as requested.
- Sends email notification to PI(s) and department with proposal number and tracking number.
- If indicated, will send copy of cover letter to those listed in cc
- Completes mailing information and institutional approval in PS.
- Creates proposal file and routes to satellite office.
PROPOSALS

The purpose of proposal review is to ensure compliance with University policies and procedures and sponsor requirements for the submission of applications for external funding.

1. Deadlines

- Complete standard proposals and appropriate copies along with a fully signed PSRS must be provided to the appropriate satellite office at least five business days PRIOR to the date the proposal needs to be mailed or submitted electronically to meet sponsor deadlines.
- Any projects with terms and conditions will be considered as non-standard submissions. The terms and conditions must be provided to the appropriate OSPA Satellite office at least seven full working days prior to the sponsor submission deadline. The completed package for non-standard submissions is due to the satellite office five full working days prior to the submission deadline.

2. SGCA Verification of complete proposal package including:

- **Date stamps** Proposal Signature Routing Sheet (PSRS) when received.
- Reviews the PSRS. The PSRS must have the signatures of the PI, his/her Department Chair or equivalent, and the College/School Dean or equivalent. If there are any Co-PI's or Key Personnel (Professors, Assistant Professors, or Associate Professors, etc) being paid through the grant or contributing time/effort and/or receiving shared credit, they must sign the PSRS as well as their respective chairs and deans. Any departments contributing cost share must sign the PSRS as well.
- Checks for **Guidelines** furnished in either paper form or electronically (via an e-mail attachment or a website link).
- NSF or a PHS agency proposal submission - completed and signed Financial Disclosure Forms (http://www.research.missouri.edu/forms/forms_dept.htm#ospa) must be provided for the PI and all key personnel on the project.
- A complete copy of the proposal for OSPA records, delivered assembled and unstapled. This may be furnished on paper or electronically through e-mail or online.
- A complete original of the proposal, signed by the PI as required by the sponsor and sufficient copies to meet the sponsors requirements unstapled. If the proposal is to be submitted electronically, the electronic file or the website link where the proposal is located must be provided by the PI or D/D staff.
- **Subcontracts** in the budget - subcontractor information, including the following, must be provided:
  - Subcontractor Letter of Commitment/Intent (Mandatory @ Proposal Submission)
  - Budget/Justification (Mandatory @ Proposal Submission)
  - Scope of Work (Mandatory @ Proposal Submission)
  - Subrecipient and Vendor Determination Checklist (Mandatory at Proposal Submission)
    - Completed and signed by PI/Department.
    - Attached to back of signed PSRS, by PI/Department
    - SGCA reviews form to assure completion and initials.
  - Completed Subcontractor Information Form (Mandatory @ Award) (http://www.research.missouri.edu/forms/forms_dept.htm#ospa)
  - Copy of Subcontractor F&A Rate Agreement (Mandatory @ Award)
- The PI or any project personnel who have an actual or potential CONFLICT OF INTEREST in relationship to an externally sponsored project, must disclose the conflict to the Conflict of Interest Committee. A sample Conflict of Interest form is located in the Appendix. (http://www.research.missouri.edu/forms/forms_dept.htm#ospa). If the SGCA suspects a conflict of interest, the SGCA notifies the PI, via e-mail, and attaches the “Potential for Conflict of Interest Disclosure Form”. The SGCA enters a note in the PS Submit Proposal -- Notepad page documenting the PI notification. No other action is performed by the SGCA.
3. SGCA Review of Guidelines and Compliance

The SGCA reads the guidelines thoroughly and reviews the proposal, PSRS and corresponding material for compliance as indicated.

The following items are considered:

- **Is there a sponsor deadline** for the submission of the proposal?
- **Maximum request amount:** Does the agency restrict the maximum dollar amount that can be requested?
- **Maximum duration:** Does the agency limit the duration of the project?
- **Type of Project:** Determination of the type (research, instruction, or other) of project and verification.
- **F & A (Facilities & Administrative Costs):** Does the agency limit amount that can be requested for F&A? Has the appropriate F&A been requested?
  
  (F&A rate agreement - http://research.missouri.edu/policies/pol_dept.htm#ospa)
- **Match Requirement:** Does the agency require a percentage or specific dollar amount to be matched/cost shared by the University?
- **Allowable Costs:** Does the agency restrict the items it will fund through the grant?
- **Copies:** Have the required number of proposal originals/copies been provided and entered in the Mailing Instruction page in PS?
- **CFDA#:** If applicable, is the CFDA# available at proposal stage?
- **Submission Information:** Is the address for submission correct?
- **Sponsor Contact:** Are names and phone numbers available for questions?
- **Terms and Conditions:** Are terms and conditions binding to the University incorporated into the proposal through guidelines or other agency information?
  
  - Send any Terms & Conditions to Legal counsel for review
  - If the guidelines, forms or other agency information contains potential patent/licensing/copyright restrictions, SGCA uses negotiation thresholds.
- If the proposal indicates **Proprietary Information and/or Potential Patents,** SGCA uses negotiation thresholds.
- Are any special forms required, such as Cover Pages or Certifications and Assurances? Are they filled out according to the information on the Grant Fact Sheet?
- Check the mailing address listed in the guidelines against the address in PS.
- **Transmission procedure.** If the proposal is to be submitted online or by email, the SGCA will read the guidelines carefully to understand the procedure. The SGCA is responsible for explaining the electronic submission process to the authorized official, if necessary.

4. SGCA Budget Review

- There are potentially three budgets for a proposal: the budget going to the sponsor, the internal budget, and the PeopleSoft budget. An internal budget is not required if a proper review of the budget can be made without it. **All budgets should agree with each other** even if they are in different formats. (For example – the budget going to the sponsor might be listed by activity, whereas the internal and PS budgets are listed by budget categories such as salary and fringe.)
- **Full-costed budgets** are to be used for all proposals submitted to non-federal agencies unless a sponsor’s required budget form has a line item listing the F&A rate, or some other budget format that prevents the use of a full-costed budget. See the Appendix for an example of a full-costed budget. A template is available for this purpose.
- All budget costs must be allowable according to the appropriate cost principles and agency guidelines.
- All calculations should be correct.
- Budget figures should agree with the budget justification.
- Correct fringe benefit percentages should be applied. See the Grant Fact Sheet (GFS) (http://research.missouri.edu/forms/forms_dept.htm#ospa) for current rates.
- Educational fees and insurance for GRA’s should be included if a GRA is included in the proposal. Refer to the Grant Fact Sheet for the current fee schedule and insurance rate.
• Ensure the proper F&A rate has been applied. See Business Policy Manual: FINANCE & ACCOUNTING 203 Facilities and Administration Cost Recovery (Grants & Contracts) included in the appendix or on the web. Current F&A Rates can be found at [http://research.missouri.edu/policies/pol_dept.htm#ospa](http://research.missouri.edu/policies/pol_dept.htm#ospa)

  o These F&A rates are to be applied to the Modified Total Direct Costs (MTDC). MTDC is to be calculated by subtracting the following from the Total Direct Cost (TDC):
    ▪ All capital expenditures (buildings, renovations, etc.)
    ▪ Individual items of equipment that has a single unit value of $5,000 or greater and an estimated useful life of more than one year
    ▪ Portion of each individual sub-award (subcontract) in excess of $25,000
    ▪ All hospitalization and other fees (patient care costs) associated with patient care whether the services are obtained from an owned, related, or third-party hospital or other medical facility.
    ▪ Animal Care costs paid as a per diem based on OAR rates
    ▪ All rental/maintenance of off-site activities (space)
    ▪ All student support costs (e.g. tuition, stipends, dependency allowances, scholarships, fellowships)

  o All activities conducted in facilities not owned by the University of Missouri are considered off-campus. OSPA must be provided with an adequate justification for requesting the off campus rate.

  o Lower F&A rates are acceptable if the restricted limit is published and in the public domain (guidelines, Board policies, website). An email or letter from the sponsor is insufficient documentation for a lower F&A rate. When a F&A rate lower than the negotiated rate is used, it should be applied to the Total Direct Costs (TDC) rather than the MTDC.

  o If a PI wishes to submit a proposal with an F&A rate lower than the negotiated rate but has no published documentation limiting the F&A, a RUC must be submitted. See the Special Situations section – pg 57, for more complete information on this process

  o **Full F&A** must be requested of all for-profit corporations per University Business Policy.

• Reviews travel/equipment/other direct costs. Are the proposed costs necessary for the proper conduct of the project? See University Business Policy for calculation guidelines.

• Checks cost share calculations. The budget must meet sponsor’s cost share requirements. Voluntary cost sharing is to be avoided. Extensive information on cost sharing is located in the Appendix. If any cost share comes from a different Business Unit, a separate PSRS signed by appropriate personnel, is required for any cost share from a different Business Unit.

• If subcontracts are included in the proposal, the SGCA checks to see that the F&A is applied and calculated properly. See Processing Subcontracts instructions in the Special Situations section.

• If the proposal involves more than one campus, see the Multi-Campus instructions in the Special Situations section.

5. **SGCA Review of Remainder of Proposal** – After checking compliance on the matters listed above, the SGCA reviews the remainder of the proposal for appropriate information:

• **Sponsor’s Face Page/Cover sheet info** – if this type of page is included, verifies (from the Grant Fact Sheet) the information is correct.

• **Certifications and Assurances** – if guidelines specify that these are to be included, checks to see that they are completed correctly. For non-federal sponsors these may need to be reviewed by MU Legal Counsel.

• **Other sponsor-required forms** – checks guidelines to see that all other required forms are completed correctly.

• **Attachments (example, Tax Exempt Letter, Copy of F&A Rate Agreement, University Financial Statement, etc.)** – checks guidelines for required attachments and verifies they are included. (See Appendix for samples of forms).

• **Electronic submissions** – Reviews all online or email files, even if a hard copy is provided.
6. SGCA Review of PeopleSoft Information
   - Verifies the information entered into PeopleSoft is correct.
   - SGCA does not rely on the PSRS.
   - Checks the entries in the PSGM as they might have changed after the PSRS was printed & signed.
     o Grants>Proposals>Maintain Proposal>General Information
       ▪ Due date – corresponds with guidelines?
       ▪ Makes sure the title in PS matches the proposal title.
       ▪ Fills in the long title if it has not already been entered into PS.
       ▪ Correct sponsor listed? If the sponsor is “unlisted” check to see if the sponsor is in the PSGM. If not, instruct the PI or D/D staff to put in a request for a New Sponsor by e-mailing grantsdc@missouri.edu.
       ▪ “Type” listed correctly?
       ▪ “Purpose” listed appropriately for the proposed work?
       ▪ Effective dates acceptable according to guidelines?
       ▪ Beg/End dates in Proposal match PS Beg/End dates?
       ▪ Reviews “Additional Attributes” box, to assure appropriate boxes are checked or unchecked? (F&A Requested should always be checked)
       ▪ Correct Dept ID selected? Does it match the “Purpose”?
       ▪ Abstract provided?
       ▪ Human subjects, animals, or safety issues involved? Designated on the Certifications page? (see Appendix for names of contacts regarding compliance issues)
       ▪ Verifies mailing information with guidelines.
       ▪ Verifies transmission method.
       ▪ Verifies Dept ID’s on the UM Share Credit page.
     o Proposals>Enter Overall Budget
       ▪ Checks the F&A rate. Correct rate used and corresponds to the rate used in any other budget provided?
       ▪ Checks the dates for the periods for multi-period projects.
     o Proposals>Enter Budget Detail
       ▪ Verifies that the budget lines in PS correspond properly to the budget lines in the sponsor budget and the internal budget, if one is provided. Checks the budget totals, and verifies the F&A is applied correctly and is the same on all budgets.
       ▪ If the budget contains cost share, checks the cost share Dept ID’s. Are they appropriate and is the cost share calculated correctly?
     o Proposals>Submit Proposal
       ▪ Changes “Submit Status” to “Submitted” on the Submission page.
       ▪ Enters the date the proposal was received in the OSPA satellite on the OSP Signer page.
       ▪ When the proposal is acceptable for submission, SGCA signs the PSRS and logs in the date and the SGCA EmplID on the OSP Signer page.
       ▪ Verifies the appropriateness of the signers on the PSRS.
       ▪ Enters a note on the Notepad page to document the progress of the submission.

7. SGCA Proposal Package Preparation
   - Prepares a cover letter if necessary to indicate the purpose of the mailing to the sponsor (see Appendix for sample).
   - Prepares an Institutional Endorsement page if there are no pages on the proposal requiring an authorized signature. (see Appendix for sample)
   - Types or stamps the name and title of the signing authorized official on all pages he/she will be signing.
   - Types/writes the PROJECT number at the bottom of all pages being signed by the authorized official.
   - Places a large plastic clip on all pages needing authorized signatures, including the PSRS.
   - Enters a NOTE in PS (Submit Proposal>Notepad page) regarding the movement of the proposal to Jesse Hall for signature and submission, and any other pertinent information.
   - Verifies the PI has provided the proper number of copies of the proposal.
   - Places all material being sent to the sponsor in the right pocket of a red folder in the order designated by the sponsor. (If all the copies going to the sponsor do not fit in the pocket, the copies can be rubber banded to the backside of the folder.) All material for the OSPA file is to be placed in the left side of the folder, in the following order: PSRS, Financial Disclosure Forms (if applicable), OSPA copy of proposal, internal budget, guidelines and other supporting material.
• **Electronic submissions**
  - All material (PSRS, copy of proposal, sponsor guidelines & any other applicable documents) are placed on the left pocket of the red folder.
  - All Electronic Submissions are sent to MU RESEARCH OSPA SUBMISSIONS, with complete instructions for submission.
    - Upon submission of the electronic proposal, submission confirmation is sent to SGCA, via e-mail, from AOR. The SGCA will forward this notification to the PI and copies the departmental admin (i.e. screen shot; cc on e-mail; confirmation #; etc.)
    - If SGCA has not received confirmation within 2 hours, SGCA follows up with AOR to assure electronic submission has been processed.
  - If the proposal is to be submitted via e-mail, the SGCA sends an e-mail message to MU RESEARCH OSPA SUBMISSIONS which includes the following:
    - The e-mail address to which the proposal should be sent
    - A message to be forwarded to the sponsor
    - The proposal as an attachment (appropriately named to identify)
    - Who should be cc’d on the e-mail submission (i.e. SGCA name, dept admin or PI).
    - Follows up within 2 hours, if confirmation of submission has not been received.
  - **ELECTRONIC NOTICES** – all electronic notices received, in reference to a proposal submission (i.e. ALL grants.gov confirmation e-mails, except for exact duplicates; ALL grantsdc e-mails, etc.) should be forwarded to department.

• **Generates a Routing Sheet in PeopleSoft.** (See Guidelines in Appendix)
  - Enters the MU Project ID on the Routing Sheet & the PI e-mail address (if not pre-printed)
  - Writes the sponsor proposal/confirmation number on the routing sheet if one is generated through the electronic submission process.
  - Clips the Routing Sheet to the front of the red folder.
  - Adds any appropriate stickers:
    - **Red dot** for proposals that need sent overnight.
  - SGCA places the complete proposal in the satellite office “Out” box for hard copy submissions.
  - The OSS picks up proposals to be submitted twice daily from the satellite office and prepares them for mailing once they are signed. The OSS creates a proposal/project file and sends the file to the satellite office where it remains until awarded or archived. On electronic submissions the OSS staff will make the proposal/project files in the satellite office and those files will remain there until awarded or archived.

8. **SGCA Processing & Review of Budget Revisions and Additional Information**
Frequently, the sponsoring agency will request additional info and/or a revision of the budget.
- The sponsor should request the information from the SGCA, who will then pass the request to the PI. Some sponsors will contact the PI directly with these requests. The PI informs the SGCA of the request.
- The PI provides the appropriate requested information to the SGCA, not to the sponsor. If a revised budget is required, it is to be signed by the PI, Co-PI's, chairs and deans if the change is 10% or more. If the project is awarded, a detailed, approved budget is required.
- If the **shared credit percentages change**, approvals are required from the affected parties of the changes.
- SGCA checks the information for accuracy and compliance.
- **Notes** are entered on the Submit Proposal>Notepad page by the SGCA.
- SGCA creates a cover letter, if appropriate.
- If any pages need an authorized signature, the SGCA types or stamps the **name and title** of the signing official on all pages which he/she will be signing. The **Project ID number** is entered at the bottom of all pages being signed.
- **Large plastic clips** are attached to all pages needing authorized signatures.
- All information going to the sponsor is placed in the right pocket of a **blue folder**. The OSPA file copy and any other pertinent information is placed in the left side of the folder.
• **Routing Sheet** is generated in PeopleSoft.
  - Important information is highlighted.
  - Routing Sheet is clipped to the front of the blue folder.
  - Red dot for material that need sent overnight.
• The proposal is placed in the satellite office “Out” box.
• The OSPA OSS picks up material to be submitted twice daily and prepares it for mailing once it is signed by the authorized official. The OSS will then send the routing sheet and OSPA file copy back to the satellite for filing.

9. **Documentation**
- Throughout the entire proposal process, the SGCA documents actions including phone calls, e-mail communications, etc. by entering notes on the Notepad page in PS (Grants>Proposals>Submit Proposal>Notepad).

10. **DHHS Assurances DATES** — (if needed at proposal stage) agency certification/assurance dates for checklist forms:

   - Civil Rights Assurance .................................................................06/01/1975
   - Assurance Concerning the Handicapped.......................................06/01/1975
   - Assurance Concerning Sex Discrimination....................................06/01/1975
   - Assurance Concerning Age Discrimination ...................................05/12/1992

11. **Non-Deadline E-mail Requests to OSPA AOR**
   SGCA sends a non-deadline request to AOR via e-mail (i.e. request to sign document and return to Satellite office). If SGCA does not receive a response from AOR within 2 hours – SGCA follows up with the AOR via phone.

12. **Animal Per Diem**
   Any costs based on the **Office of Animal Research** (OAR) per diem structure are **exempt from F&A** – it is the basis of that cost that determines this not the physical location of the animals. If SGCA receives a budget which splits out these costs, based on location, the question to ask is the basis for the charges. If animals are kept at the facility that uses per diem at the OAR approved rate, then the per diem is exempt from F&A. The cost of keeping animals at the **Animal Science Research Complex** (ASRC) is **not** split into per diem, labor, etc. so it should **not** be budgeted as per diem. The ASRC costs are budgeted as “other expenses” or “dept operating” and are **not exempt** from F&A.
CONTINUATIONS

- A **continuation** is a subsequent year of funding of an existing award that was a part of the original submitted proposal. The PI entered the budget into PS with the proposal and obtained the required approvals on the PSRS. The award terms & conditions are fixed by the terms & conditions of the original award. A new proposal entry in PS is NOT needed for continuation funding, provided the original/approved PSRS included the current year in a multiple-period budget.

  - **PERFORMANCE/PROGRESS REPORT** or some other report is required for continuations and must be submitted by OSPA (ie. NIH Progress Reports):
    - Electronic, SGCA reviews and routes to authorized official for submission
    - Hard copy, SGCA reviews, verifies mailing address and routes to Jesse Hall in a blue folder with a routing sheet, for signature & mailing.
    - NOTE entered into PS>Award Profile>Notepad to document submission and notification sent to applicable OSPA Sr. Accountant, via e-mail.

RENEWALS

- The PI/Dept Contact generates a new Proposal Signature Routing sheet (PSRS) in PeopleSoft.
- SGCA processes Renewals in the same manner as new proposals.
- A lowered F&A rate from the original proposal is not automatically applied to the renewal. If the sponsor/PI asks for a lowered F&A rate and there is nothing published in the public domain to document the lower F&A rate, the processing of a new RUC is required.

SUPPLEMENTS

- The PI/Dept Contact will generate a new PSRS.
- SGCA processes Supplements in the same manner as new proposals.

CHECKS IN SUSPENSE

- When a check is received without an associated proposal/ project, it is put into suspense. When the proposal and award are eventually processed, the check needs to come out of suspense. When the SGCA is made aware by the OSPA front office that a check is in suspense, the **Tiger Team who oversees the suspense list** should be notified when the award is setup.
Office of Sponsored Programs Administration

Award Processing
Sponsored Agreement/Award Processing Definitions

Contract - A contract is the appropriate agreement to be used in a relationship between a sponsor and a recipient whenever (1) the principal purpose of the instrument is the acquisition, by purchase, lease, or barter, of property or services for the direct benefit or use of the sponsor; or (2) an executive agency determines in a specific instance that the use of a type of procurement contract is appropriate.

Cooperative Agreement - A cooperative agreement is the appropriate agreement to be used in a relationship between a sponsor and a recipient whenever (1) the principal purpose of the relationship is the transfer of money, property, services, or anything of value to the state or local government or other recipient in order to accomplish a public purpose of support or stimulation authorized by a federal statute, rather than acquisition, by purchase, lease, or barter, of property or services for the direct benefit or use of the federal government; and (2) substantial involvement is anticipated between the executive agency, acting for the sponsor, and the state or local government or other recipient during performance of the contemplated activity.

Fully Executed Award - A document provided for funding of a sponsored project that requires both parties to sign and has been signed by both parties.

Letter of Agreement - A letter of agreement is a brief non-contractual document that describes duties, assignments, deliverable and a payment schedule between the sponsor and the recipient.

Memorandum of Agreement – A governing document containing a brief statement of the terms and conditions, and arrangements between two or more parties. It appears less formal in format and language but has the same effect as a contract or agreement.

Service Contract - Service Contract is a simple document that describes a specific service to be provided in a specific period of time at a specific cost. These are usually not part of a parent agreement and do not involve the use of humans or animals.

Task Order – Authorization for specific project(s) requested by the sponsor under a fully executed Master Agreement. (Also can be referred to as Work Order, CLIN, or Delivery Order.) Document will include specific work to be performed; period of performance, funding amount, and any special conditions that are in effect.

Teaming Agreement – Establishes a teaming alliance for the pursuit and conduct of joint research, development, and commercialization projects allocates between the parties certain rights relating to said projects to be carried out under funding agreements that may be awarded by government, private, or not-for profit entities or may be funded either in part or entirely by one or more of the parties involved in this agreement.

Unilateral Award - A document provided for funding of a sponsored project that does not require University signature. OSPA reviews all terms and conditions of the award and negotiates any unacceptable language with the sponsor.

University Executed Award - A document provided for funding of a sponsored project that requires both parties to sign and has been provided to the University for initial signature. It is returned to the sponsor for final signature.
Unilateral Award Process Flow

Award is received in main office, scanned, noted in PS, routed to appropriate satellite office.

PI is notified of receipt via e-mail. SGCA negotiates terms as needed (see Document Review / Revision / Negotiation), reviews for compliance, obtains PI approval, establishes award, prepares award summary, prepares a routing sheet, and routes to accountant.

OSPA OSS processes as directed on the routing sheet. The file is routed to the appropriate Senior Accountant.
University Executed Award Process Flow

Award is received in main office, scanned, noted in PS, and routed to appropriate satellite office.

PI is notified of receipt via e-mail. SGCA negotiates terms as needed (see Document Review / Revision / Negotiation), reviews for compliance, prepares document for signature, obtains PI approval, establishes award and routes to main office for signature and submission to sponsor.

Institutional representative signs award and routes to OSPA OSS for submission.

OSPA OSS makes copies as requested and submits signed originals, as directed on the routing sheet. The file is routed back to appropriate satellite office, pending receipt of a fully executed award.
Fully Executed Award Process Flow

Award is received in main office, scanned, noted in PS, and routed to appropriate satellite office.

PI is notified of receipt via e-mail. SGCA pulls proposal file, reviews terms and conditions, negotiates changes, if indicated, generates award in PSGM, creates Grant Award Summary (GAS) and routes to OSPA main office for signature and submission to sponsor.

OSPA OSS makes copies and submits as directed on the routing sheet. The file is routed to the appropriate OSPA Senior Accountant.
Processing Unilateral Awards

1. SGCA Processing of Award Received
   - If the award is a hard copy, it will be scanned and an email sent from the OSS to notify the appropriate SGCA that the file with the scanned award is in the « Awards Scanned » folder on the G drive. The hard copy will be sent to the appropriate OSPA satellite office.
     - If the award arrives electronically, it will be forwarded to the appropriate SGCA via email.
     - Awards are routed to the appropriate senior accountant for processing if they meet the following criteria:
       - Award constitutes a change to a previous award
       - Contain no new funding and do not include a change in scope of work or legal terms and conditions.
   - Types of notices/action to be routed to the appropriate senior accountant for processing include:
     - No cost time extensions
     - Carry over of funds
     - Requests for early termination
     - Budget revisions
     - Changes of PI, Business unit or institution, shared credit or effort.

2. SGCA Compiling of Information
   - Pulls the proposal/project file. If there is no proposal/project file the PI or D/D must process a PS entry, create a PSRS and obtain the necessary approvals.

3. SGCA Review
   - Reviews award. Compares to proposal; i.e., time period, dollar amount, scope of work, compliance (i.e., up-to-date animal/human/safety approvals).
   - Reviews funding document terms and conditions.
   - Reviews Contract/Agreement Invoicing Requirements
     - If Contract/Agreement arrives in OSPA “after” the effective Start Date of the project –
       - SGCA contacts agency/sponsor via e-mail/phone to confirm the next calendar billing cycle is acceptable for invoicing, after account setup. (E-mail example: “The award document, received on (date), states that the invoicing is on a (monthly/quarterly, etc.) basis. The project start date is (date). Will the next calendar billing cycle be acceptable for invoicing?”)
       - Acceptable – SGCA notes in Award Profile – Notepad and places copy of e-mail correspondence (if e-mail contact is made) in file.
       - Not Acceptable – SGCA negotiates invoicing terms, as needed.

4. SGCA PI Award Notification and Request for Info
   - Sends an email with the electronic copy of the award to PI for approval, cc’ing the D/D and other contacts as appropriate. If the PI has not responded within two weeks of the initial email, a follow up email is sent to the PI requesting approval and cc: the department. Repeated emails are sent at one-week intervals, thereafter, until a response is received from the PI.
   - E-mail includes request for additional information. If a page requires PI signature, SGCA requests the PI print out the page, sign it and return it to the OSPA satellite office.
   - If necessary, the SGCA requests a new budget. The PI, Chair and Dean must sign it if the change is 10% or more.
   - Verifies Dept ID’s.

5. Legal/OTMIR/Fiscal Review and Comment
   - SGCA emails document with comments and/or questions to Legal Counsel for review/approval.
   - SGCA emails document to OTMIR for Intellectual Property Language review, if necessary.
6. CFDA # (See page 37)

7. SGCA Award Set-up
   - **Generates an award in PS** - If the award budget has incorrectly calculated F&A, account is set up with the proper amount of F&A. There is no need to go to the agency/sponsor to negotiate this change or to the Accountant.
   - SGCA checks assigned **OSPA Sr. Accountant** in “Contracts Billing Plan” – SGCA manually changes to project assigned Sr. Accountant, if necessary.
   - **Inputs Sponsor Award Number** on ALL awards in “Reference Award Number” field on the Award Profile page, if available. If no award number exists, enter “NO AWARD NUMBER” (no abbreviations – i.e. No Awd #, is NOT allowed)
     - Sponsor number - the entire # must be entered in this field on NIH award – Example: 5 R01 Al043353 – 5-R01-Al043353 is entered)
   - **Long Description** – field completed by Dept on Proposal side of PS. SGCA checks for completion at award and enters the long title, if incomplete.
   - **Creates a MoCode** for the project as well as any cost share MoCodes. (See pg 44)
   - **Finalizes the budget** in PS by posting the budget.
   - **Generates a Grant Award Summary** and emails it, along with a final copy of the award, to the PI, department fiscal person and other contacts, and the MU RESEARCH OSPA Awards email box. The GAS is also sent to the Submissions Specialist if any subcontracts are included. In the message of the email and/or in the comments field of the Grant Award Summary, list any cost share MoCodes. A reminder is included to pass information along to other departments that are involved in the project.
   - Prints a **hard copy** of the GAS and places in the award file.
   - **Subcontracts part of Award?** – See pg 62 (Processing Subcontracts)
   - **Clips** all award documents together. All proposal documents are 2-hole punched and are secured in a prong fastener. Both sets of documents are placed within the green folder.

8. Processing CONTINUATION award setup (See pg 35 – CONTINUATIONS)

9. **NOTE:** Processing Awards from FOUNDATIONS
   - Send a **COPY** of the **Fully Executed Award** to **Elizabeth Cogswell**
     - Electronic or Campus Mail
Processing University Executed Awards

1. SGCA Processing of Award Received
   • If award is received via hard copy, it will be scanned and e-mailed to the appropriate SGCA. The hard copy is then routed to the appropriate OSPA satellite office.
   • If the award arrives electronically, it will be forwarded to the appropriate SGCA by email.
   • Awards are routed to the appropriate OSPA Sr Accountant for processing if they meet the following criteria:
     o Award constitutes a change to a previous award and
     o Contain no new funding and do not include a change in scope of work or legal terms and conditions.
   • Types of notices/action to be routed to the appropriate OSPA Sr Accountant for processing include:
     o No cost time extensions
     o Carry over of funds
     o Requests for early termination
     o Budget revisions
     o Changes of PI, Business unit or institution, shared credit or effort.

2. SGCA Compiling of Information
   • Pulls the proposal/project file. If there is no proposal /project file the PI or D/D must process a PS entry, create a PSRS and obtain the necessary approvals.

3. SGCA Review
   • Reviews award. Compares to proposal; i.e., time period, dollar amount, scope of work, compliance (i.e., up-to-date animal/human/safety approvals).
   • Reviews funding document terms and conditions.
   • Reviews Contract/Agreement Invoicing Requirements
     o If Contract/Agreement arrives in OSPA “after” the effective Start Date of the project –
       • SGCA contacts agency/sponsor via e-mail/phone to confirm the next calendar billing cycle is acceptable for invoicing, after account setup. (E-mail example: “The award document, received on (date), states that the invoicing is on a (monthly/quarterly, etc.) basis. The project start date is (date). Will the next calendar billing cycle be acceptable for invoicing?”)
       • Acceptable – SGCA notes in Award Profile – Notepad and places copy of e-mail correspondence (if e-mail contact is made) in file.
       • Not Acceptable – SGCA negotiates invoicing terms, as needed.

4. SGCA PI Award Notification and Request for Info
   • Sends an email with the electronic copy of the award to PI for approval and cc’s the department and other contacts as appropriate. If the PI has not responded within two weeks of the initial email, a follow up email is sent to the PI requesting approval with the D/D cc’d. Repeated emails are sent at one-week intervals, thereafter, until a response is received from the PI.
   • E-mail includes request for additional information. If a page requires PI signature, SGCA requests the PI print out the page, sign it and return it to the OSPA satellite office.
   • If necessary, the SGCA will request a new budget. The PI, Chair and Dean must sign it if the change is 10% or more.
   • Verifies Dept ID’s.

5. Legal/OTMIR/Fiscal Review and Comment
   • SGCA emails document with comments and/or questions to Legal Counsel for review/approval.
   • SGCA emails document to Harriet Francis for Intellectual Property Language review, if necessary.

6. CFDA # (See pg 37)
7. **SGCA Negotiation**
   - Negotiates changes to award document as necessary.
   - Enters and tracks negotiations in the notepad in PS.
   - Keeps PI informed of negotiation progress via e-mail.
   - Obtains Legal approval and OTMIR (if necessary) approval on final version.
   - Obtains PI approval on final version.
   - Sends final copy of award and e-mail approval to Tiger Inbox.

8. **Approval and Finalization of Award**
   - Sets up award document for signature by clipping all signatory pages. Types or stamps the authorized signer’s name and project number on all pages to be signed.
   - Includes cover letter indicating any negotiated changes, if necessary.
   - Creates a routing sheet and fills out appropriate fields with mailing information.
   - Routes to Jesse Hall for authorized signature and mailing.
   - OSS routes copy and file information back to satellite office pending final execution of award.

### Processing Fully Executed Awards

1. **SGCA Processing of Awards Received**
   - If award is received via hard copy, it will be scanned and e-mailed to the appropriate SGCA. The hard copy is then routed to the appropriate OSPA satellite office.
   - If the award arrives electronically, it will be forwarded to the appropriate SGCA via email.
   - Awards are routed to the appropriate senior accountant for processing if they meet the following criteria:
     - Award constitutes a change to a previous award.
     - Contains no new funding and does not include a change in scope of work or legal terms and conditions.
   - Types of notices/action to be routed to the appropriate OSPA Sr Accountant for processing include:
     - No cost time extensions
     - Carry over of funds
     - Requests for early termination
     - Budget revisions
     - Changes of PI, Business unit or institution, shared credit or effort.

2. **SGCA Compiling of Information**
   - Pulls the proposal/project file. If there is no proposal /project file, the PI or D/D must process a PS entry, create a PSRS and obtain the necessary approvals.

3. **SGCA Review**
   - Reviews award. Compares to proposal; i.e., time period, dollar amount, scope of work, compliance (i.e., up-to-date animal/human/safety approvals).
   - Reviews funding document terms and conditions.
   - Reviews Contract/Agreement Invoicing Requirements
     - If Contract/Agreement arrives in OSPA “after” the effective Start Date of the project –
       - SGCA contacts agency/sponsor via e-mail/phone to confirm the next calendar billing cycle is acceptable for invoicing, after account setup. (E-mail example: “The award document, received on (date), states that the invoicing is on a (monthly/quarterly, etc.) basis. The project start date is (date). Will the next calendar billing cycle be acceptable for invoicing?)
       - Acceptable – SGCA notes in Award Profile – Notepad and places copy of e-mail correspondence (if e-mail contact is made) in file.
       - Not Acceptable – SGCA negotiates invoicing terms, as needed.
4. SGCA PI Award Notification and Request for Info
   • Sends an email with the electronic copy of the award to PI for approval and cc's the D/D and other contacts as appropriate. If the PI has not responded within two weeks of the initial email, a follow up email is sent to the PI requesting approval and cc: the department. Repeated emails are sent at one-week intervals, thereafter, until a response is received from the PI.
   • E-mail includes request for additional information. If a page requires PI signature, SGCA requests the PI print out the page, sign it and return it to the OSPA satellite office.
   • If necessary, the SGCA will request a new budget. The PI, Chair and Dean must sign it if the change is 10% or more.
   • Verifies Dept ID's

5. Legal/OTMIR/Fiscal Review and Comment
   • SGCA emails document with comments and/or questions to Legal Counsel for review/approval.
   • SGCA emails document to Harriet Francis for Intellectual Property Language review, if necessary.

6. SGCA Negotiation
   • Negotiates changes to award document as necessary.
   • Enters and tracks negotiations in the Submit Proposal Notepad in PS. Keeps PI informed of negotiation progress via e-mail.
   • Obtains Legal approval and OTMIR (if necessary) approval on final version.
   • Obtains PI approval on final version.
   • Sends final copy of award and e-mail approval to Tiger Inbox. These can be located on the R:drive.

7. CFDA # (See pg 37)

8. SGCA Approval and Finalization Process
   • Sets up award document for signature by clipping all signatory pages. The signer’s name & title are typed/stamped on all pages to be signed along with the project number entered at the bottom of all signatory pages.
   • Includes cover letter indicating any negotiated changes.
   • Creates a routing sheet and fill out appropriate fields.
   • Routes to main office for signature and mailing.
   • In the absence of sponsor terms and conditions, a letter of acknowledgement is generated, signed and returned to the sponsor with a copy of the University Standard Terms and Conditions.

9. SGCA Award Set-up
   • Generates an award in PS (see Processing Awards section for complete instructions). If the award budget has incorrectly calculated F&A, set up the account with the proper amount of F&A. There is no need to go to the agency/sponsor to negotiate this change or to the Accountant.
   • SGCA checks assigned OSPA Sr. Accountant in “Contracts Billing Plan” – SGCA manually changes to project assigned Sr. Accountant, if necessary.
   • Inputs Sponsor Award Number on ALL awards in “Reference Award Number” field on the Award Profile page, if available. If no award number exists, enter “NO AWARD NUMBER” (no abbreviations – i.e. No Awd #, is NOT allowed)
     ▪ **Sponsor number** - the entire # must be entered in this field on NIH award –
       Example: 5 R01 **A1043353** – 5-R01-A1043353 is entered)
   • Long Description – field completed by Dept on Proposal side of PS. SGCA checks for completion at award and enters the long title, if incomplete.
   • Creates a MoCode for the project as well as any cost share MoCodes.(See pg 44)
   • Finalizes the budget in PS by posting the budget.
   • Generates a Grant Award Summary (GAS) and emails it, along with a final copy of the award, to the PI, department fiscal person and other contacts, and the MU RESEARCH OSPA Awards email box. The GAS is also sent to the Submissions Specialist if any subcontracts are included. In the message of the email and/or in the comments field of the Grant Award Summary, list any cost share MoCodes. A reminder is included to pass information along to other departments that are involved in the project.
   • Prints a hard copy of the GAS to put in the award file.
   • Subcontracts a part of award? (See Pg 62 – Processing Subcontracts)
• **Clips** all award documents together. All **proposal** documents are 2-hole punched and are secured in a prong fastener. Both sets of documents are placed within the green folder.
  
  o **NOTE:** If award is being fully executed (signed) by the OSPA authorized official, the SGCA places the award document to be signed in a Blue Folder (right side) and the award documents with the Grant Award Summary on the left side of the Blue Folder.
  
  ▪ SGCA attaches a Routing Sheet, containing the mailing information, on the outside of the Blue Folder and places it around the green file folder, which contains the original proposal file.

10. **Processing CONTINUATION award setup** (See pg 35 – CONTINUATIONS)

11. **NOTE:** In the event a Dept ID changes, after an award has been generated by the SGCA an award has not been routed to the SR Accountant, the SGCA enters the correct Dept ID in the Award>Project>Project Dept page in PS, with the correction made in both the “Subdivision” and the “Department” fields.

12. **SUBMIT PROPOSAL OPTIONS** on Proposals entered into PS, when not a part of the “original” PS proposal entry, which are manually awarded when awarded funds are applied to an existing chart field:
  
  • **Awd;OthVer** - Choose this proposal status when a fully executed award is received for a proposal that has several different versions (V1, V2, V3). Use the Generate Award function on the version to be awarded. Use this proposal status on the previous versions. This status also indicates the Generate Award function was not utilized.
  
  • **Awd;Exist** – Choose this proposal status when a fully executed award is received for a proposal entered for any additional funding awarded under the same sponsor award ID that was not originally proposed and the additional funds go under an existing award. This status also indicates the Generate Award function was not utilized.

13. **NOTE:** Processing Awards from FOUNDATIONS
  
  • Send a **COPY** of the Fully Executed Award to Elizabeth Cogswell
    
    o Electronic or Campus Mail

14. **NOTE:** **Construction Grant Awards**
  
  • F&A Rate applied is the appropriate rate for the use of the building/project being constructed. The base is “0”. The F&A rate is **NOT** set up as “0” in People Soft.
  
  • **Proposal Stage:**
    
    o SGCA sends a **COPY** of the construction and/or provisional construction award document at the time of receipt to Lisa Kruse.
    
    o Keyword – CIP (Construction in Progress) needs to be entered into PS
    
    o SGCA checks the following:
      
      ▪ Proposal>Enter overall budget>F&A Setup page in PS is set up as follows:
        
        i.e. **Institution**
        
        FA Base: MTDC  FA Rate %:  28.00
        
        **Sponsor**
        
        FA Base: MTDC  FA Rate %:  28.00
        
        **Budget**
        
        FA Base: MTDC  FA Rate %:  28.00
        
        **F&A Allowable**
        
        FA Base: MTDC  FA Rate %:  28.00
      
      ▪ Enter Budget Detail – “Budget Item” category should be “Other No F&A”.
  
  • **Award Stage:**
    
    o PS Account Code – 862001
    
    o SGCA sends a **COPY** of the final/fully executed award, even if there is no change from the provisional award document to Lisa Kruse.
    
    o SGCA routes fully awarded file to Tiger Team for processing

15. **NOTE:** Fellowships – All funding for Fellowships & Scholarships will be treated as “Student Aid”, when processing the award setup in People Soft.
CONTINUATION Award Setup by SGCA

- Receives continuation award, electronic or hard copy.
  - Determines which project the continuation is related to by one or more of the following:
    - Sponsor Award #
    - PI Name
    - Sponsor
    - Project Title
- Requests the original award file from Jesse Hall
  - Determines if new chartfield needs to be setup OR if funds will be added to the existing chartfield.
    - If “new” chartfield setup is required (i.e. state of Missouri sponsors; carry over not allowed, etc.), copies the original award and ALL subsequent-year awards, if applicable, and places in the award file, created for the continuation funding, to provide a complete history of the award.
      - Other alternatives to obtaining copy of original award(s):
        - Requests OSPA OSS to copy the original award(s) and route to the OSPA satellite office.
  - Determines if funded amount received is the exact amount originally budgeted for in the initial proposal submission AND if the detailed budget is in PS.
    - Detailed Budget in PS is the SAME as funded amount –
      - Sends copy of the award to the PI and Dept contact(s) and requests PI approval.
    - NO detailed budget in PS:
      - Sends copy of award to PI and Dept contact(s) and requests detailed budget and PI approval of award.
    - Budget is DIFFERENT than funded amount but difference is LESS than a 10% to difference to what was originally entered/approved in PS at proposal submission:
      - Sends copy of award to PI and Dept contact(s) and requests detailed budget and PI approval of award.
    - Budget is DIFFERENT than funded amount but difference is 10% or MORE than (more or less) what was originally entered/approved in PS at proposal submission:
      - Sends copy of award to PI and Dept contact(s) and requests revised detailed budget, along with official approvals of the decreased/increased funding (PI, CoPIs Chair, Dean – whoever signed the original PSRS), using one (1) of the following options:
        - E-mail chain – Revised budget is presented in the e-mail and followed by a chain of approvals from the PI/CoPIs/Chair/Dean and e-mail chain is routed to SGCA.
        - PI/CoPIs/Chair/Dean sign/date the bottom of the Revised Budget Page and routed to the SGCA.
        - Copy the Original PSRS – changes made by hand on the PSRS are initialed and dated by the PI/CoPIs/Chair/Dean and routed to the SGCA.
        - Memorandum created, which includes the budget revision, with signatures/dates of PI/CoPIs/Chair/Dean and routed to SGCA.
  - Checks Certification page in PS and obtains/updates applicable information (approval date; protocol/assurance number) for IRB or ACUC approval (NOTE: ACUC does NOT need to be notified for awards that are (non-competing) continuations of multi-year projects involving the use of animals (ie. NIH-SNAP)). Notifies Peter Ashbrook, via e-mail, if safety issues are involved in continuation setup and provides copy of the new Grant Award Summary with notification.
- Proceeds by adding funds to existing project in PS –
  - Checks the following and revises, if necessary:
• Plus 4 (checks end date and extends, if necessary):
  o In PS - “Setup Financials/Supply Chain”
  o Clicks on “Common Definitions”
  o Clicks on “Design Chartfields”
  o Clicks on “Chartfield Values”
  o Clicks on “Project”
    ▪ Enters Bus Unit and Project ID#

• Award Profile page
  o Project End Date
  o Confirms CFDA # for funding for period rec’d.
    ▪ Adds updated SEFA Comment for CFDA confirmation, date/initial.
  o Funding Tab –
    ▪ Checks if next period of funding is there and if dates and amount
      match the newly awarded funds and beg/end dates. If they do not
      match, enter the correct info.
    ▪ Award Modification link
      • Adds line for new funds & enters as follows:
        o Award rec’d – date award was date/time stamped, in
          OSPA satellite office.
        o Begin/End Dates on award document.
        o Newly funded amount of funding received.

• Enters “notes” into PS Award Profile>Notepad:
  o Date of PI approval
  o Date certs were checked
  o CFDA # confirmation (SEFA Notes info)
  o Budget info (revised/approvals, etc.), if applicable.
  o Grant Award Summary created and who it was distributed to.
  o Routed to Jesse Hall and to the attention of which accountant.

• Budget Detail – Checks the following:
  o Budget already entered is correct
    ▪ Completes the chartfield strings for each budget line.
  o Budget entered is NOT correct
    ▪ Corrects budget lines with detailed budget received from PI/Dept and
      completes chartfield strings for each budget line.

• Creates Grant Award Summary
  o Checks for accuracy

• Goes back to PS>Budget Detail
  o Posts Budget
    o Checks for “P”s on budget (If “E”s – makes corrections in Commitment
      Control)

• Distributes Grant Award Summary and copy of award, electronically to PI, Dept
  contacts.
• Places copy of GAS on top of Award to be added to the original service file in Jesse
  Hall.

• SPECIAL NOTES:
  o SUBCONTRACTS part of CONTINUATION award? – Se Pg 62 (Processing Subcontracts)
Input and Validation of
CFDA (Catalog of Federal Domestic Assistance)
Numbers
&
SEFA Information

PROPOSAL – SGCA reviews proposal narrative/statement of work at proposal submission to determine the SEFA Cluster based upon the following criteria:

Criteria for R&D (any one of the following will make a project qualify for R&D):
1. generation of new, generalizable (can be applied to situations other than this specific activity) knowledge
2. development of new processes, techniques, etc.
3. experimentation
4. investigator has latitude to change approach to project
5. project defined by investigator
6. analysis of data is part of project and investigator determines how to analyze data

****** When none of the above is applicable, project may default as “Other”:

Characteristics of “other” projects:
1. sponsor defines project
2. investigator has little latitude to change project approach without sponsor approval
3. data provided to sponsor without analysis
4. data analysis defined by sponsor
5. data generated are specific to project at hand (not widely generalizable)

• SGCA enters a Note on the Submit Proposal-Notepad to document the SEFA Cluster (R&D or Other) and notes if the correct Dept ID (Research or Other) has been entered into PS by the department at Proposal Submission.
  o If determination of SEFA Cluster is different than the Dept ID entered by the department (i.e. Dept enters Research Dept ID and it should be “Other” Dept ID), the department will be notified by the SGCA at AWARD time to correct the Dept ID and to submit a revised budget (with correct F&A, if applicable).

Fellowships – MUST have “Fellowship” Dept ID.

• SGCA checks Dept ID at Proposal time. If “Research” Dept ID has been entered into PS, then the department MUST BE NOTIFIED to change the Dept ID at Proposal submission.
• If the Fellowship provides a “Research Experience”, thus it is in the SEFA cluster of “R&D” – the Dept ID will still be a “Fellowship” Dept ID – the SGCA enters a note in the SEFA Comment field and the Award Profile Notepad stating “This is a Research Fellowship”.

Training Projects – If the purpose of the training grant/contract provides a “Research Experience”, the SEFA cluster is “R&D” and the Dept ID is a Research Dept ID (ie.PCS Code 22). If the purpose of the training grant does NOT provide a research experience, the SEFA cluster is “Other” and thus the Dept ID will be an “Other” Dept ID (ie. PCS code 32).

Developing Curriculum – SEFA Cluster – Other; PCS Code for Dept ID must be for Instruction (11)

AWARD - Sponsors are required to inform the University of Missouri if funds being provided are federal or federal flow-through by providing the appropriate CFDA Number.

• SGCA checks award document for CFDA # upon receipt of award document.
  o CFDA number included in AWARD DOCUMENT, SGCA processes as follows:
    ▪ SGCA “highlights” the CFDA# on the Award document.
    ▪ Award Profile – Profile page
      • SGCA enters CFDA #
      • SEFA Cluster - (as determined from the proposal narrative/SOW)
Check box – Award

SEFA Comment – SGCA enters a clear concise note stating what page of the award document contains the CFDA #. (i.e. "Award – page 3 – date/initial). A note can also be entered into the Award Profile – Notepad, which is date/time stamped.

Check box – Award

SEFA Comment – note entered stating what page of the award document states "no federal funds" (a note can also be entered into the Award Profile – Notepad, which is date/time stamped)

0 Text of Award clearly states – NO FEDERAL FUNDS, SGCA processes as follows:

- Award Profile>Profile Page
  - SGCA enters XX.XXX in CFDA # field
  - SEFA Cluster – Non-Fed
  - Checkbox – “Award” is checked
  - SEFA Comment – SGCA enters a descriptive note stating what page of the award document states “no federal funds” (i.e."Award- Pg 3 states…………Date/Initial")

0 CFDA # needs to be obtained – SGCA contacts the sponsor to determine if the funds are federal or federal flow-through.

- Contact with the sponsor can be by phone, e-mail or use of the CFDA Funding Source Letter/Form (before fully executing and award, a Funding Source Letter/Form is a LAST RE COURSE to obtaining the CFDA #) using one of the following processes:
  0 Phone Contact – SGCA calls sponsor to obtain CFDA # -
    - CFDA # obtained
      - Award Profile – Profile page
        - SGCA enters CFDA #
        - SEFA Cluster - (as determined from the proposal narrative/SOW)
        - Checkbox – Phone
        - SEFA Comment – note entered indicating:
          - Name & phone number of the sponsor contact
          - Date sponsor contacted and any additional identifying information provided (a note can also be entered into the Award Profile – Notepad, which is date/time stamped)
          - SGCA Initials/Dates note entry.
  0 E-mail Contact – SGCA sends e-mail to sponsor requesting CFDA # -
   - CFDA # obtained by e-mail response from sponsor
     - Award Profile – Profile page
       - SGCA enters CFDA #
       - SEFA Cluster - (as determined from the proposal narrative/SOW)

Non-Federal Funding Confirmation rec’d

- Award Profile – Profile page
  - SGCA enters XX.XXX in CFDA # field
  - SEFA Cluster – Non-Fed
  - Check box – Phone
  - SEFA Comment – note entered indicating:
    - Name & phone number of the sponsor contact
    - Date sponsor confirmed “non-federal funds” and any additional applicable information (a note can also be entered into the Award Profile – Notepad, which is date/time stamped)
    - SGCA Initials/Dates note entry.
Non-Federal Funding Confirmation rec’d -
  - Award Profile – Profile page
    • SGCA enters XX.XXX in CFDA # field
    • SEFA Cluster – Non-Fed
    • Check box – E-mail
  - SEFA Comment – note entered indicating:
    • Name & phone number of the sponsor contact
    • Date sponsor confirmed “non-federal funds” and any additional applicable information (a note can also be entered into the Award Profile – Notepad, which is date/time stamped)
    • SGCA Initials/Dates note entry.

FDA Funding Source Letter/Form – SGCA sends copy of award with funding source letter/form to sponsor when funding source is unknown as to whether it is Federal Funds OR Non-Federal Funds:

  - SGCA completes all information on the Funding Source Form, indicating on the form the appropriate OSPA Sr. Accountant to whom the form should be returned via FAX.
  - SGCA places a copy of the Funding Source Letter/Form in the file.
    • Award Profile – Profile page
    • CFDA # - (field is left BLANK)
    • SEFA Cluster - (field is left BLANK)
    • Checkbox – Award
    • SEFA Comment – note entered as follows - “Funding Source request sent to sponsor (date & method of transmission – i.e. mail, e-mail, or fax)”

  o CFDA Funding Source Letter/Form – SGCA sends copy of award with funding source letter/form to sponsor when funding is FEDERAL FUNDING but CFDA # is unknown:

    • CFDA # - enter first two digits of CFDA # for Federal Agency (i.e. 47.000 – NSF; 10.000 – USDA)
    • SEFA Cluster – (as determined from the proposal narrative/SOW)
    • Checkbox – Award
    • SEFA Comment – note entered as follows – note entered as follows - “Funding Source request sent to sponsor (date & method of transmission – i.e. mail, e-mail, or fax)”
    • SGCA forwards AWARD File to OSPA Sr. Accountant
      • SGCA should NOT hold setup of an award pending sponsor confirmation of the CFDA #.

  o COST SHARE ONLY Projects
    • CFDA # - XX.XXX
    • SEFA Cluster – Non-Fed
• Checkbox – Award
• SEFA Comment – note entered as follows “Cost Share Only (date/initial)”
• Award Profile>Notepad – enter note listing related project, if there is one. Otherwise, enter note of “cost share only”.

SPECIAL NOTES:

***** Funding from Federal Agencies – cannot enter XX.XXX into the CFDA# field. MUST enter the applicable CFDA# OR the first two digits of the CFDA # for the applicable Federal Agency plus .CON (i.e.10.CON – USDA)

***** “Mail” Checkbox – used when CFDA Funding Source is returned to OSPA Sr. Accountant. This option will rarely be used by the SGCA because Funding Source Forms are rarely processed by SGCA’s.

***** No alpha characters should be used following the three characters to the right of the decimal (i.e. “84.027” is to be used instead of “84.027A”).

*****For Federal Funding or Federal Flow-through CONTRACTS w/ no CFDA number assigned:
• CFDA # - first two digits representing the agency and the three digits after the decimal are to be designated as “CON” (i.e. “12.CON” for a DOD contract.).
• SEFA Cluster – (as determined from the proposal narrative/SOW)
• Check box – Award
• SEFA Comment - note entered as follows – “Agency Designation”

*****Non-funded projects – “0” budgets (i.e. CDA, Master Agreements, etc.)
• CFDA # - fill in with appropriate CFDA # or XX.XXX, whichever is applicable
• SEFA Cluster - Other (Dept ID NOT an issue on “0” budget projects)
• Checkbox – Award
• SEFA Comment – noted entered as follows – “There will be no expenditures on this award. Date;Initial”
Entering CFDA Information
Pre-Award Account Set up

When setting up a request for a Pre-Award account (Award Profile > Profile) when no CFDA number is obviously/readily available complete the fields as follows:

1. **CFDA #**
   - **FEDERAL FUNDING (Federal Sponsor)**
     - **CFDA #** - SGCA enters first two digits of the CFDA # applicable to the Federal Agency (i.e. 47.000 for NSF; 10.000 for USDA) if Federal funding is obvious, but the CFDA # is not known.
     - **SEFA Cluster** - R&D or Other (as determined from the proposal narrative/SOW)
     - **Checkbox** - “Award” is checked
     - **SEFA Comment** - SGCA enters note as follows – “This is a PreAward Account”
   - **NON-Federal Agency & Funding Source is UNKNOWN at PreAward Stage**
     - **CFDA #** - If Federal/Non-Federal funding is “unknown”, SGCA leans toward the “Federal” side:
       - University sponsor – “prime” funding source prefix is entered (i.e. 10.000 = USDA flow-through)
       - If there was a previous year of funding and the funding source was Federal, SGCA reviews previous year’s award to enter Federal funding source prefix, until award is received in OSPA.
     - **SEFA Cluster** - If SGCA leans toward the “Federal” side (above), then the applicable SEFA cluster is chosen, based upon the proposal narrative/SOW.
     - **CFDA #** - If Federal/Non-Federal funding is completely “unknown” - leave field BLANK
     - **SEFA Cluster** - If Federal/Non-Federal funding is completely “unknown” - leave field BLANK (entered upon RECEIPT of AWARD)
     - **Checkbox** - “Award” is checked
     - **SEFA Comment** - SGCA enters a note recording the rationale used to determine why the choice of Federal/Non-Federal funding was selected.
       - “PreAward Account; CFDA information not available but high likelihood this is Federal funding because Prime Institution submitted to (Federal sponsor) OR previous year of funding was (Federal agency)(Date/Initial)”
       - “PreAward Account; CFDA information not available and NO indication the funds will be federal/flow through. (Date/Initial).”

**NOTE:** The question of Federal/Non-Federal funding MUST be resolved at time of award.

**Multiple CFDA #s applicable to one (1) award**

Separate awards (proposals) must be processed and awarded for each portion of the budget the CFDA # applies to. A breakout of funding by CFDA # must be obtained from the sponsor/agency and then separate detailed budgets obtained from the department. Signatures are NOT required on the PSRS’s of the additional proposals entered into PS.

If award is set up prior to obtaining the breakout of the CFDA #s:
   - Funding source form is sent out to sponsor/agency
     - **CFDA #** - enter first two digits of CFDA # applicable to the Federal Agency (i.e. 47.000 – NSF; 10.000 – USDA)
     - **SEFA Cluster** – (as determined from the proposal narrative/SOW)
     - **Checkbox** – Award
     - **SEFA Comment** – note entered as follows – note entered as follows - “Funding Source request sent to sponsor (date & method of transmission – i.e. mail, e-mail, or fax)”
   - File is forwarded to the OSPA Tiger Team
   - Funding Source Form is returned by the sponsor to the OSPA Tiger Team, with multiple CFDA #s – a separate award (proposal) for the break out of funding for each CFDA # must be setup.
MoCode: Creating, Inactivating, Searching

- Go to https://webapps.umsystem.edu/ and login with your email login.

CREATING A MOCODE

- Select “MoCode Create”

- Enter the chart field information from the PSGM Detailed Budget page. Enter a detailed description including the sponsor, the sponsor agreement number, and the PI, as permitted in the character limitation on this field.

- When info has been entered, hit submit. Select to “allow payroll” unless the agreement specifically states that payroll charges are not permitted. Hit “enter”. Print out and places in file.

INACTIVATING A MOCODE

- Select “MoCode Create”

- Enter the chart field information for the MoCode to inactivate then hit submit. Choose to “inactivate” the MoCode and hit Save until the MoCode is inactivated. A MoCode cannot be inactivated until the day after it has been created.

LOOKING UP A MOCODE FOR A PROJECT

- Select PeopleSoft Search Options.

- Use the drop down box to choose Chart field Mapping and click submit. Then enter the Project ID and clicks submit. All chart field strings for the project entered will appear with the MoCode.

LOOKING UP CHARTFIELD FROM A MOCODE

- Select PeopleSoft Search Options.

- Uses the drop down box to choose MoCode and click submit. Enter the MoCode and hits submit. The complete chart field string will appear.
AWARD PROCESSING
USING
NEGOTIATION THRESHOLDS CRITERION

Outline of terms and creation of processes based on the OTMIR Preferences and Thresholds for OSPA Review and Negotiation of Sponsored Research Contracts matrix.

1. IDEAL TERMS
   • No additional action necessary

2. ACCEPTABLE TERMS
   • No additional action necessary

3. MARGINAL TERMS
   • Need OTMIR (Office of Technology Management and Industry Relations) approval ONLY
     – or –
   • Need approval from:
     o PI
     o Chair
     o Dean
     o OTMIR
     o Vice Chancellor for Research

4. ALLOWABLE TERMS
   • Need approval from:
     o PI
     o Chair
     o Dean
     o Vice Chancellor for Research

5. EXCEPTIONAL TERMS
   • Publication
     o Need approval from:
       • PI
       • Chair
       • Dean
       • Vice Chancellor for Research
       • Provost
   • Patent and Copyright Ownership
     o Need approval from:
       • PI
       • Chair
       • Dean
       • Vice Chancellor for Research
       • Provost
       • OTMIR

Processing Based on Criterion Level

No additional action needed for Number 1 and Number 2.
For Number 3 and Number 4 process as follows:
A. Marginal Terms – OTMIR Approval ONLY:
   • Grants and Contracts Administrator (SGCA) forwards copy of agreement electronically to OTMIR.
   • OTMIR returns approval to SGCA for completion of negotiations with sponsor

B. Other Marginal Terms Circumstances + OTMIR Approval:
   • SGCA forwards copy of agreement to Hattie Francis (francish@missouri.edu), pointing out specific section of document to be reviewed by OTMIR.
   • OTMIR returns to SGCA for completion of negotiations with sponsor

Number 5 (Exceptional Terms) depending on the terms involving either Publication Waiver or Patent/Copyright Waiver the processes are:

Publication:
   • SGCA forwards agreement/contract (either electronically or originals as needed) to PI for approval
   • PI generates hard copy Publication Waiver, submitting for signatures by chair and dean
   • SGCA receives signed Publication Waiver approvals and signed agreement/contract from PI (if applicable)
   • SGCA scans memo then, using the e-mail template, forwards along with an electronic copy of agreement to Gloria Smith (smithgl@missouri.edu). If approved by VCR Gloria then forwards to Provost for approval. Gloria then routes both approvals back to SGCA.

Patent/Copyright:
   • SGCA forwards copy of agreement/contract to PI for approval and signature (if Clinical Trial) along with a Patent Waiver to be completed by the PI/Department.
   • PI signs agreement (if Clinical Trial) & completes/signs patent waiver and then obtains approvals/signatures from the chair and dean.
   • Signed agreement (if Clinical Trial) and Patent Waiver are returned to SGCA
   • SGCA verifies signatures, scans memo and, using the e-mail template, sends the signed waiver and copy of the agreement to OTMIR – Hattie Francis (francish@missouri.edu). Hattie will process the patent waiver and obtain the required signatures and route back to the SGCA.
     o Phase II, III, IV Clinical Trial Patent Waiver memos go directly to OTMIR
   • SGCA processes agreement/contract for signature and mailing to sponsor

* It is the responsibility of the SGCA to remove/rearrange signature lines that are not needed or are in incorrect order, prior to forwarding to Gloria Smith for approvals.
Office of Sponsored Programs Administration

Special Situations
Multi-Campus Processing

1. Proposals

- Submission material
  - One University of Missouri campus/business unit is designated as “prime” and is responsible for processing the application to the sponsor. The proposal submitted to the sponsor will have one budget. This budget is comprised of the budgets for all University campuses added together.
  - Separate internal budgets for each campus are required as well as a total budget. Any subcontracts for outside entities are entered on the budget for the prime campus.
  - Each campus/business unit must have its own Proposal Signature Routing Sheet (PSRS) for its share of the budget.
  - The prime campus submits their signed PSRS, a copy of the signed PSRS’s from the other campuses, and the regular proposal information to the SGCA.
  - The other campuses submit their signed PSRS to their respective SGCAs with a note specifying who the prime campus is as well as the proposal/project number for the prime or a copy of the prime PSRS

- The SGCA verifies that the total of the PSRS’s adds up to the budget requested of the sponsor as well as matching the internal budget.

- Notes are placed in the Submit Proposal - Notepad noting the proposal/project numbers of the other campuses and also noting which one is prime.

- The SGCA for the prime campus processes the proposal as usual. The SGCA for the other campuses checks the internal budget against the PeopleSoft budget.

- **NOTE:** Other University of Missouri campuses are NOT considered subcontracts. Do NOT request subcontractor information for them. The MU budget will not charge F&A on any portion of the budgeted funds for other UM campuses. Full F&A from the other campus is included in their budget.

2. Awards

- The award/contract/agreement is processed by the SGCA for the prime campus for the project as usual as for negotiations, PI approvals, legal approval, etc.

- If the award is for a different dollar amount than requested, the prime SGCA will request a new budget(s) from the PI, who is responsible for getting new budgets from the other campuses, if appropriate.

- The prime SGCA will award only that portion of the funds allotted for his/her campus, making notes in Notepad concerning the other campus’ (UMR, UMKC or UMSL) project numbers and total budget dollars. If “other campus” is UOEXT, UMSYS or HOSPT (NOT UMR, UMSL or UMKC), the prime SGCA sets up the award for all business units involved in the project.
  - SGCA enters a note into the Award Profile Notepad of the Prime Project & the Other Campus’ involved.

- **NOTE:**

- The prime SGCA will send an email to each of the other campuses’ (UMR, UMSL or UMKC) Sponsored Programs Office involved which includes e-copies of the following:
  - Contract/award/agreement
  - A message referring to their PI name, proposal/project numbers, dollar amount awarded, reference to the above mentioned attachments, other pertinent info necessary for them to process their award.
Criteria for Applying Reduced Facilities and Administration (F&A) Rate for Clinical Trials**

A F&A (indirect cost) rate of 26% of total direct costs is applied to clinical trials that are performed by investigators at the University of Missouri-Columbia.

NOTE:
- The source of funding for the project is not the determining factor in qualifying for this rate.
- The research subjects must be studied under an IRB approved protocol.
- Commercially sponsored projects not meeting the criteria below will require the full MI F&A rate.
- Studies meeting the criteria below that are funded by not-for-profit organizations may charge a rate determined by negotiation between OSPA and the sponsor agency.

For a trial to qualify for the reduced 26% F&A rate, all of the following criteria must be met (except in the special cases indicated):
- The study must be human clinical research.
- The study must occur in a clinical care area that meets all local and national standards for patient care.
- The research study budget must be appropriately charged for all expenses related to the study, including, but not limited to, personnel time and utilization of clinical care space.
- The research subjects cannot be charged for research-specific care.*

*This criterion is not required if ALL of the following apply:
- The study involves a marketed drug or device or late phase New Chemical Entity, tested under Treatment Investigational New Drug or Compassionate Use protocols approved by the IRB.
- Use is judged by the investigator to be the only viable treatment option.
- Data are being collected.
- Application of the full F&A rate would make availability of the agent to the patient/subject cost-prohibitive.

Studies that do NOT meet the criteria for the 26% TDC F&A rate:
- Studies taking place in research laboratories or facilities that are not approved for clinical care, including studies involving human fluids, cells or tissues.
- Studies involving only reviews of patient records
- Contracts solely for acquisition of human tissue, fluids or cells to be stored (at MU or externally) for future research at MU or at an outside agency or institution.

**Source: Developed by MU School of Medicine Office of Medical Research and MU Office of Sponsored Programs Administration

Definition of Clinical Research*
Clinical research is a component of medical and health research intended to produce knowledge valuable for understanding human disease, preventing and treating illness, and promoting health. Clinical research embraces a continuum of studies involving interaction with patients, diagnostic clinical materials or data, or populations, in any of these categories:
1. disease mechanisms (etiopathogenesis)
2. bi-directional (translational) research
3. clinical knowledge, detection, diagnosis, and natural history of disease
4. therapeutic interventions including clinical trials of drugs, biologics, devices and instruments
5. prevention (primary and secondary) and health promotion
6. behavioral research
7. health services research, including outcomes, and cost-effectiveness
8. epidemiology

*Source: Consensus Development Conference at the Graylyn Conference Center, Winston-Salem, North Carolina, November 20-22, 1998 as part of the Clinical Research Summit Project sponsored by the AAMC, AMA, and the Wake Forest University School of Medicine
Clinical Trial Process

1. Clinical Trial Agreements (CTA)

- Receive agreement – ensure that there is sponsor contact information for negotiation.

- Set up file – put label on RED folder with PI last name, sponsor name and proposal/project number if available.

- Set up project in the Clinical Trials Access database, reference protocol, or acronym in the notes field, and add notes as each action is taken.

- Forward a copy of the agreement to HS-IRB to compare contract language to consent language.

- Make a clean copy of the agreement for mark up, review agreement and send to legal (fax or e-mail).

- File by PI last name in the file drawer labeled “Work in Progress”

- Receive agreement back from legal, forward (fax or e-mail) to OTMIR, always including legal comments. Change status and make notes in Access database.

- Receive back from OTMIR – change status and make notes in Access database

- **Hard copy processing:** Using clean copy of agreement, **transpose all requested changes** (legal & OTMIR), on one document and return to the sponsor. If electronic version is available track changes and e-mail to sponsor. Send e-mail to PI, study coordinator and Office of Medical Research to advise negotiations are underway – Change status and make notes in Access database

- **Receive agreement back from sponsor.** If all requested changes were made, proceed to step 10. Process any changes rejected by the sponsor back through legal and/or OTMIR, noting what changes have not been made at this point in the negotiation. **Continue negotiations** if legal/OTMIR cannot approve – change status and make notes in Access database

- Upon receipt of the negotiated agreement from the sponsor contact the study coordinator, advising that agreement is **ready for PI signature.** Send the agreement via e-mail if available electronically, otherwise check with the study coordinator to verify delivery preference. From the Access database go to Faxes/Forms/Memos and generate a Patent Waiver Memo and e-mail to the study coordinator. If the agreement is to be picked up or mailed via campus mail generate a PI Memo to accompany it. Change status and make notes in Access database

- Receive PI signed agreement, partially signed patent waiver memo and signed PSRS from the Office of Medical Research. Fax patent waiver memo and PI signed contract to OTMIR for **final signatures** – Change status and make notes in Access database

- Receive fully signed patent waiver memo back from OTMIR. Make certain that you have PI signed contract, signed PSRS, and IRB* approval. **Process in the People Soft Grants Module** (PSGM) in the same manner as any proposal, entering IRB Assurance number, approval date, and transferring all notes from Access database into the Notepad panel, adding new notes as needed. Submit in PSGM, and **set up agreement for signatures** by clipping pages to be signed by Associate Director or Director, include a W-9, send to Jesse Hall for mailing and file creation as MU executed, or fully
executed as applicable. If MU executed, file will be returned to Clinical Trials office to be filed in “Clinical Trials in Process,” alphabetically by PI last name.

- Upon receipt of the fully executed agreement, change status in Access database, making notes as needed. Process in the PSGM in the same manner as a normal award account set up, with two exceptions:
  - Under Awards>Award Profile>Profile, Award Type should be selected as Clinical Trial.
  - After generating and e-mailing of the Grant Award Summary (GAS) return to the Chart field panel and enter "0" for all of the budget lines – **Finalize**.

- Contracts mailed as fully executed can be awarded at mailing, following the procedures outlined in 12 and 13.
- Send an electronic copy of the signed fully executed document and GAS to the PI, study coordinator, Susan Becklenberg and the Office of Medical Research Award Mailbox (omrawards@health.missouri.edu)

- **Upload** an electronic copy of the fully executed agreement and GAS** into E-docs.

- Delete scanned, electronic file from “Awards scanned” folder on OSPA “G” drive.

- Mark project as **Complete** in the Access database.

**NOTES:**

* If IRB has not been approved hold file for processing in “Work in Progress” file, checking e-IRB bi-weekly for approval of protocol. Once IRB is approved, process PSRS and agreements as outlined in step 13.
Clinical Trials - Confidentiality Disclosure Agreements (CDA or CA)

Many clinical trail agreements will include confidentiality language or will have a separate agreement for confidentiality which is a pre-cursor to the sponsor’s submission of a particular protocol for investigator review.

1. Receive agreement – ensure that there is sponsor contact information
2. Set up file – put label on BLUE folder with PI last name, sponsor name and proposal/project number if available.
3. Set up project in the Clinical Trials Access database, reference protocol in the notes field, and make additional notes as each action is taken.
4. Review agreement, make clean copy if needed, mark up and send to legal (fax or e-mail).
5. File by PI last name in the file drawers labeled “Work in Progress,” in the front of the drawer.
6. Receive agreement back from legal, forward (fax or e-mail) to OTMIR, if applicable always including legal comments – change status and make notes in Access database.
8. Using clean copy of agreement, transpose all requested changes (legal & OTMIR), on one document (typed if document is to be faxed) and return to the sponsor – change status and make notes in Access database. Send e-mail to study coordinator and PI letting them know that negotiation process has begun.
9. Receive agreement back from sponsor. If all requested changes were made, proceed to step 10. If not all changes are acceptable process back through legal and OTSP, noting what changes have not been made. Continue negotiations if legal/OTMIR cannot approve – change status and make notes in Access database as needed.
10. After legal/OTMIR approval of agreement (if applicable) contact the PI and study coordinator, letting them know that agreements are ready for signature. Send agreement via e-mail if available electronically, otherwise verify delivery preference.
11. Receive PI signed agreements back from Office of Medical Research – change status and make notes in Access database. Generate a proposal in the PSGM, labeling as a “CDA” in the Proposal Header Short/Long Title, entering “0” in the Budget Header for “Target Sponsor Budget;” and print a PSRS for the file. Submit in PSGM, as for a normal proposal EXCEPT, change status to “Awarded” on the Official Panel, and transferring all notes from the Access database to the OSP signer panel. Set up agreement for signatures by clipping pages to be signed by Associate Director or Director, send to Jesse Hall for mailing and file creation as MU executed, or fully executed if applicable. If MU executed, file will be returned to Clinical Trials office to be filed in “Pending,” alphabetically by PI last name.
12. Upon receipt of fully executed agreement, (or if fully executed at mailing) change status in Access database to “Complete.”
13. Upload an electronic copy of the fully executed agreement and forward a copy to PI, study coordinator, Office of Medical Research Awards e-mail and other departmental personnel as required.
15. File in Clinical Trials office file labeled “Fully Executed CDA’s.”
Additional Processes

1. **Master Agreements**
   - Upon creation of a NEW Master Agreement (MA), or any type of agreements that would be filed in the MA filing cabinet in the OSPA front office—SGCA will save an electronic copy of the FULLY EXECUTED document and place it on the “G” drive—PreAward Services—MASTER AGREEMENTS folder.
   - Some clinical trial agreements are sent from sponsor as Study Specific or Work Orders and are tied to a Master Clinical Trial Agreement (MCTA). In those instances review the MCTA hard copy files filed in Clinical Trials Satellite office. Review by legal and OTMIR should not be needed, however forward a copy to IRB as detailed in 4. If a patent waiver memo was signed with the MCTA a new memo should not be necessary.
   - Processing TASK ORDERS; AMDTS, etc. that refer to a “MASTER AGREEMENT”—SGCA enters a NOTE in the Award Profile < Notepad referencing “See Master Agreement in MA file cabinet in the OSPA front office for reference”

2. **Amendments**
   - Sponsor issued amendments for additional budget or tests etc. require authorizing signature. Process for legal as needed, then set up for signature and mailing per sponsor instructions. If MU executed return file to “Clinical Trials in Process” file until fully-executed by sponsor. At full execution scan the amendment and send copies to PI, study coordinator, Office of Medical Research, then forward the original to the Tiger Team for review. Additional budget is not added to the chart field and no revised GAS is issued for amendments to clinical trials.

3. **A-133 Audit Inquiries:**
   - Requests for specific questions regarding A-133 Audit Information from any agency/sponsor that MU receives funding from:
     - SGCA forwards to Susan Cessac for handling.
   - Requests for specific questions regarding the Corrective Action Plan from any agency/sponsor that MU receives funding from:
     - SGCA forwards to Susan Cessac for handling
   - General requests for a Copy of the A-133 Audit (obtained from the "G" drive):
     - SGCA forwards to agency/sponsor, with no prior approval.
   - General requests for a Copy of the Audit Corrective Action Plan (obtained from the "G" drive):
     - SGCA forwards to agency/sponsor, with no prior approval. (if not available on “G” drive, send request to Susan Cessac)

4. **Non-Deadline E-mail Requests to Tiger Team**
   - SGCA sends a non-deadline request to Tiger Team via e-mail (i.e. request to sign document & return to satellite office).

5. **FICA Justification for Negotiated Fringe Benefit Rate**
SGCA uses the following statement to justify MU's negotiated fringe benefit rate with inclusion of 7.65 FICA when negotiating an award:
  o "The Fringe Benefit rate of 31.65 is figured based upon the negotiated rate of 24.00, plus 7.65 FICA, which is a real cost. It is the understanding that if FICA were included on the negotiated rate agreement, the approved rate would be artificially high, due to the salary differentials unique to our campus (i.e. an institution of higher education, plus a medical school).
  o SGCA includes a copy of the Grant Fact Sheet pointing out that this details the standard rates to be used on all external funding proposals.
CA’s, MA’s and Other Agreements

CA – Confidentiality Agreement
MA – Master Agreement
OTH - Other

Definitions:

- **Confidentiality Agreement** – A confidentiality agreement is required by the University when an investigator will be disclosing non-published or non-patented information to a commercial company. A confidentiality agreement may be required by a company when the company wishes to disclose its proprietary information to an investigator. The company may wish the institution to sign as well as the investigator.

- **Master Agreement** - An agreement defining the general terms and conditions as agreed upon by the University and Sponsor. The specific project(s) is defined by task or work orders, detailing the project, any special terms or conditions, the period of performance, and funding for the project.
SGCA PROCESS FOR AWARDSING “$0” BUDGET (NON-FUNDED) PROPOSAL AGREEMENTS
(i.e. CA, CDA, NDA, MOU, MA, ETC.)

1. PROPOSAL
   • PSGM – Enter Overall Budget > F&A Setup – Select as appropriate (Cannot Generate Award if no F&A rate is selected).
   • Enter Budget Detail – SGCA enters at least one line item to generate award effectively. ($0.01 will work)
   • Submit Proposal – Status should show “Pending Approval.”
   • Generate Award

2. AWARD
   • Award Profile:
     - Profile – Normal PS setup
     - Sponsor – Normal PS setup
     - CFDA # - fill in with appropriate CFDA # or XX.XXX, whichever is applicable
     - SEFA Cluster – Other (Dept ID NOT an issue on “0” budget projects)
     - Checkbox – Award
     - SEFA Comment – enter the following – “There will be no expenditures on this award.”
     - Funding – Funded Amount should be at least $0.01
       * Award Modification – Issue Date enter start date of project if no other date is available and at least $0.01 as Amount.
   • Notepad – Notes entered as appropriate

3. PLUS 4 – SETTING THE END DATE FOR POSTING EXPENSES
   Do not add 4 months as contract will never be activated
   • Project Budgets:
     - Line item – select “Other,” Budget Category, PS Account 720001, Fund Code as appropriate (usually 2100), etc. There is no need for MoCode or GAS, therefore the next step should be to Finalize.

4. INACTIVATING THE PROJECT
   • SGCA verifies the project has posted.
   • Go to PLUS 4 Months> Setting the End Date for Posting Expenses
     Set Up Financials/Supply Chain>Common Definitions>Design ChartField>Define Values>ChartField Values>Project but instead of adding time to the end date go to the Status drop down and change from Active to Inactive. Save

5. RETURN TO AWARDS:
   • Project:
     - Verifies Processing Status box has changed to Inactive. Save
   • Project Activity:
     - Change Processing Status at dropdown to Inactive. Save
     - At the bottom of the page, click on Activity Status and change from “O” (Open) to “C” (Closed). “Must be in Correction mode.” Save

COMPLETING THE PROCESS
SGCA forwards the file to the OSPA front desk, with instruction that it be filed in the Master Agreement file cabinet, indicating the type of agreement, enters a note in PS Award Notepad regarding file movement and sends to Jesse Hall for filing.
Request for University Contributions (RUC)

When guidelines or other published documentation specify a limitation on the F&A (indirect) costs, it is the University policy to accept a budget with F&A at the limited rate. However, if no published documentation of a sponsor’s F&A rate limitation exists, it is necessary for the PI to complete a “Request for University Contribution of Facilities and Administrative (Indirect) Costs” (RUC) form. A sample of this form can be found in the Appendix.

1. The RUC should be submitted at least two (2) weeks before the proposal is due to the OSPA satellite office.

2. SGCA verifies the form has been completed properly and contains the proper signatures.
   - The RUC must include a justification for the University to contribute funds for the project, i.e., how will the project benefit the University.
   - If the F&A rate is reduced, but not zero, then the Departmental Resources Committed to Contribution should include a waiver of the Research Incentive Funds* (RIF) which are 25% of the F&A recovered. Note “RIF waiver” by this line if applicable.
   - The RUC should demonstrate commitment of resources from Department/College/Division operating budget for F&A.
   - Check the math:
     - Applicable F&A Amount
     - Proposed F&A Amount
     - Dept Resources Committed
     - College/Division Resources Committed
     - University Resources Requested for Contribution

3. SGCA makes a copy of the form
4. RUC is sent to the Tiger Team by the SGCA.
5. SGCA enters a Note in the Submit Proposal Notepad stating “RUC sent to Jesse Hall for review”.
6. When the form is returned, SGCA sends a copy of the RUC to the PI and/or D/D contact
   enters a NOTE in Submit Proposal Notepad stating “Approved/Declined RUC rec’d & routed to PI and/or D/D”.
7. Approved RUC is scanned and electronically filed in G:\Preaward Services\APPROVED RUCs.
   Naming convention for the file is PI Last Name followed by Date of Approval (example: jones-02.15.07).
8. If the RUC is approved, the SGCA processes the proposal as usual, using the approved F&A rate.
9. If the RUC is not approved, the SGCA contacts the PI for his/her decision as to whether they wish to submit the proposal with full F&A or withdraw the proposal.

Note: If there is insufficient time to get RUC approval before the proposal is due to the sponsor, the proposal should be submitted with full F&A request. The budget can be negotiated later if the RUC is approved.

Award –

1. Approved RUC - agreement RIF will be put back into the project:
   - Project Budget set up like any other award Project Budget setup
     - F&A Setup page – enter approved F&A rate from RUC
     - Budget Detail page – F&A budget line entered for F&A dollar amount as approved by RUC
   - Extra RIF distributed from the recovered F&A and will go to the department in the normal RIF distribution process. There should NOT be any cost share shown on the project, because we did not offer any and the sponsor did not require it.
   - SGCA places approved RUC in award file when sending to Jesse Hall
   - Hard or Electronic Copy of RUC sent to Sam Peterson in 203 Jesse Hall
   - SGCA enters note into PS Award – Notepad
2. Approved RUC - F&A does NOT go back into the project:
   - RUC processed correctly at Proposal Stage
     o F&A Setup page – approved lower F&A rate already entered by Dept.
     o Budget reflects lower F&A dollar amount
     o Process award setup as usual
   - RUC processed “after” proposal submission:
     o F&A Setup page – SGCA enters approved lower F&A rate
     o Budget Detail page – SGCA enters approved lower F&A amount in the F&A budget line.
   - SGCA places approved RUC in award file when sending to Jesse Hall
   - SGCA enters note into PS Award – Notepad

*Research Incentive Funds (RIF) - The University keeps 75% of the dollars generated through F&A and returns 25% to the departments to use as Research Incentive Funds (RIF) to promote research within the department or unit. Each division/department determines how the RIF is to be allocated.
SGCA Processing of a Pre-Award Account Request

1. Time/date stamps upon arrival in the OSPA satellite office.
2. Checks request for the following:
   - Proper authorizing signatures – PI, Chair & Dean
   - Complete chartfield string expenses will be charged to if award is not received.
   - Complete budget (in PS or department may provide a new complete budget)
3. Pulls proposal file. NOTE: A proposal (SOW, budget/justification) must be on file in OSPA prior to the processing of a pre-award account.
4. Checks human or animal subject approvals. If IRB or ACUC approval is required for the proposal but pending, an account request CANNOT be processed until the approval is complete and we have documentation for the file. If there are safety issues, SGCA notes and sends notification to Peter Ashbrook the same as at Award time. (see Page 63 for detailed instructions)
5. Generates an award in PeopleSoft (see appendix for establishing an award for detailed instructions).
   - Award Profile – Profile:
     - Changes “Status” from Accepted to “Pre-award”
     - Reference Award Number – leave blank (# entered upon receipt of award)
   - “View Contract – Billing Plans – B101”: indicates Cycle ID as “DO NOT BILL”
   - Award Profile>Additional Information:
     - Type: Selects “PreAward Spending” from dropdown.
     - Clicks on “Detail” icon: Enters chartfield string that expenses will be charged to if award is not received.
     - Comments field: Enters note documenting chartfield string, date, initial.
       - Award Profile>Notepad: Copy/paste note from Additional Info>Comments field
6. CFDA # - See Page 41 for detailed instructions.
7. Generates a Grant Award Summary and forwards to appropriate accountant, PI, dept admin, fiscal and OSPA award mailbox.
8. Retains proposal file in satellite until awarded and fully executed.
   - Upon full execution – CHANGE the “Cycle ID” in contracts, to whatever is applicable (within the contract) and the “Status” in Award Profile, to ACCEPTED.
9. If everything is in place, (i.e. Proposal on file, IRB and/or ACUC approvals in place) –
   - PreAward Account is setup within two (2) business days of receipt.
10. Award Listing on Pre-Award Accounts run quarterly for follow up on award status.
    - Quarterly – SGCA provides status of Pre-Award Accounts to Tiger Team as requested regarding the status – i.e. waiting on award; contacted sponsor – award coming, etc.

***SPECIAL CIRCUMSTANCES: Exceptions for SUBCONTRACTS at Pre-Award Account Setup – it is not a part of the normal process to issue subcontracts on a Pre-Award account. IF, in the event, the department requests that the subcontract(s) be processed/issued, the PI/Dept creates a MEMO, explaining the situation, the request and the fact that they the department takes complete responsibility and is liable for the subcontracts, if the project is not fully awarded. The PI, Dept PI & Dean must all sign the Memo, in addition to submitting the standard Pre-Award Account Request form.
Fully Awarding a Project out of PreAward Status

1. SGCA Review
   - Reviews award. Compares to proposal; i.e., time period, dollar amount, etc.
   - Reviews funding document terms and conditions. (confirms Terms and Conditions allows for pre award/advance spending)

2. SGCA PI Award Notification and Request for Info
   - Sends an email with the electronic copy of the award to PI for approval and cc’s the D/D and other contacts as appropriate. If the PI has not responded within two weeks of the initial email, a follow up email is sent to the PI requesting approval and cc: the department. Repeated emails are sent at one-week intervals, thereafter, until a response is received from the PI.
   - E-mail includes request for additional information (if applicable). If a page requires PI signature, SGCA requests the PI print out the page, sign it and return it to the OSPA satellite office.
   - If necessary, the SGCA will request a new budget. The PI, Chair and Dean must sign it if the change is 10% or more.

3. Legal/OTMIR/Fiscal Review and Comment
   - SGCA emails document with comments and/or questions to Legal Counsel for review/approval and uses the negotiation thresholds for review. (sends to OTMIR if IP for review/revision, if IP language is not acceptable)

4. SGCA Negotiation
   - Negotiates changes to award document as necessary.
   - Tracks negotiations in the Submit Proposal Notepad in PS.
   - Keeps PI informed of negotiation progress via e-mail.
   - Obtains Legal approval and applies negotiation thresholds on final version (if different from “original” negotiated language previously approved by Legal/OTMIR or thresholds applied).
   - Obtains PI approval on final version.

5. Question of Federal/non-Federal funds (CFDA #) must be resolved at time of Award (See pg 37)

6. MU EXECUTED AWARDS
   - SGCA Approval and Finalization of Award
     o Sets up award document for signature by clipping all signatory pages. Types or stamps the authorized signer’s name and project number on all pages to be signed.
     o Includes cover letter indicating any negotiated changes.
     o Creates a routing sheet and fills out appropriate fields.
     o Routes to main office for signature and mailing.
     o OSS routes copy and file information back to satellite office pending final execution.
     o Fully Awards the PreAward Account AFTER Receipt of Fully Executed Award Document. (final steps below)

7. FULLY EXECUTED AWARDS
   - SGCA Approval and Finalization Process
     o Sets up award document for signature by clipping all signatory pages. The signer’s name & title are typed/stamped on all pages to be signed along with the project number entered at the bottom of all signatory pages.
     o Includes cover letter indicating any negotiated changes.
     o Creates a routing sheet and fill out appropriate fields.
     o Routes to main office for signature and mailing.
     o In the absence of sponsor terms and conditions, a letter of acknowledgement is generated, signed and returned to the sponsor with a copy of the University Standard Terms and Conditions.
     o Proceeds with Fully Awarding the PreAward Account (final steps below)
8. UNILATERAL AWARDS
   • SGCA Reviews Award and assures all of the above (#1 – 4 are complete)
   • Proceeds with Fully Awarding the PreAward Account (final steps below)

9. FINAL STEPS to Fully Awarding a PreAward Account
   • SGCA –
     - Changes “Cycle ID” in contracts, from “Do Not Bill” to whatever Billing Cycle is applicable (within the award document)
     - Changes “Status” on Award Profile page from PreAward to ACCEPTED
     - Obtains & enters CFDA/SEFA information (if not obtained at PreAward) into PS – see Page 35 for Input and Validation of CFDA Numbers & SEFA Information
       - If entered at PreAward Account Setup – SGCA VERIFIES the CFDA # and all SEFA information for accuracy at final award setup.
     - SEFA Comment: – SGCA deletes “PreAward Account…..” note and enters updated note with the details pertaining to the CFDA # (if applicable); Dates/Initials updated note.
     - Completes all other PS pages for Award setup.
     - Enters Note in Award Profile>Notepad
     - Makes revisions to Detailed Budget page (if necessary)
     - Generates New Grant Award Summary and distributes to PI, along with a final copy of the award, appropriate departmental personnel and the Award Mailbox.
     - Forwards file with hard copy of Grant Award Summary attached to Tiger Team in Jesse Hall.

10. SPECIAL CIRCUMSTANCE: If a project has been setup as a “PreAward Account” and later the project ends up not being fully awarded in PS (i.e. Sponsor changes; Funds are added to a different project; etc.), SGCA changes the Award Profile>Profile>Status field from “PreAward” to “Accepted” and enters a note into the Award Profile>Notepad, indicating the circumstances and the project number where the funds were awarded.

11. NOTE: In the event a Dept ID changes, after an award has been generated by the SGCA and the award has not been routed to the SR Accountant, the SGCA enters the correct Dept ID in the Awards>Project>Project Dept page in PS, with the correction made in both the “Subdivision” and the “Department” fields.
Processing Subcontracts

- SGCA satellite office will review for subcontract(s) during the proposal process. Subcontract information must be included with the proposal. If no subcontract information is provided, the SGCA requests this information from the PI.

1. Award with Subcontract(s)

- Upon receipt of a fully executed **new award**, which includes subcontract(s), SGCA forwards a copy of the GAS along with all required subcontract information (see below) to Submissions Specialist in a **gray folder**. If there are multiple subcontracts SGCA places each set of subcontract information clipped together & marked with a tab to separate them in the gray folder or sends each set of subcontract info in a separate gray folder. SGCA enters a note in the PS Award Profile Notepad containing information regarding the forwarding of the subcontract info to the Submissions Specialist.

- Subcontractor Information sent to Submissions Specialist in gray folders includes:
  - Copy of Grant Award Summary
  - Subcontract Letter of Commitment/Intent
  - Budget/Justification for Subcontract
  - Copy of Subrecipient and Vendor Determination Checklist
  - Scope of Work for Subcontract
  - Subcontract Information Form with all sections completely filled out (for new awards or continuations with updated subcontractor information)
    - Write CFDA # on Subcontract Information form
  - Subcontract F&A Rate Agreement (if applicable)
  - Copy of the Prime Award including terms and conditions, when available

2. Continuation with Subcontract(s)

- If the award is for a continuation of a project & subcontracts are involved e-mail the Submissions Specialist the following:
  - Copy of the Grant Award Summary
  - Name of Subcontractor
  - Subcontract awarded dollar amount (if more than one subcontract, **list each separately** with the awarded dollar amount for **each one**.)
  - SGCA enters a note in the PS Award Notepad.

- **Continuation or Renewal** requiring a **NEW CHARTFIELD** –
  - **NEW Subcontract** will be processed by SA
    - SGCA sends ALL subcontract paperwork (as though a new subcontract were being processed, because a new “subcontract” will, in fact, be processed by the SA) in a gray folder to the Submissions Specialist which includes the following:
      - Copy of Grant Award Summary
      - Subcontract Letter of Commitment/Intent
      - Budget/Justification for Subcontract
      - Copy of Subrecipient and Vendor Determination Checklist
      - Scope of Work for Subcontract
      - Subcontract Information Form with all sections completely filled out (for new awards or continuations with updated subcontractor information)
      - Write CFDA # on Subcontract Information form
      - Subcontract F&A Rate Agreement (if applicable)
      - Copy of the Prime Award including terms and conditions, when available

3. Preparation of Subcontract Documents by Submissions Specialist
• Submissions Specialist confirms all information is current and correct as relates to the issuance of a subcontract (i.e., the subcontractor is the same as proposed, the budget for subcontractor matches what was proposed and awarded). Confirms the subcontractor has not been debarred or suspended and then prepares the subcontract document using the FDP templates as appropriate.

• Subcontract is placed in Gray folder for mailing, one copy retained for OSPA file with a Subcontract Cover sheet. Two copies of each subcontract are sent to the subcontractor with a cover letter requesting both copies be signed and returned for full execution. When the subcontracts are fully executed, a signed copy is returned to the subcontractor, copies routed to the PI and departmental administrative staff. A Purchase Order (PO) is created to encumber the funds for this agreement. The PO is for internal purposes only and is not mailed. Amendments are issued for additional funding and/or time as reflected in continuation of awards and requested by PI.

Unitized Contracts for External Sponsors

• A unitized contract is one where the costs are calculated on a “per unit” basis rather than using the usual line items such as salary, supplies, etc. This type of contract can be used when providing services, a group of services, or products to external users for a fee. The services or products range from highly specialized to common functions. Each category of service or product may be referred to as an activity. Rates for each activity are based on actual incurred costs and sponsors are charged for their actual usage. This type of contract is particularly useful for Service Centers. However, the rates charged for a particular service or product must be the same rates charged to all consumers.

• A standard “University of Missouri Sponsored Activity Contract” has been developed and approved by our Legal Counsel. This standard contract is to be used for all unitized contracts, if possible. A template of this contract can be found at G:\CONTRACTS & AGREEMENTS\unitized contract template.doc.

1. Processing of a Unitized Contract

• Department contacts the OSPA Sr. Accountant, to determine the following:
  o If the use of the contract is appropriate for the situation
  o If the rates are already on file & verify the appropriateness to the contract service/products.
  o If the rates are not on file, the department works with the OSPA Sr. Accountant to develop unitized rates based on a sound formula that includes, but is not limited to, salaries/fringe for those involved, as well as supplies. These rates need to be sufficient to cover but not exceed costs, as profit is not acceptable. These rates are to be charged to all sponsors requesting the same service.

• Unitized contract template is used.
  o No legal review or negotiations are necessary, unless the sponsor requests any revisions. Then it is no longer a Unitized Contract and must be processed as a Sponsored Project and processed accordingly.
  o Originates with the Department/PI, therefore it will not need to be sent for PI approval.
  o PI signs on the second page of the unitized contract = PI approval.
  o Department enters into PS the information as with any other sponsored activity/contract with the following exceptions:
    ▪ F&A Setup – correct activity entered and F&A rate for that type of activity.
    ▪ Budget Detail – one line with a budget category of “DEPTOP” (Departmental Operating Expenses/F&A is automatically figured in).
In the Maintain Proposal-General Info-Additional Information – Comment section – a note is entered stating this is a Unitized Contract.

- Department delivers Unitized Contract (signed by PI) along with signed PSRS to OSPA SGCA.

**OSPA SGCA processing of Unitized Contract:**

- SGCA sends two copies of the contract and any proposal material, along with a **cover letter**, specifically addressing that a copy fully executed copy will be returned to the sponsor, upon receipt of the two (2) copies in OSPA. The Unitized contract must be signed by the sponsor before it is signed by the OSPA authorized official.
- Upon return of the Unitized Contract to OSPA, SGCA determines whether the department already had a chart field set up for the unitized project (has the initial contract been awarded in PS yet?).

**Special Circumstance:**

- Unitized contract has federal flow through funds
  - Set up as a standalone project in PS
  - Pre-established unitized rate & contract used.
  - Sponsor name in PS entered as actual "sponsor" (not "unitized sponsor")
  - Treat federal funded unitized contact the same way as all other flow through awards, when routing to the OSPA Sr. Accountant.

**Please NOTE:** The rate is fully costed and may be used for standalone projects.
Processing Grand Rounds

1. Grand Rounds consist of educational activities that serve to maintain, develop, or increase the knowledge, skills, and professional performance and relationships that a physician uses to provide services for patients, the public, or the profession. Examples of Grand Rounds include case conferences, tumor boards, and teaching conferences. Grand Rounds are generally supported by external funding sources.

- Grand Rounds are processed as regular proposals with a few exceptions.
- A Proposal Signature Routing Sheet is required.
- A Speaker Lecturer agreement is required with the PI’s signature.
- The applicable F&A rate is the current Other Sponsored Activity on-campus rate. Grand Rounds should be set up as a Unitized Project; however, a RUC can be submitted, if the department chooses to do so.
- Award is generated in PeopleSoft.
- The Speaker Lecturer Agreement is routed to the Tiger Team in Jesse Hall. The Tiger Team will process Speaker Agreement for signature. The Tiger Team will then deliver Speaker Agreement to Accounting Services, where an invoice is processed for payment. File is then turned over to Post-Award.
Compliance Notification Processes

1. Animal Care and Quality Assurance Notification Process

- **Proposal**
  - Projects involving use of animals – it is the PI’s responsibility to enter the information on the PS Certification page.

- **Award** (MU execution, Full execution-both parties signed OR unilateral)
  - Senior Grants and Contracts Administrator (SGCA) receives award for MU execution. Following established procedures, SGCA checks award against the proposal information, sending to PI for approval and beginning legal review if needed. When the use of animals is indicated (either in PSGM or the Cover/Face page, etc.), and the award is a either new award, a supplement with a supplemental scope of work that includes animal research, or a renewal of a previous project that is competing for funding, SGCA must also notify the Campus Animal Care and Quality Assurance Office. In instances where the PI has included a copy of the Assurance certificate with the proposal, ACQA is still to be notified at award. This notification is sent via e-mail to: acuc@missouri.edu (ACUC in Outlook) using the template previously agreed on. The ACQA office will contact the PI requesting the information that they need. The award **may not** be signed by MU to either MU-execute or fully-execute the award and **no** award account may be established until the SGCA receives ACQA approval of the protocol. ACQA does not need to be notified for awards that are (non-competing) continuations of multi-year projects involving the use of animals.

  - **Flow:**
    - SGCA receives award for MU execution, Full execution or a unilateral award and checks award against proposal.
    - SGCA forwards a copy of the grant award notice to PI via e-mail attaching a scanned copy of the award notice if applicable, and letting him/her know that ACQA approval will be needed in the case of a competing award. The SGCA should email ACQA office at acuc@missouri.edu using the template previously agreed on. SGCA receives approval from PI and ACQA. Award is generated, provided all other legal or compliance concerns have been satisfied.
    - SGCA confirms/enters ACQA approval date & protocol # on the PS Certification page.

- **Pre-award Process**
  - SGCA receives request for a pre-award spending account. After verifying that all internal paperwork is complete the SGCA checks for the use of animals as indicated by either PSGM entry or sponsor Face/Cover page. If animals are indicated the SGCA must notify the ACQA in the case of a competing award. In instances where the PI has included a copy of the Assurance certificate with the proposal, ACQA is still to be notified prior to setting up a pre-award account. This notification is sent via e-mail to: acuc@missouri.edu. The ACQA office will contact the PI requesting the information they need. A pre-award account for a competing award **may not** be established until the SGCA receives ACQA approval of the protocol. ACQA does not need to be notified for pre-award accounts for non-competing awards involving the use of animals.
Flow:
- SGCA receives signed request for pre-award account
- SGCA verifies that all internal paperwork is on file i.e. signed PSRS and proposal
- SGCA sends e-mail to acuc@missouri.edu SGCA receives approval from ACQA via e-mail
  and can establish the pre-award account provided all other legal and compliance concerns have been satisfied.

2. Safety Issues Notification Process
   - **Proposal**
     - Projects containing carcinogens, hazardous materials, radioactive materials, rDNA or toxins – it is the PI’s responsibility to enter the information on the PS Certification page.
   - **Award**
     - Information from PS Certification page at proposal stage will default into the Award side of PS.
     - SGCA reviews Certification page for compliance.
       - If above stated items are on the Certification page, SGCA sends the Grant Award Summary to Peter Ashbrook with a brief note i.e. “I am forwarding this Grant Award Summary, as there are hazardous materials associated with this project.”
       - The SGCA is not responsible for anything further.

3. Institutional Review Board (IRB) Process
   - **Proposal**
     - Human Subject Involvement – PI responsibility to enter into PS Cert page
       - Entered on Certification page in PSGM
       - Pending or Protocol #
       - Information located on second page of PSRS
         - IRB approval – not needed at Proposal stage
         - If IRB Assurance Number is required on grant application –
           - PI lists Federal Wide Assurance # - 00002876 – Expires 09/20/2008
   - **Award** (MU execution, Full execution-both parties signed, OR unilateral)
     - Award with Human Subject involvement
       - Must have IRB approval PRIOR to a Pre-Award account setup, MU execution of an agreement or full execution of an agreement.
       - SGCA checks the IRB database for the status of the application
         https://irb.missouri.edu/eirb/gen4/User/Login/
     - **IRB approval in place** as of the date of the effective date of the project
       - Proceed with MU execution, full execution or award setup.
       - Note IRB project # and approval date – approvals are effective for one year.
       - SGCA confirms/enters IRB approval date & protocol/assurance # on the PS Certification page.
     - **IRB approval NOT in place**
       - SGCA notes in PI approval e-mail that the award will not be setup until IRB approval is received.
       - Options for PI
         - Wait until IRB approval is received to set up award.
         - SGCA potentially could set up an “administrative account”.
           - PI must provide:
             - An e-mail or memo requesting an administrative account. Request must include: start/end dates for administrative period with the explicit statement that “no human subjects activities will take place on the project” during this period.
- E-mail concurrence or memo signatures from the chair & dean.
  - SGCA sets up administrative account and e-mails GAS out with the award document as usual. SGCA leaves the status in the certification panel as pending and sends file to JH. The Senior Accountant assigned to the project will follow up with the PI until IRB approval is obtained. Once PI receives IRB approval, the PI is responsible for forwarding the IRB approval to their Senior Accountant.

- **Continuations/Renewals**
  - SGCA checks status of the project in the IRB database
    - Funds added if project IRB approval is up to date as of the effective date of the renewal.
    - Funds not added if project IRB approval is not up to date.
  - SGCA contacts PI, if IRB approval is not up to date requesting documentation of IRB approval once received.

**IRB – Campus or Health Sciences?**

- If a PI is employed at the School of Medicine, University Hospitals & Clinics, Ellis Fischel Cancer Center, Rusk Rehabilitation Center, Truman Memorial Veterans Hospital, Sinclair School of Nursing, College of Vet Med, MO Inst of Mental Health, MO Rehabilitation Center, or Columbia Regional Hospital, the PI should contact the Health Sciences IRB. Additionally, if the subject population includes patients at any of the aforementioned medical entities, if the research involves physical stress to the subjects, or if the research involves any collection of human blood or tissue, then the PI should contact the Health Sciences IRB. All other human subject research applications must be submitted to the Campus IRB.
Use of Folders for Pre-award Processing:

Red folder – Use when processing materials with a PSRS.
- Everything to be sent to the agency is placed on the right hand side.
- PSRS and file materials are placed on the left hand side.
- Routing sheet on the front of folder.
- Highlight issues and mailing instructions.
- “Red Dot” in upper right hand corner for items that need to be sent overnight.

Blue folder – Use for all other processing (awards, other action, etc.)
- Everything to be sent to the agency is placed on the right hand side.
- PSRS and file materials on the left hand side.
- Colored clips on right side of pages requiring signatures.
- Colored clip on top of pages that need replacing.
- Routing sheet on the front of folder.
- “Red Dot” in upper right hand corner for deadlines that MUST go out that day.

Yellow folder – Use when processing an RUC.
- RUC placed inside Yellow Folder w/ a note attached to the OSPA Director on the outside of the folder with the SGCA name on it so the Director knows who to return it to upon completion of the review.

NOTE: When a PSRS, proposal, and pre-award request/award come in together, clip each section and label accordingly so the OSS know how to create the files (i.e. “Proposal File”; “Award File”).

Gray folder – Use when processing subcontract information.
- Place all material on left side of folder.
  Include:
  - Subcontract Information Form
  - Copy of Award (be sure to include terms & conditions)
  - Commitment/Intent Letter
  - Budget/Justification
  - Scope of Work
  - Subcontractor F&A Rate Agreement
  - Subrecipient/Vendor Determination Checklist

Purple folder – Use when a check is received.
- Place check in folder.
  Indicate course of action (hold, deposit in suspense, deposit in account).
  Provide proposal/project ID, as appropriate.
  Change routing card on front to “Deliver to JH”
Processing Split Funded Awards

(Setting up an award when a CFDA number (federal funding) applies to one (1) portion of the award and NO CFDA number (Non-federal funding, ie. State or other funding) applies to another portion of the award – a SEPARATE Award # must be set up for each piece of funding. It is necessary to set up two (2) awards to track the federally funded portion of a project. An attribute will be needed of RECON 13 on both awards.

1. Examples of how the split funding can be received:

- AWARDED with Non-Federal & Federal funding
- SUPPLEMENT for existing award arrives with Federal funding as part of award, when original award was Non-federal OR vice versa.
- CONTINUATION award arrives with Federal funding as part of award, when original award was Non-federal OR vice versa

2. PROPOSAL

- Department enters two (2) Proposals into PS and creates two (2) PSRS’s (if aware of split funding at proposal stage)
  - Two (2) sets of signatures, not required.
  - SGCA enters cross reference notes for both proposals into PS and processes as usual.

3. AWARD

- Awarded with Non-Federal & Federal Funding
  - SGCA generates Two (2) Awards in PS (from the two (2) proposals entered by dept at proposal stage)
    - Award one (1) with Federal funding
      - CFDA # entered into PS
        - SGCA enters note in PS, indicating where CFDA # is located and cross references the portion of the award that contains no federal funding.
    - Award one (1) with Non-federal funding
      - CFDA # field – XX.XXX
        - SGCA enters note in PS, indicating confirmation of no federal funding on this portion and cross referencing the portion of the award that contains federal funding.

- Award comes in with split funding at “award” (not known at proposal stage) – SGCA generates two (2) awards.
  - SGCA requests internal split budget from department.
    - Dept enters second proposal into PS to award split funding from.
      - Award one (1) with Federal funding
        - CFDA # entered into PS
        - SGCA enters note in PS, indicating where CFDA # is located and cross referencing the portion of the award that contains no federal funding.
      - Award one (1) with Non-Federal funding
        - CFDA # field – XX.XXX
• SGCA enters note in PS, indicating confirmation of no federal funding on this portion and cross referencing the portion of the award that contains federal funding.

• SUPPLEMENT for existing award arrives with split funding source
  o SGCA contacts department to obtain a split budget and requests a new PS entry for one (1) portion of the award (process as stated above)

• CONTINUATION award arrives with Federal funding as part of award, when original award was Non-federal OR vice versa.
  o SGCA contacts department to obtain a split budget and requests a new PS entry for one (1) portion of the award (process as stated above)

**Information System Security Plans and Self-Assessments**

To ensure consistency and compliance with federal requirements, it is the policy of the University of Missouri – Columbia Office of Research to utilize the Division of Information Technology as the point of contact and authority for all research efforts requiring compliance with federal information security provisions. Such provisions include, but are not limited to, federal acquisition regulations or other contract terms requiring an information security self assessment and/or information security plan. Should such a provision or clause be included in a research proposal or award, the Division of Information Technology’s Information Security and Account Management (ISAM) team shall be contacted to address compliance with the clause and either apply or develop any information security plans necessary to meet such commitments.
Policies and Procedures
Principles and Policies Governing Sponsored Activities
In the absence of a formal agreement the following standard terms and conditions will apply to the administration of externally funded sponsored activities undertaken by the University of Missouri-Columbia.

**PUBLICATION POLICY**
The University retains the right to publish and disseminate all work done as sponsored activities.

**PATENTS AND OTHER INTELLECTUAL PROPERTY**
Title to inventions and discoveries, including copyrightable software, made or conceived by the University using a sponsored activity is retained by the University. The University will grant to the sponsor a time-limited option to negotiate a royalty-bearing license, whose terms will include the requirement that the sponsor shall bear the expense of securing and maintaining patent protection for any licensed invention or discovery, and retain for the University the right to use the intellectual property for its own internal educational and research purposes. Two limitations to this policy commonly are: 1) federally funded research which would be governed by appropriate federal regulations regarding data rights and patent rights and 2) research sponsored by nonprofit organizations, other universities, or governmental agencies in which case the University normally grants the sponsor a nonexclusive royalty free license to use such inventions and discoveries for the sponsor’s internal noncommercial purposes only.

**BEST EFFORTS STANDARD OF PERFORMANCE**
Research and creative endeavors are unpredictable and specific results cannot be guaranteed at the beginning of a project. Therefore, the University performs its sponsored activities on a “best efforts basis” with no stated warranties or guarantees.

**USE OF THE UNIVERSITY’S NAME**
It is University policy that under no circumstances shall a sponsor be permitted to use its name in any publication or other published announcement to state or imply that the University approves or endorses any product or service of the sponsor. The University also requires that its name not be used in connection with any advertisement, press release, or other form of business promotion or publicity, or refer to a research agreement, without the University’s prior written approval.

**INSURANCE AND INDEMNIFICATION**
The sponsor will be expected to indemnify the University from any liability arising out of the activities carried out pursuant to the obligations of the sponsored activity and for the sponsor’s use of the results obtained from the activities performed by the University under the sponsorship.

**TERMINATION**
In the event that sponsorship is terminated for any reason, the sponsor will be expected to reimburse the University for all costs incurred to the date of termination and for all non-cancelable obligations.

**GOVERNING LAW**
Sponsored activities at the University are conducted under the laws of the State of Missouri.

**FINANCIAL**
Financial records and transactions for this sponsored activity will be maintained and conducted in accordance with institutional policies and applicable government regulations that pertain to fixed price awards from a federal agency.
BUSINESS POLICIES

BPM-210 Grants & Related Contracts:

BPM-203 Facilities and Administration Cost Recovery (Grants & Contracts):

BPM-103 Patents:

BPM-102 Conflict of Interest:
PART 1 - PRINCIPLES, POLICIES, AND APPLICABILITY

I. Ethical Principles

A. This institution is guided by the ethical principles regarding all research involving humans as subjects, as set forth in the report of the National Commission for the Protection of Human Subjects of Biomedical and Behavioral Research (entitled: Ethical Principles and Guidelines for the Protection of Human Subjects of Research [the "Belmont Report"]), regardless of whether the research is subject to Federal regulation or with whom conducted or source of support (i.e., sponsorship).

B. All institutional and non-institutional performance sites for this institution, domestic or foreign, will be obligated by this institution to conform to ethical principles which are at least equivalent to those of this institution, as cited in the previous paragraph or as may be determined by the DHHS Secretary.

II. Institutional Policy

A. All requirements of Title 45, Part 46, of the Code of Federal Regulations (45 CFR 46) will be met for all federally-sponsored research, and all other human subject research regardless of sponsorship, except as otherwise noted in this Assurance. Federal (all departments and agencies bound by the Federal Policy) funds for which this Assurance applies may not be expended for research involving human subjects unless the requirements of this Assurance have been satisfied.

B. Except for those categories specifically exempted or waived under Section 101(b)(1-6) or 101(i), all research covered by this Assurance will be reviewed and approved by an Institutional Review Board (IRB) which has been established under a Multiple Project Assurance (MPA) with OPRR or as may be otherwise agreed to by OPRR (see Part 1, II, G). The involvement of human subjects in research covered by this Assurance will not be permitted until an appropriate IRB has reviewed and approved the research protocol and informed consent has been obtained from the subject or the subject's legal representative (see Sections 111, 116, and 117), unless properly waived by the IRB under Section 116(c),(d) or by any applicable waiver under Section 101(i).

C. This institution assures that before human subjects are involved in nonexempt research covered by this Assurance, the IRB(s) will give proper consideration to:

1. the risks to the subjects,
2. the anticipated benefits to the subjects and others,
3. the importance of the knowledge that may reasonably be expected to result, and
4. the informed consent process to be employed.

D. Certification of IRB review and approval for all Federally-sponsored research involving human subjects will be submitted to the Office of Research (OR) for forwarding to the appropriate Federal department or agency. Compliance will occur within the time and in the manner prescribed for forwarding certifications of IRB review to DHHS or other Federal departments or agencies for which this Assurance applies.

As provided for under section 118, applications and proposals lacking definite plans for involvement of human subjects
will not require IRB review and approval prior to award. However, except for research exempted or waived under Section 101 (b) or (i), no human subjects may be involved in any project supported by such awards until IRB review and approval has been certified to the appropriate Federal department or agency.

As required under Section 119, the IRB will review proposed involvement of human subjects in Federal research activities undertaken without prior intent for such involvement, but will not permit such involvement until certification of the IRB's review and approval is received by the appropriate Federal department or agency.

E. Institutions that are not direct signatories to this Assurance are not authorized to cite this Assurance. This institution will ensure that such other institutions and investigators not bound by the provisions of this Assurance will satisfactorily assure compliance with 45 CFR 46, as required (see Part 2, I, D and II, K), as a prior condition for involvement in DHHS-sponsored human subject research which is under the auspices of this institution (see Part 1, III, A). Institutions that have entered into an Inter-Institutional Amendment (IIA) to this Assurance must submit a Single Project Assurance (SPA) to the Office for Protection from Research Risks (OPRR) for DHHS-sponsored research, when that research is not conducted under the auspices of a signatory institution to this Assurance.

F. This institution will ensure that any collaborating entities (i.e., those entities engaged in human subject research by virtue of subject accrual, transfer of identifiable information, and/or in exchange of something of value, such as material support [e.g., money, drugs, or identifiable specimens], coauthorship, intellectual property, or credits) materially engaged in the conduct of non-federal sponsored research involving human subjects will possess mechanisms to protect human research subjects that are at least equivalent to those procedures provided for in the ethical principles to which this institution is committed (see Part 1, I).

G. This institution will comply with the requirements set forth in Section 114 of the regulations regarding cooperative research projects. When research covered by this Assurance is conducted at or in cooperation with another entity, all provisions of this Assurance remain in effect for that research. This institution may accept, for the purpose of meeting the IRB review requirements, the review of an IRB established under another DHHS MPA. Such acceptance must be (a) in writing, (b) approved and signed by an official of this institution's Office of Research (OR), and (c) approved and signed by correlative officials of each of the other cooperating institutions (i.e., a Cooperative Amendment to this MPA). The original of the signed understanding will serve as an addendum to this Assurance and will be forwarded to the OPRR of DHHS by the OR for OPRR approval.

H. This institution will exercise appropriate administrative overview to ensure that the institution's policies and procedures designed for protecting the rights and welfare of human subjects are being effectively applied in compliance with this Assurance.

I. Description of this institution’s policy for the protection of human subjects is contained in its internal written procedures which are available to OPRR and other Federal departments or agencies, upon request. Appendix D to this Assurance abstracts pertinent organizational, personnel, and reporting procedures sufficient to describe the substance and relative prominence conferred upon the protection of subjects.

III. Applicability

A. Except for research in which the only involvement of humans is in one or more of the categories exempted or waived under Section 101(b) (1-6) or 101(i), this Assurance applies to all research involving human subjects, and all other activities which even in part involve such research, regardless of sponsorship, if one or more of the following apply:

1. the research is sponsored by this institution, or
2. the research is conducted by or under the direction of any employee or agent of this institution in connection with his or her institutional responsibilities, or
3. the research is conducted by or under the direction of any employee or agent of this institution using any property or facility of this institution, or
4. the research involves the use of this institution's non-public information to identify or contact human research subjects or prospective subjects.
B. All human subject research which is exempt under Section 101(b)(1-6) or 101(i) will be conducted in accordance with:
   (1) the Belmont Report, (2) this institution's administrative procedures to ensure valid claims of exemption, and (3) orderly accounting for such activities.
C. Components of this institution are bound by the provisions of this Assurance. Those components which can be expected to participate in human subject research sponsored by DHHS or other Federal departments or agencies for which this Assurance applies are identified in Appendix A. Appendix A will be revised as changes occur and revisions forwarded to OPRR.
D. This Assurance must be accepted by other Federal departments or agencies that are bound by the Federal Policy for the Protection of Human Subjects when appropriate for the research in question and therefore applies to all human subject research so sponsored.1 Research that is neither conducted nor supported by a Federal department or agency but is subject to regulation as defined in Section 102(e) must be reviewed and approved, in compliance with Sections 101, 102, and 107 through 117.

**PART 2 - RESPONSIBILITIES**

I. **Institution**

   A. This institution acknowledges that it bears full responsibility for the performance of all research involving human subjects, covered by this Assurance, including complying with Federal, state, or local laws as they may relate to such research.

   B. This institution will require appropriate additional safeguards in research that involves: (1) fetuses, pregnant women, or human ova in vitro fertilization (see 45 CFR 46 Subpart B), (2) prisoners (see 45 CFR 46 Subpart C), (3) children (see 45 CFR 46 Subpart D), (4) the cognitively impaired, or (5) other potentially vulnerable groups.

   C. This institution, including all its named components (see Appendix A), acknowledges and accepts its responsibilities for protecting the rights and welfare of human subjects of research covered by this Assurance.

   D. This institution is responsible for acquiring appropriate Assurances or Amendments, when requested, and certifications of IRB review and approval for federally sponsored research from all its standing affiliates (see Appendix B) and Assurances or Agreements for all others, domestic or foreign, which may otherwise become affiliated on a limited basis in such research.

   E. This institution is responsible for ensuring that no performance site cooperating in the conduct of federally sponsored research for which this Assurance applies does so without Federal department or agency approval of an appropriate assurance of compliance, in whatever appropriate form, and satisfaction of IRB certification requirements.

   F. In accordance with the compositional requirements of Section 107, this institution has established the IRB(s) listed in the attached roster(s) (see Appendix C). Certain research supported by the U.S. Department of Education will be reviewed in accordance with the requirements of Title 34 CFR Parts 350 and 356 which require that the IRB(s) include at least one person who is primarily concerned with the welfare of handicapped children or mentally disabled persons.

   G. This institution will provide both meeting space and sufficient staff to support the IRB's review and record-keeping duties.

   H. This institution recognizes that involvement in research activities of any OPRR-recognized Cooperative Protocol Research Programs (CPRPs) will involve additional reporting and record-keeping requirements related to human subject protections.

   I. This institution is responsible for ensuring that it and all its affiliates comply fully with all applicable Federal policies and guidelines, including those concerning notification of seropositivity, counseling, and safeguarding confidentiality where
research activities directly or indirectly involve the study of human immunodeficiency virus (HIV).

II. Office of Research (OR)

A. **The OR will receive from investigators, through their supervisors, all research protocols which involve human subjects, keep investigators informed of decisions and administrative processing, and return all disapproved protocols to them.**

B. The OR is responsible for reviewing the preliminary determinations of exemption by investigators and supervisors and for making the final determination based on Section 101 of the regulations. Notice of concurrence for all exempt research will be promptly conveyed in writing to the investigator. All nonexempt research will be forwarded to the appropriate IRB.

C. The OR will make the preliminary determination of eligibility for expedited review procedures (see Section 110). Expedited review of research activities will not be permitted where full board review is required.

D. **The OR will review all research (whether exempt or not) and decide whether the institution will permit the research. If approved by the IRB, but not permitted by the OR, the OR will promptly convey notice to the investigator and the IRB Chair. Neither the OR nor any other office of the institution may approve a research activity that has been disapproved by the appropriate IRB.**

E. The OR will forward certification of IRB approval of proposed research to the appropriate Federal department or agency only after all IRB-required modifications have been incorporated to the satisfaction of the IRB.

F. The OR will designate procedures for the retention of signed consent documents for at least three years past completion of the research activity.

G. The OR will maintain and arrange access for inspection of IRB records as provided for in Section 115.

H. The OR is responsible for ensuring constructive communication among the research administrators, department heads, research investigators, clinical care staff, human subjects, and institutional officials as a means of maintaining a high level of awareness regarding the safeguarding of the rights and welfare of the subjects.

I. The OR will arrange for and document in its records that each individual who conducts or reviews human subject research has first been provided with a copy of this Assurance, as well as with ready access to copies of 45 CFR 46, regulations of other Federal departments or agencies as may apply, the Belmont Report, and all other pertinent Federal policies and guidelines related to the involvement of human subjects in research.

J. The OR will report promptly to the IRB(s), appropriate institutional officials, the Office for Protection from Research Risks (OPRR), and any other sponsoring Federal department or agency head:

   1. any unanticipated injuries or problems involving risks to subjects or others,
   2. any serious or continuing noncompliance with the regulations or requirements of the IRB, and
   3. any suspension or termination of IRB approval for research.

K. The OR will ensure (a) solicitation (or confirmation where applicable assurances to comply already exist), receipt, and management of all assurances of compliance (whatever the appropriate format), and (b) certifications of IRB review (where appropriate) for all performance sites to this institution (including those listed in Appendix B) and subsequent submission of new documents to the proper Federal department or agency authorities (e.g., OPRR for DHHS) as a condition for involvement of each site in human subject research activities sponsored by DHHS or any other Federal department or agency for which this Assurance applies.

L. The OR will ensure that all affiliated performance sites that are not otherwise required to submit assurances of compliance with Federal regulations for the protection of research subjects at least document mechanisms to implement
M. When an IRB of this institution accepts responsibility for review of research which is subject to this Assurance and conducted by any independent investigator who is not otherwise subject to the provisions of this Assurance, the OR will either: (a) obtain and retain an Noninstitutional Investigator Agreement (NIA) for CPRP activities (with copy to the investigator and the authorizing CPRP) or (b) obtain an Agreement for an Independent Investigator (AII) for review and approval by the appropriate Federal department or agency for non-CPRP activities to document the investigator's commitment to abide: (1) by the same requirements for the protection of human research subjects as does this institution(s) and (2) the determinations of the IRB(s).

N. The OR assumes responsibility for ensuring conformance with special reporting requirements for any OPRR-recognized CPRPs in which the signatory institution(s) participate(s).

O. The OR will be responsible for procedural and record-keeping audits not less than once every year for the purpose of detecting, correcting, and reporting (as required) administrative and/or material breaches in uniformly protecting the rights and welfare of human subjects as required at least by the regulations and as may otherwise be additionally required by this institution(s).

P. The OR will ensure compliance with the requirements set forth in this Assurance and Section 114 regarding cooperative research projects. In particular, where the IRB of another institution with a DHHS MPA is relied upon, the OR will ensure that documentation of this reliance will be (a) in writing, (b) approved and signed by the OR, (c) approved and signed by the correlative officials of each of the other cooperating institutions, and (d) retained by the OR for at least three years past completion of the research project, if limited in scope to a specific research project or retained as a permanent addendum to the MPA if not restricted to a specific project. For all Cooperative Amendments (CAs), the OR will forward the original of the required signed understanding to OPRR for approval and inclusion in this Assurance as an addendum.

III. Institutional Review Board (IRB)

A. The IRB(s) will review, and have the authority to approve, require modification in, or disapprove all research activities, including proposed changes in previously approved human subject research. For approved research, the IRB will determine which activities require continuing review more frequently than every twelve months or need verification that no changes have occurred if there was a previous IRB review and approval.

B. IRB decisions and requirements for modifications will be promptly conveyed to investigators and the OR, in writing. Written notification of decisions to disapprove will be accompanied by reasons for the decision with provision of an opportunity for reply by the investigator, in person or in writing.

C. Initial and continuing convened IRB reviews and approvals will occur in compliance with 45 CFR 46 and provisions of this Assurance for each project unless properly found to be exempt (Section 101[b] or [i]) by the Office of Research (OR). Continuing reviews will be preceded by IRB receipt of appropriate progress reports from the investigator, including available study-wide findings.

D. The IRB(s) will observe the quorum requirements of Section 108(b). This institution's IRB(s) has effective knowledge of subject populations, institutional constraints, differing legal requirements, and other factors which can foreseeably contribute to a determination of risks and benefits to subjects and subjects' informed consent and can properly judge the adequacy of information to be presented to subjects in accordance with requirements of Sections 103(d), 107(a), 111, and 116.

E. The IRB(s) will determine, in accordance with the criteria found at 45 CFR 46.111 and Federal policies and guidelines for involvement of human subjects in HIV research, that protections for human research subjects are adequate.

F. The IRB(s) will ensure that legally effective informed consent will be obtained and documented in a manner that meets the requirements of Sections 116 and 117. The IRB will have the authority to observe or have a third party observe the
G. Where appropriate, the IRB(s) will determine that adequate additional protections are ensured for fetuses, pregnant women, prisoners, and children, as required by Subparts B, C, and D of 45 CFR 46. The IRB(s) will notify OPRR promptly when IRB membership(s) is modified to satisfy requirements of 45 CFR 46.304 and when the IRB fulfills its duties under 45 CFR 46.305(c).

H. Scheduled meetings of the IRB(s) for review of each research activity will occur not less than every 12 months and may be more frequent, if required by the IRB on the basis of degree of risk to subjects. The IRB may be called into an interim review session by the Chairperson at the request of any IRB member or institutional official to consider any matter concerned with the rights and welfare of any subject.

I. The IRB(s) will prepare and maintain adequate documentation of its activities in accordance with Section 46.115 and in conformance with Office of Research requirements.

J. The IRB(s) will forward to the Office of Research any significant or material finding or action, at least to include the following:
   1. any unanticipated injuries or problems involving risks to subjects or others,
   2. any serious or continuing noncompliance with the regulations or requirements of the IRB, and
   3. any suspension or termination of IRB approval.

K. In accordance with Section 113, the IRB(s) will have the authority to suspend or terminate previously approved research that is not being conducted in accordance with the IRB's requirements or that has been associated with unexpected serious harm to subjects.

L. The IRB(s) for this institution will ensure effective input (consultants or voting or nonvoting members) for all initial and continuing reviews conducted on behalf of performance sites where there will be human research subjects. IRB minutes will document attendance of those other than regular voting members. The IRB list(s) in Appendix C includes those who are identified as knowledgeable about any affiliate institution having entered into an Inter-Institutional Amendment or other institutional performance site for which an Assurance is required when relying on one or more of the IRBs of this institution.

M. The IRB(s) will act with reasonable dispatch, upon request, to provide full board review of protocols of OPRR-recognized Cooperative Protocol Research Programs (CPRP). The IRB will not employ expedited review procedures for CPRP protocols when they are to be entered into for the purpose of research. Although emergency medical care based on such protocols is permitted without prior IRB approval, patients receiving emergency care under these conditions will not be counted as research subjects and resultant data will not be used for research purposes.

N. Certifications of IRB review and approval will be forwarded through the OR to the appropriate Federal department or agency for research sponsored by such departments or agencies.

IV. Research Investigator

A. Research investigators acknowledge and accept their responsibility for protecting the rights and welfare of human research subjects and for complying with all applicable provisions of this Assurance.

B. Research investigators who intend to involve human research subjects will not make the final determination of exemption from applicable Federal regulations or provisions of this Assurance.

C. Research investigators are responsible for providing a copy of the IRB-approved informed consent document to each subject at the time of consent and after signing by the subject, unless the IRB has specifically waived this requirement. All signed consent documents are to be retained in a manner approved by the Office of Research.

D. Research investigators will promptly report proposed changes in previously approved human subject research activities to the IRB. The proposed changes will not be initiated without IRB review and approval, except where necessary to eliminate apparent immediate hazards to the subjects.

E. Research investigators are responsible for reporting progress of approved research to the Office of
Research, as often as and in the manner prescribed by the approving IRB on the basis of risks to subjects, but not less than once per year.

F. Research investigators will promptly report to the IRB any injuries or other unanticipated problems involving risks to subjects or others.

G. No research investigator who is obligated by the provisions of this Assurance, any associated Inter-Institutional Amendment, or Noninstitutional Investigator Agreement will seek to obtain research credit for, or use data from, patient interventions that constitute the provision of emergency medical care without prior IRB approval. A physician may provide emergency medical care to a patient without prior IRB review and approval, to the extent permitted by law (see Section 116[f]). However, such activities will not be counted as research nor the data used in support of research.

H. Research investigators will advise the IRB, Office of Research, and the appropriate officials of other institutions of the intent to admit human subjects (e.g., into a hospital) who are involved in research protocols for which this Assurance or any related Inter-Institutional Amendment or Noninstitutional Investigator Agreement applies. When such admissions are a planned part of DHHS-supported research, those institutions must possess an applicable OPRR-approved Assurance prior to involvement of such persons as human subjects in those research protocols at those institutions.

V. Affiliated Institutions and Investigators (i.e., all performance sites, with or without IIAs)

A. Each performance site to this institution that is involved in federally sponsored research activities must provide to the Office of Research an appropriate written assurance of compliance with the Belmont Report and the Federal Policy, to include Subparts B, C, and D or 45 CFR 46 where appropriate (or equivalent protections if a foreign site), for review and approval, as specified by the sponsoring Federal department or agency (e.g., by OPRR for DHHS), prior to involvement of human subjects or expenditure of funds or other support to do so.

B. Each institutional performance site must respond to a request by the Office of Research of this institution for an Inter-Institutional Amendment, SPA, or CPA (as appropriate), whichever is most suited to the circumstances.

C. Each non-institutional performance site (e.g., a private practice physician not otherwise an employee of this institution or who otherwise would not ordinarily be bound by the provisions of this Assurance or any other applicable institutional Assurance) who is involved in human subject research of this institution must respond to a request by the Office of Research of this institution for either an Agreement for an Independent Investigator or a Noninstitutional Investigator Agreement, as appropriate, depending on the nature of the research activity.

D. Performance sites that are legally separable from this institution (whether an institutional or non-institutional performance site) are not authorized to cite this Assurance.

PART 3 - SIGNATURES

I. Institutional Endorsement(s)

The officials signing below assure that any research activity conducted, supported, or otherwise subject to DHHS or other Federal departments or agencies that are authorized to rely on this Assurance (Parts 1, 2, 3 and Appendices) or any other sources provided for in this Assurance, will be reviewed and approved by the appropriate IRB(s) in accordance with the requirements of all applicable Subparts of Part 46, Title 45 of the Code of Federal Regulations, with this Assurance, and the stipulations of the IRB(s).

A. Primary Signatory Institution (if any)

1. AUTHORIZED INSTITUTIONAL OFFICIAL

   Signature: 
   Date: 
   Name: Robert V. Duncan, Ph.D.
   Title: Vice Chancellor for Research
   Institution and
   Address: University of Missouri-Columbia
   205 Jesse Hall
   Columbia, MO 65211
   Phone: (573) 882-9500
Cost Share

Cost Sharing is defined as the process of incurring and documenting direct costs relating to a project that are not reimbursed by the sponsoring agency. Cost sharing is normally comprised of costs paid by the University, but may be costs reimbursed by another source (third party). Office of Management and Budget (OMB) Circular A-110 provides guidance on what costs can be treated as cost sharing.

Criteria from OMB Circular A-110:

All contributions, including cash and third party in-kind, shall be accepted as part of the recipient’s cost sharing or matching when such contributions meet all of the following criteria:

1. Are verifiable from the recipient’s records.
2. Are not included as contributions for any other federally-assisted project or program.
3. Are necessary and reasonable for proper and efficient accomplishment of project or program objectives.
4. Are allowable under the applicable cost principles.
5. Are not paid by the Federal Government under another award, except where authorized by Federal statute to be used for cost sharing or matching.
6. Are provided for in the approved budget when required by the Federal awarding agency.
7. Conform to other provisions of A-110 as applicable.

A-110 states that unrecovered Facilities and Administrative (F&A) costs may be included as part of cost sharing or matching only with the prior approval of the Federal awarding agency. Other costs of the grant that would be considered a part of F&A cannot be used as cost share, such as use of a University facility.

Types of Cost Sharing

Mandatory Cost Sharing is defined as cost sharing that meets a written requirement of the sponsor. Mandatory cost sharing is an eligibility requirement to apply for and be awarded funds. Mandatory cost sharing requirements will be stated in the Request for Proposal (RFP), Request for Application (RFA), or Request for Quotation (RFQ). The mandatory cost share or match may be stated as a percentage of total costs, a required dollar amount, or may be required due to limitations of costs that the sponsor will reimburse, such as sponsors that will not pay for researchers’ salaries. Mandatory cost sharing is committed cost sharing and must be documented through the University’s accounting system.
Voluntary Committed Cost Sharing occurs when a proposal's text, budget, budget justification, or scope of work states or implies that more work will be done than the sponsor is paying for. This type of cost share is not required by the sponsor.

Examples of Voluntary Committed Cost Share:

**Proposal Text:**

“If awarded, the University will purchase a XYZ model digital camera to enable digital images to be shared with colleagues in remote labs.”

**Budget:**

<table>
<thead>
<tr>
<th>Item</th>
<th>Amount</th>
</tr>
</thead>
<tbody>
<tr>
<td>Lab Tech Salary</td>
<td>$10,000</td>
</tr>
<tr>
<td>Lab Tech Fringe</td>
<td>$2,500</td>
</tr>
<tr>
<td>Supplies</td>
<td>$3,000</td>
</tr>
<tr>
<td><strong>Total Direct</strong></td>
<td>$15,500</td>
</tr>
<tr>
<td>F&amp;A @ 47%</td>
<td>$7,285</td>
</tr>
<tr>
<td><strong>Total Budget</strong></td>
<td>$22,785</td>
</tr>
</tbody>
</table>

**Budget Justification:**

“Salaries: Dr. Smith will supervise this project but will receive no salary support from the award.”

Voluntary cost share is to be minimized because it results in unnecessary work for investigators and their support staff, prevents the same resources from being used as required cost share, and may have a detrimental affect on University finances. Voluntary committed cost share is not recorded or tracked in the University's accounting system.

Voluntary Uncommitted Cost Sharing occurs when nothing in the award or proposal mentions cost sharing but the University is expending resources toward a project without being reimbursed by the sponsor. This includes faculty effort over and above that which is committed and budgeted for in an sponsored agreement. According to Memorandum 01-06 to A-21, these costs are considered “instruction/departmental research”, so they are considered by the government to be instructional rather than research in nature. Voluntary uncommitted cost sharing is not recorded or tracked in the University's accounting system.

Investigators who expend more effort on a grant than was committed in the proposal or agreement may not record that extra effort to a grant project or a cost share account.

Contributed Facilities & Administrative Costs are F&A costs that are applicable to the funded activity, but the University has agreed to accept less than the full federally negotiated rate for these F&A costs. The difference between the F&A cost recovery accepted by the University and the amount of F&A that would have been recovered at the full rate may be used as cost sharing with the sponsor's approval. When direct costs are cost shared, the University will automatically cost share the associated F&A at the full federally-negotiated-rate.

In-Kind Contributions are project costs represented by services, equipment, real property or the use thereof that is donated by partners other than the grant award sponsor. An in-kind contribution’s value is considered to be what the cost to the University would have been if the University had paid for the item or service. In-kind contributions includes cost share borne by the project’s subcontractor(s).
Salary Cap Cost Sharing is cost sharing required because the salary of personnel working on the grant exceeds a sponsor-imposed limit for individual salaries. This is classified as voluntary committed cost sharing and cannot be used to meet mandatory cost sharing requirements.

Cost Sharing on Grants

Request for Proposal/Application/Quotation

The Request for Proposal (RFP), Request for Application (RFA), or Request for Quotation (RFQ) will state whether there is a matching requirement for the proposal budget, any limitations on the recovery of F&A and whether unrecovered F&A is allowable as match. The RFP, RFA, or RFQ should also state if there are unallowable costs that cannot be cost shared. The PI must consider whether the match requirements outweigh the value of an awarded grant and if the resources are available to make the required match. Any resources committed as cost share must be approved as committed to the project by signature of the person responsible for those resources.

Example from USDA Higher Education Multicultural Scholars Program RFA:

“A grantee must provide matching funds from non-Federal sources equal to at least twenty-five percent of the USDA award. The non-Federal share may come from institutional, private, State, or other non-Federal sources...

...Grantee provided matching support may be supplied in several forms including, but not limited to, fee waivers for experiential learning activities (e.g., laboratory fee waivers), or cash stipends paid directly to SEL-supported Scholars. Institutions are free to propose and contribute above the minimum matching requirement.”

Proposal

The PI must consider the resources necessary to complete the project if awarded. If there is a matching (mandatory cost share) requirement, the PI must determine if the resources are available to make the match. If there is no matching requirement, the PI must still consider resources necessary to perform the work. This may include researcher time and expertise (effort can never exceed 100%), graduate fee waivers, lab facilities, and equipment. Any voluntary cost share mentioned anywhere in the proposal is committed and must be documented if the proposal is awarded.

Voluntary cost share is an investment of University resources that is not necessary for and can be detrimental to, a proposal’s success. Because a given resource can only be cost shared once, voluntarily committing cost share makes whatever is cost shared unavailable for cost share elsewhere. Voluntary committed cost share must be documented just as is mandatory cost share. This documentation process is itself a drain on (primarily departmental) University resources. Voluntary cost share may make a proposal less competitive by giving the appearance that the University might have adequate resources to fund the research or program without the sponsor’s assistance. The official position of all federal agencies is that voluntary cost share is never required and that amount of voluntary cost share is not a valid criterion for funding decisions. The Office of Management and Budget has affirmed this position.
**Committed Effort**

Cost share commitments may be made as dollar amounts or percent effort. Cost sharing a dollar amount is typically more advantageous because it fixes the amount to be cost shared. Cost sharing of percent effort presents a moving target as salaries change. Since effort is limited to 100%, use of a specific dollar amount rather than percent effort also provides investigators with some flexibility as they advance in their careers and their research programs, and salaries grow. The language of the proposal should state the cost share committed and the fringe benefit amounts should also be included.

If an investigator does not request any salary budget on the proposal, there is a minimum amount of voluntary cost sharing that is assumed to be committed for effort in directing the project. If this effort comprises less than 2.5% of an investigator’s time, it is considered to be untrackable and not entered into or captured in the financial system. If the 2.5% threshold is exceeded, then the effort is rounded to the nearest 5% and entered into the financial system so that it can be recorded.

If any investigator is mentioned in the proposal as providing effort and no salary is requested for this investigator, this effort is voluntary committed cost share. If the investigator’s effort is expected to be incidental (to consult or advise occasionally, i.e., below the 2.5% threshold described above), the person’s effort will be described “as needed” in the proposal and this person’s effort will not require documentation. If the investigator’s effort exceeds the 2.5% threshold, the cost share is committed and must be included in the PeopleSoft proposal budget and documented if awarded.

**Reducing Voluntary Committed Cost Share**

The University must minimize committed cost share. This is true especially if a sponsor does not require this commitment. Committed cost share is a real cost to the University. For this reason, all project costs not specifically disallowed by a sponsor are to be included in a proposal. This includes GRA fees, investigator salaries, and F&A.

Budget justification narratives are to be phrased in a manner that reduces the amount of the University’s dollar commitment. For example, in the case of investigator effort, being less specific in the budget justification may reduce the amount that is committed. Compare the following:

- Dr. Johnson will devote 15% of his effort, with no cost to the project, if awarded.
- Dr. Johnson will provide guidance and supervision to this project at no cost.

Language that specifically states what the cost shared effort will be results in a commitment to that level of effort. Stating that the investigator will provide guidance and supervision commits that investigator, but the amount of effort need not be as much as 15%. A less specific statement is also appropriate if the investigator is uncertain how much effort he will actually expend on the project.

The same is true for non-salary cost share. Compare the following statements:

- The University will provide an ultra-low freezer ($5,000) if funded.
- The University has an ultra-low freezer at its disposal to be used on this project.

Specifically identifying the cost of the freezer obligates the University to document $5,000 of cost associated with it as cost share. By stating that there is a freezer available for use, the University is not required to document it as the freezer’s cost as a match to the project.

**SGCA PROPOSAL MAILING GUIDELINES**

(If anything will be sent to the front office after the last satellite runs of the day, please notify the front desk as soon as possible so that they will be aware of a late submission)
Folder set-up, by Administrators, for action of front office staff:

**ROUTING SHEET** – this is to be paper clipped to the front of the folder when there is action being taken.

- Actions include:
  - Authorized signature needed (whether it is just the PSRS or PSRS and Proposal/Award)
  - Electronic Submission by Authorized person
  - Nothing to Mail, file creation, routing to satellite
  - Nothing to Mail, file creation, routing to Accountant (must include pink acct slip)
  - OVN, RGM, FAX or any other proposal submission

- Logging of actions taken will be done using the information provided on the routing sheets.
- Routing sheet should include:
  - OVERNIGHT Mailing - PHONE NUMBER required.
  - Number of originals and copies to be mailed
  - Transmission method – *very important*
  - Project number
  - Proposal number
  - Campus
  - PI name, phone, email address
  - Fax number if Transmission Method is FAX
  - Deadline date and type (proposal submissions mainly) please put this information in the correct space under proposal!! Proposals are NOT Award or Other Actions. PLEASE put the deadline date in the proper corresponding section of the routing sheet.
  - Include additional or special instructions in the area labeled SPECIAL HANDLING INSTRUCTIONS (SHI) on the Routing Sheet (RS).
  - **Reviewer and Approver names are a must**
  - Use correct stickers and write special handling notes in SHI area of RS.
    - Red dots – (one red dot) – mailing MUST go out the day it arrives in Jesse Hall
    - No dot – will be handled ASAP, but not priority.

**LEFT SIDE of Folder:**

- PSRS (Proposal Signature Routing Sheet)
- OSPA COPY of proposal – Paperclip together & label OSPA copy.
- EXCEPTION – LARGE PROPOSALS – Put OSPA Copy on the TOP of the copies to be mailed, make sure it is clearly labeled and NOT on top of original to be signed.
- Any pertinent information for OSPA, mailing guidelines, etc

**NOTE: NOTHING on the LEFT SIDE will be MAILED.**

**RIGHT SIDE of Folder:**

- Cover Letter (should there be one, front office will copy the cover letter & put on the left side – please do not make a copy of the cover letter)
- Original Proposal and Copies to be MAILED
- Separate/multiple mailings – Provide specific mailing information i.e. proposal mailing to two addresses in SHI area of RS

**NOTE: EVERYTHING on the RIGHT SIDE will be MAILED**

**PLASTIC CLIPS**

- Signature pages should have a plastic clip – clipped to the SIDE of each sheet that needs to be signed.
- If a page needs to be replaced in the copies, but does not need a signature, place the plastic clip at the TOP of the page.
- Signature pages on the left side WILL BE SIGNED – they do not have to be on the right side.
• Please attach the plastic clip on the RIGHT SIDE of the sheet of paper that needs a signature – toward the TOP of the page (so it is not hidden under the pocket)

**Addresses for mailings:**

• The mailing address will always be obtained from the Routing Sheet.
  ▪ The option to cross through the mailing address is being abused and this option will no longer be available: **DO NOT CROSS THROUGH ADDRESS AND INSTRUCT TO USE ADDRESS ON COVER LETTER.**

**FAX TRANSMITTAL SHEET**

Administrator should include a completed Fax Transmittal Sheet when a fax is to be sent & send with the information to be faxed. If no Fax Transmittal Sheet is sent, then the item will be faxed **without** a cover page.

**ADDITIONAL MAILINGS (include, but not limited to, MU executed, JIT info, fully executed, etc):**

• Send additional mailing information needing to be mailed in a **BLUE FOLDER**
• Information to be mailed should be placed on the **right side**
• If the information is to be routed back to the satellite **do not send** with green folder.
  ▪ KEEP the green file folder at your satellite.
  ▪ Copies will be made of SGCA cover letter and signature pages
    ▪ If documents need to be scanned, highlight as appropriate in SCAN section of RS
    ▪ If copies are needed of entire documents, please indicate via SHI
  ▪ Information will be routed back to the satellite after the mailing is complete.
SCANNING

- Use SCAN area of RS to indicate scanning as appropriate for signature page only, entire document or specific pages as needed.
  - **FOR SUBMISSION** indicates that scanning is needed for e-mail submission by Administrator
  - **FOR ARCHIVAL** indicates that scanning is requested for e-DOC storage only

Folder Color uses:

- Red: Proposal submissions (when PSRS is involved and green file needs to be created) This can include instances such as first submission when file is created and routed back to satellite, NIH progress report when new PSRS is created and the satellite would like a file created and sent to them while they wait for the next years award, and when the situation is award at proposal stage and the PSRS, GAS etc. are all being sent for AORs signature and then to be routed to accountant.

- Blue: These are used mainly for any additional mailings. After mailing FO log as appropriate then route the contents are returned to the satellite (unless instructed by use of SHI notes to forward to accountant) and no file is created.

- Grey: These are for subcontract information that goes directly to Submissions Specialist.

- Yellow: These are for RUCs that go to the Director, OSPA.

Stickers and their uses:

- Red Dot – overnight

**GENERAL REMINDERS**

- DO NOT use copies of old GIS routing sheets when sending mailings to JH. Create new routing sheets using PS or Adobe. These are alterable and should be filled in correctly with all information pertinent to the mailing and routing (i.e. signatures needed-not where to send file after mailing completed)

- EMO-Please indicate how physical mailing should be transmitted. Is it OVN, RGM, POP?

- The routing sheet is sectioned and labeled. Please use the correct sections (Proposal, Award, Other). The mailing information is not tied to one action: it can be changed to accurately reflect the action. If the award is to be mailed to a different address than the proposal, the address can be changed in Adobe. It does not have to be changed in PS before the routing sheet is generated. **DO NOT CROSS THROUGH AND DIRECT THE FO TO USE COVER LETTER.**

- Complete and highlight all appropriate information (do not just run a highlighter diagonally through information):
  - PROPOSAL NUMBER
  - PI NAME, E-MAIL, 2ND E-MAIL
  - NUMBER OF ORIGINALS AND COPIES NEEDED
  - HIGHLIGHT IF NOTHING TO MAIL, COPIES ARE TO BE STAPLED OR NOT STAPLED – NOTE THAT A FAX TRANSMISSION IS CONSIDERED A MAILING
  - MAILING ADDRESS, PHONE NUMBER
  - DEADLINE DATE AND TYPE
  - SPECIAL HANDLING INSTRUCTIONS (SHI) AS APPLICABLE
  - SCAN INFORMATION AS APPLICABLE
MISCELLANEOUS

- Any changes listed in the above processes should only take a few extra steps but can really help with the efficiency of the front office. Great amounts of time are spent trying to find information, such as: who the reviewer is; looking in the guidelines to find or double check specific information concerning mailing (many proposals come through going to same agency but are not being done the same, we check to see if stapling needs to be done on one because the last three requested stapling)

- Consistency is crucial! Though there are exceptions, it is really very important that the SGCAs are all filling out the Routing Sheet the same way. The FO does not have time to call and clarify information on Routing Sheet before we can mail. We will start sending things back to the satellites if they are not processed correctly. If we have something that is a deadline and there is not time to send it back, the SGCA will be notified and they will have the opportunity to come to JH to fix the issues.

- Award files: Whether they are sent to JH for submission and routing to accountant, routed to accountant or Award at Proposal time they need to be CLEARLY SEPARATED AND EACH CLIPPED SO THAT THERE ARE 2 SEPARATE COMPONENTS (SERVICE FILE AND PROPOSAL FILE)

- If mailings or folders come to JH without correct information (routing to accountant), they will be sent back to the satellite to be corrected. We will not look in all the notes to figure out what actions that was to be taken. This information belongs on the routing sheet or front of documents. If pink slip or SHI notes indicating award to accountant and the file needs to be routed to accountant, it WILL be sent back to satellite for correction. DO NOT SEND AWARD FILES TO JH WITHOUT SEPARATING THE AWARD INFORMATION FROM THE PROPOSAL INFORMATION. Files arriving in JH with incomplete or inaccurate information will be sent back for correction. When information is requested, pertaining to a certain file, sometimes this information cannot be located because it is in the wrong component of a file.

REQUESTS FOR ADDITIONS TO THE PEOPLE SOFT GRANTS MODULE

Requests for additions (Dept ID Security, Grants Dept ID, addition of Sponsor, addition of Key Words, and PI eligibility) to the PeopleSoft Grants Module (PSGM) should be sent to grantsdc@missouri.edu where they will be routed to the appropriate person.

Specific details that should accompany these requests are outlined below.

Addition of Sponsor:

Request must include the sponsor’s complete name, address, city, state, zip, phone, fax, contact name, email address, web address, sponsor description type (i.e. association, society, non-profit, corporation for profit, federal sponsor, federal funded research center, foundation sponsor, governmental other sponsor, Missouri local gov’t. sponsor, research board, State of Missouri sponsor, or Other University sponsors.

Dept ID Security:

The request must include the new user’s name and paw print. In order for the People Soft Security Administrator to grant access, the end user needing access needs to be in the People Soft HR Database. If the end user is a new hire, this may take a few days. Once placement in the HR database is confirmed, the responsible Grants and Contracts Administrator email the Security Administrator with the request for 1 of the 2 types of access class listed below:

a) GM_PI – this permission grants the end user create/edit/print access in Proposals and view-only access in Awards.
**Grants Dept ID:**

Department must provide the letter of the Business Unit and the first three digits of the department’s other Dept ID’s. The email needs to be sent to grantsdc@missouri.edu and include what PCS is needed (i.e. research (22), other sponsored activity (32), instruction (11), scholarship (81), or fellowship (82)).

**PI Eligibility:**

OSPA does not set policy for who can be PI eligible. The department initiating the request must provide authorization from the departmental chair and dean/director (those signing the PSRS) before a PI can be added. This authorizing request can be accomplished with an e-mail string. Once approvals are in place the following information should be provided:

- PI first and last name
- Empl ID number (this is especially important for more common names such as John Jones)

*If PI is not yet in the PeopleSoft HR Database he or she can still be added under special circumstances*
Sample Forms and Other
Commonly Used Federal Government Acronyms for Departments, Offices and Agencies

<table>
<thead>
<tr>
<th>Agency/Office</th>
<th>Acronym</th>
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<tbody>
<tr>
<td>Agency for International Development</td>
<td>AID</td>
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<tr>
<td>Arms Control and Disarmament Agency</td>
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<tr>
<td>Bureau of Alcohol, Tobacco and Firearms</td>
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<tr>
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<td>CDC</td>
</tr>
<tr>
<td>Central Intelligence Agency</td>
<td>CIA</td>
</tr>
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<td>USDA</td>
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<td>Department of Interior</td>
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<td>Department of Treasury</td>
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<tr>
<td>Department of Veterans Affairs</td>
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<td>Environmental Protection Agency</td>
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<tr>
<td>Small Business Administration</td>
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<td>Smithsonian Institution</td>
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<td>Social Security Administration</td>
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### Commonly Used Local Government Acronyms for Departments, Offices and Agencies

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<thead>
<tr>
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<td>MO Department of Conservation</td>
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<td>MO Department of Economic Development</td>
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<td>MO Department of Health and Senior Services</td>
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<td>MO Department of Social Services</td>
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<td>MO Department of Transportation</td>
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### Commonly Used Grant and Contract Acronyms

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<thead>
<tr>
<th>Accomplishment-Based Renewal</th>
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<td>Area Utility Officer</td>
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<td>Confidentiality Agreement</td>
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<td>Commercial and Government Entity Code</td>
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<td>Contract Opportunity Notice</td>
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<td>CO-PI</td>
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<tr>
<td>Customer Off the Shelf Software</td>
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<td>Cooperative Research and Development Agreement</td>
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<td>Cost share</td>
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<td>Electronic Funds Transfer</td>
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<td>Environmental Health &amp; Safety</td>
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<td>Employer Identification Number</td>
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<td>Executive Order</td>
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<td>Facilities &amp; Administrative Costs</td>
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<td>Grant Administrative Professional Certification Program</td>
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<td>Grand Award Summary</td>
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<td>SR Grants &amp; Contracts Administrator</td>
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<td>National Council of University Research Administrators</td>
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<td>Act</td>
<td>Abbreviation</td>
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<td>Office of Technology and Special Projects</td>
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<td>Principal Investigator</td>
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<td>Point of Contact</td>
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<td>Program Announcements</td>
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<td>Proposal Signature Routing Sheet</td>
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<td>Request for Application</td>
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<td>Request for Contracts</td>
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<td>Request for Proposals</td>
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<td>Request for Quotation</td>
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<td>Request for University Contribution</td>
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<td>Scope of Work</td>
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<td>United States Code</td>
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</tbody>
</table>
PROPOSAL CHECKLIST

PI: ________________________________   Project No.: _______________________

_______ Check deadline date and then date stamp PSRS
_______ Guidelines provided
_______ Financial Disclosure forms provided
_______ Completed PSRS w/ all required signatures
_______ Review proposal budget calculations/inclusions and compare #’s to PSRS

☐ correct F&A rate  ☐ Fringe %  ☐ Grad asst tuition & insurance
_______ Review info in PeopleSoft
_______ Submit proposal in PeopleSoft
_______ Make notes in PeopleSoft
_______ Proprietary Info or Potential Patents memo
_______ Subcontract processing (letter of intent must be included)
_______ Cover letter with Grant Information Sheet
_______ Send electronic copy of cover letter to PI/contacts as appropriate
_______ Signature block complete?
_______ Project No. must be listed on bottom of signature page
_______ Generate and prepare a PS routing sheet
Request for University Contribution of F&A Costs link:

http://research.missouri.edu/forms/forms_dept.htm#ospa
RE: University of Missouri-Columbia Proposal/Project ID:
Project Title:

Dear (Program officer):

Enclosed please find the original plus xxx (X) copies of a proposal, submitted on behalf of The Curators of the University of Missouri. The project director is (PI’s name and Department) at the University of Missouri-Columbia.

If an award is made, it should be to The Curators of the University of Missouri. Please contact me, at (SGCA Phone Number) for any administrative questions and/or negotiations. You may reach (PI’s Name) at (PI’s Phone) for technical questions.

Also enclosed is a Grant Information Sheet for the University of Missouri-Columbia for your information.

We appreciate your consideration of this proposal.

Sincerely,

(Name of SGCA)
Sr. Grants and Contracts Administrator

Enclosures

cc: OSPA File
(PI’s Name)
(Departmental Contact)
INSTITUTIONAL ENDORSEMENT PAGE

PROJECT TITLE: (name)
(sponsor/company name)
(address)
(city, state, zip)

SUBMITTED BY: The Curators of the University of Missouri
The University of Missouri - Columbia
Office of Sponsored Programs Administration
310 Jesse Hall
Columbia, Missouri 65211-1230
573/882-7560

PROJECT DIRECTOR: (name)
College of
Department of
University of Missouri-Columbia
(campus address)
Columbia, Missouri 65211-1230
(phone)

PROJECT DURATION: (start through end dates)

REQUESTED FUNDS: $

BUSINESS OFFICIAL: Jennifer E. Duncan, Director
Office of Sponsored Programs Administration
University of Missouri - Columbia
310 Jesse Hall
Columbia, Missouri 65211-1230
573/882-7560 / FAX: 573/884-4078

APPROVALS:

FOR THE CURATORS OF THE UNIVERSITY OF MISSOURI

__________________________ ___________
AOR Date
Office of Sponsored Programs Administration

MU Project ID ________________
TAX EXEMPT AND NOT-FOR-PROFIT STATEMENT
FOR THE CURATORS OF THE UNIVERSITY OF MISSOURI

The following comments are offered in response to your request for the University of Missouri’s tax exempt and not-for profit status:

The University is the constitutionally established state university of the State of Missouri under the provisions of Article IX, Section 9(a) of the Missouri Constitution of 1945. The University is a public corporation and a body politic of the State of Missouri by virtue of Section 172.020 RSMo. The University of Missouri is also a land grant institution, as indicated in Section 172.430 RSMo.

Since the University of Missouri is an instrumentality of the State of Missouri, the University is exempt from federal income taxation under Section 115 of the Internal Revenue Code. A letter from the Internal Revenue Service, which clarifies the tax-exempt status of the University, is enclosed. I certify that the copy so provided is the true and current copy of the original on file at the University, and it remains in full force and effect.

FOR THE CURATORS OF THE UNIVERSITY OF MISSOURI

(Authorizing Institutional Official) Date

MU Project No. ____________
Date

Name
Address
Address
City, State, Zip

RE: Sponsoring Agency Proposal “Title”
    Project No. C########

Dear Mr. or Mrs. Name:

I am writing to confirm the willingness of the University of (State) to participate as a subcontractor in the above named application to the Sponsoring Agency.

The University of (State) has the appropriate programmatic and administrative personnel to establish the necessary written agreements required under DHHS subcontract policies and is prepared to carry out the proposed project in line with these policies.

_________________________  ___________________________
Name of PI          Date   Name of Chair, PhD          Date

Dean, College of Name

_________________________
Name of Dean          Date
RE: Proposal Title:
University of Missouri Proposal No.:

Dear:

This letter represents the intent of the Curators of the University of Missouri on behalf of the University of Missouri-Columbia to participate in the referenced proposal submitted to the National Institutes of Health, with (Name of PI at funding Sponsor) as Principal Investigator. (Name of PI at MU) of the University of Missouri-Columbia faculty is a co-investigator on this project.

The appropriate programmatic and administrative personnel at the university of Missouri-Columbia are aware of the PHS consortium grant policy and are prepared to establish the necessary inter-institutional agreement consistent with the policy should this grant be funded.

The University of Missouri’s Facilities and Administration (F&A) Agreement, negotiated with the National Institute of Health, is approved for the period of July 1, 2006 through June 30, 2009. The approved federal fringe benefit rate is 31.65% and non-federal is 28.87%. The F&A rate is 49.5% of Modified Total Direct Cost (MTDC).

FOR THE CURATORS OF THE UNIVERSITY OF MISSOURI

AOR Office of Sponsored Programs Administration

cc: OSPA File

SAMPLE CFDA REQUEST LETTER
Enclosed please find a fully executed original of the above referenced agreement, signed on behalf of The Curators of the University of Missouri. A second original has been retained for our files.

The University must identify all funding sources, including federal pass-through funding in order to comply with the requirements of OMB Circular A-133 “Audits of Institutions of Higher Education and Other Nonprofit Institutions.” Please indicate whether the awarding sponsor is federal or non-federal by completing the requested information on the attached form, sign, date and return via fax as indicated.

If you should have any questions or require any further information, please feel free to contact me at 573/___________ or by email at __________________ .

We appreciate your support of this project.

Sincerely,

[SGCA NAME]
Sr. Grants and Contracts Administrator

Enclosure
UNIVERSITY OF MISSOURI
FUNDING SOURCE FORM

RE: SPONSOR –
SPONSOR NUMBER –
UNIVERSITY OF MISSOURI PROPOSAL/PROJECT NO. –
PROJECT TITLE -
PROJECT DIRECTOR –,
University of Missouri-Columbia

Are any federal funds used to pay the costs associated with this project?

[ ] Yes / [ ] No.

If yes, please identify the federal agency and provide the CFDA number for the project:

Federal Agency: ______________________________________________________________

CFDA No.: __________

In the case of Multiple funding sources (more than one CFDA #), please provide a breakout of funding by CFDA #.

CFDA # __________ Funding amount_________________
CFDA # __________ Funding amount_________________
CFDA # __________ Funding amount_________________
CFDA # __________ Funding amount_________________
CFDA # __________ Funding amount_________________

The above information is certified correct.

______________________________
Name/Title

______________________________
Date

PLEASE RETURN THIS FORM VIA FAX TO: Tiger Team, Office of Sponsored Programs Administration, University of Missouri 573/884-4078.
### UNIVERSITY OF MISSOURI SPONSORED ACTIVITY CONTRACT

**Date:** __________________  **Contract Number:** ____________________

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<th>Unit Description</th>
<th>Unit Cost (from approved price list)</th>
<th>Extended Price</th>
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<td><strong>Total</strong></td>
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</tr>
</tbody>
</table>

**Are Federal funds (directly or flow through) to be used to pay for this contract? _____**  If yes, what is the CFDA number? __________

1. This contract is entered by and between __________________________________________, (hereinafter “Sponsor”) and The Curators of the University of Missouri on behalf of __________________________________________ (hereinafter “University”).

2. Contract period shall begin on _______ (the “Beginning Date”) and end on _______ (end date may not transcend the end of the University fiscal year).

3. Ownership of intellectual property resulting from this contract will vest with University and be maintained in accordance with University policies.

4. The relation of University to Sponsor shall be that of an independent contractor. University shall have no authority to bind Sponsor for any obligation or expense not specifically stated in this contract. University shall have no authority to represent itself as an agent of Sponsor.

5. For purposes of this Agreement, the term “Confidential Information” shall mean all written or orally transmitted information, which the disclosing party shall deem to be confidential and proprietary, including but not limited to data, know-how, technical and non-technical materials, and specifications which the disclosing party has delivered to the receiving party pursuant to this Agreement and which shall be marked as “Confidential” or by some similar designation. Both University and Sponsor shall maintain and protect such Confidential Information in a manner no less stringent than it would maintain its own confidential and proprietary information and shall use the Confidential Information only for the purposes contemplated under this Agreement. The preceding obligations of nondisclosure and limitations of use shall not apply to the extent that the receiving party can demonstrate that the Confidential Information (a) was in its possession or control at the time of disclosure, (b) is or becomes public knowledge through no fault or omission of the receiving party, (c) is lawfully obtained from a third party having a legal right to disclose such information, (d) is independently developed without reference to the discloser’s Confidential Information, or (e) is required by law to be disclosed. In the event the Confidential Information is disclosed orally or visually, it shall be reduced to writing or other tangible form and identified as “Confidential” or a similar designation and delivered to the receiving party within thirty (30) days from the date of disclosure; during such thirty (30) day period, the receiving party shall treat such information as “Confidential...
Information.” The obligations of nondisclosure and limitation of use shall terminate five (5) years from the Beginning Date of this Agreement.

6. Any publicity release mentioning contract activities shall reference Sponsor. Any publications, including audiovisual items, produced with contract funds and/or reporting data from contract shall give credit to the contract and Sponsor.

7. Either party may terminate this contract at any time, with or without cause, upon thirty (30) days written notice. In the event of termination, University shall be paid only for work satisfactorily completed and accepted by Sponsor and for all noncancellable obligations incurred prior to the date of termination.

8. University shall comply with all applicable provisions of Federal and State laws and regulations relating to the activities conducted hereunder.

9. University shall retain all books, records, and other documents relevant to this contract for a period of two (2) years after final payment or completion of an audit, whichever is later. University shall allow authorized representatives of Sponsor, State, and Federal Government to inspect these records upon request with appropriate notice. University shall comply with requirements of OMB Circular A-133, OMB Circular A-21, and Federal Cost Accounting Standards. University shall return to Sponsor any funds finally disallowed in an audit of this contract.

10. Paragraphs 3, 5, 6, and 9 shall survive expiration or termination of this Agreement.

11. This contract is a fixed unit price contract. Notwithstanding any other payment provision of this contract, if University fails to submit reports when due, or fails to perform required work or services, Sponsor may withhold payment or reject invoices under this contract until reports are submitted or required work or services performed, whichever is applicable, unless the failure is due to causes beyond the control of University. University shall bill Sponsor quarterly if contract period exceeds 3 months, and within 60 days of the end of the contract period. Sponsor shall pay invoices within 30 days of receipt. Billing shall be:

   ____ electronic addressed to: _______________________________

   OR

   ____ paper addressed to: _______________________________

   _______________________________

   _______________________________

   _______________________________

THIS CONTRACT EXPRESSES THE COMPLETE AGREEMENT OF THE PARTIES AND SHALL SUPERSEDE ALL PREVIOUS COMMUNICATIONS, REPRESENTATIONS OR AGREEMENTS, EITHER VERBAL OR WRITTEN, BETWEEN THE PARTIES PERTAINING TO THE SUBJECT MATTER OF THIS CONTRACT. PERFORMANCE SHALL BE GOVERNED SOLELY BY THE TERMS AND CONDITIONS CONTAINED IN THIS CONTRACT AS INTERPRETED UNDER THE LAWS OF THE STATE OF MISSOURI. BY SIGNING BELOW, UNIVERSITY AND SPONSOR AGREE TO ALL TERMS AND CONDITIONS SET FORTH IN THIS CONTRACT. THIS CONTRACT BECOMES FULLY EXECUTED ON THE DATE OF THE LATEST OF THE THREE SIGNATURES REQUIRED BELOW.

UNIVERSITY PROGRAM SIGNATURE   AUTHORIZED SPONSOR SIGNATURE   AUTHORIZED UNIVERSITY SIGNATURE

PRINTED NAME/TITLE   PRINTED NAME/TITLE   PRINTED NAME/TITLE

AOR

Office of Sponsored Programs Administration

DATE   DATE   DATE

*This contract form is usable only for approved rates of authorized Service Operations with a currently approved rate schedule.
Publication Waiver Process
(Instructions for SGCA to give to PI)

Following is the recommended process for obtaining MU approval for contract publication language.

- Complete Publication waiver requesting University acceptance of the restricted publication language.
- A copy of the completed publication waiver with signatures (PI, chair and dean) should be taken/sent to the appropriate OSPA Satellite Office. A copy of the contract and the memorandum will be forwarded for consideration and the additional signatures. As a general guideline, the review and signature process takes from 5-7 business days to complete.

SGCA Processes the Publication Waiver Memo as follows:

- Scans & e-mails a copy of the signed (PI, Chair, Dean) Publication Waiver to Gloria Smith, using the e-mail template for Publication Memos (bottom of Pg 109), along with an electronic copy of the award document, for processing. Gloria will process the Publication Waiver to obtain the required signatures and route back to the SGCA.
Patent Waiver Process
(Instructions for SGCA to give to PI)

Following is the recommended process for obtaining MU approval for a Patent/Intellectual Property waiver:

- PI fills out the Patent Waiver with the applicable information.
- PI signs the Patent Waiver and then routes it to the Chair and Dean for signature. (attach a copy of the award/contract document)
- A copy of the completed Patent Waiver, with signatures (PI, chair and dean) should be taken/sent to the appropriate OSPA Satellite Office. A copy of the contract and the signed Patent Waiver will be forwarded for consideration and the additional signatures. As a general guideline, the review and signature process takes from 5-7 business days to complete.

SGCA Processes the Patent Waiver Memo as follows:

- Scans and e-mails a copy of the signed (PI, Chair, Dean) Patent Waiver to Harriet Francis, using the e-mail template, (pg 108), along with an electronic copy of the award document, for processing. Hattie will process the Patent Waiver to obtain the required signatures and route it back to the SGCA.
Patent Waiver
(OSPA E-mail TEMPLATE)

University of Missouri – Columbia Project ID Number:
PI:
PI Department:
Funding agency: Patent Waiver Memo
Type of Memo: Patent Waiver Memo

Hattie,

The attached request is for review by OTMIR and signatories, as detailed on the memo.

The specific (patent) language needing review and approval can be found in (article, section, paragraph etc.).

If you have any questions or need additional information, please give me a call.

Sincerely,

(Name)
Sr. Grants & Contracts Administrator

Publication Waiver
(OSPA E-mail TEMPLATE)

University of Missouri – Columbia Project ID Number:
PI:
PI Department:
Funding agency: Publication Waiver Memo
Type of Memo: Publication Waiver Memo

Gloria,

The attached request is for approval from Robert V. Duncan PhD, Vice Chancellor for Research and additional signatories as detailed on the memo.

The specific (publication) language needing review and approval can be found in (article, section, paragraph etc.).

If you have any questions or need additional information, please give me a call.

Sincerely,

(Name)
Sr. Grants & Contracts Administrator
PATENT WAIVER
PUBLICATION WAIVER
<table>
<thead>
<tr>
<th><strong>Animal Care Quality Assurance</strong></th>
<th><strong>Campus Institutional Review Board</strong> (IRB)</th>
<th><strong>Environmental Health and Safety</strong></th>
<th><strong>Fiscal</strong></th>
<th><strong>Health Sciences Institutional Review Board</strong></th>
<th><strong>Office of Grant Writing &amp; Publications</strong></th>
<th><strong>Office of Research Computer Services</strong></th>
<th><strong>Office of Technology Management and Industrial Relations</strong></th>
<th><strong>Risk &amp; Insurance Management</strong></th>
<th><strong>Compliance – Export Control, Conflict of Interest</strong></th>
</tr>
</thead>
<tbody>
<tr>
<td>WBC 106 Animal Sciences Center</td>
<td>483 McReynolds</td>
<td>University of Missouri-Columbia</td>
<td>203 Jesse Hall</td>
<td>FH 125 Dockery-Folk Hall One Hospital Drive</td>
<td>202 Jesse Hall</td>
<td>48 Jesse Hall</td>
<td>340 A Life Science Center</td>
<td>1105 Carrie Franke Dr, Ste 209</td>
<td>compliance—export control, conflict of interest</td>
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<tr>
<td>University of Missouri</td>
<td>University of Missouri</td>
<td>8 Research Park Development Building</td>
<td>University of Missouri</td>
<td>Columbia, MO 65212</td>
<td>University of Missouri</td>
<td>University of Missouri</td>
<td>University of Missouri</td>
<td>Columbia, MO 65211</td>
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<td>Columbia, MO 65211</td>
<td>458 McReynolds</td>
<td>Columbia, Missouri 65211</td>
<td>Columbia, MO 65211</td>
<td>(mail distribution code Dc074.00)</td>
<td>Columbia, MO 65211</td>
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<tr>
<td>Updated 10.10.08</td>
<td>573/ 882-1746 phone 573/ 884-2457 fax</td>
<td>Email: <a href="mailto:ehs@missouri.edu">ehs@missouri.edu</a></td>
<td>573/ 882-6313 phone</td>
<td>573/ 883-3181 phone 573/ 884-4401 fax</td>
<td>573/ 882-7081 phone 573/ 884-8371 fax</td>
<td>573/ 882-9135 phone</td>
<td>573/ 882-6013 phone</td>
<td>573/882-8100 phone <a href="mailto:asjh@missouri.edu">asjh@missouri.edu</a></td>
<td>compliance—export control, conflict of interest</td>
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<tr>
<td></td>
<td>Erin O’Connor ACQA Interim Director 882-3681</td>
<td>Michele Reznicek, RN, MBA, JD Compliance Officer, 882-9585</td>
<td>Barbara Breen</td>
<td>Michele Kennett Compliance Officer, 882-3182</td>
<td>Mary Licklider Director, 884-6438</td>
<td>Chris Bruno System Support Analyst, 882-9583</td>
<td>Chris Fender Director, 884-8296</td>
<td>Jennifer Smith</td>
<td>compliance—export control, conflict of interest</td>
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<td>Jennifer Myles ACUC Coordinator 884-6758</td>
<td>Charles Borduin, PhD Compliance Officer, 882-9500</td>
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<td>Betty Wilson Compliance Specialist, 884-8596</td>
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<td>Janelle Greening, MBA Compliance Specialist, 882-8984</td>
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<td>Laura Petersheim Compliance Specialist, 884-9455</td>
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<td>Denise Harrington, BS, LPN Compliance Specialist, 884-2692</td>
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<td>Stephanie Goldinger Compliance Specialist, 884-1377</td>
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<td>Betty Jo Wilson Compliance Specialist, 884-8596</td>
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<td>Christine Hueske Compliance Assistant, 882-3181</td>
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<td><strong>GLOSSARY</strong></td>
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<td><strong>Office of Management And Budget Circular A-21</strong></td>
<td>Defines the principles for determining the costs applicable to grants, contracts, and other government agreements with educational institutions. Published by the federal Office of Management and Budget (OMB)</td>
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<td><strong>Allocable Costs</strong></td>
<td>Costs that benefit the grant or contract to which they are being charged</td>
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<td><strong>Allowable Costs</strong></td>
<td>Expenses that are allowed to be charged to a grant</td>
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<td><strong>Audit</strong></td>
<td>A formal examination of compliance with applicable terms, laws, regulations and/or accounting records</td>
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<td><strong>Award</strong></td>
<td>Funds provided or obligated by a funding agency for a project</td>
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<td><strong>Budget</strong></td>
<td>The total amount of project costs for a specified project period.</td>
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<td><strong>Budget Period</strong></td>
<td>The period of time used to determine the budget. See also project period</td>
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<td><strong>Budget Revision</strong></td>
<td>Moving funds from one budget line item to another. May require agency approval</td>
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<td><strong>CAS</strong></td>
<td>Cost Accounting Standards</td>
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<td><strong>CFDA</strong></td>
<td>Catalog of Federal Domestic Assistance</td>
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<td><strong>CFR</strong></td>
<td>Code of Federal Regulations</td>
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<td><strong>COGR</strong></td>
<td>Council on Governmental Relations</td>
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<tr>
<td><strong>Competing Proposals</strong></td>
<td>Initial submission, resubmission of a previously unfunded proposal, or competitive renewal of a previously funded project where the original award has expired</td>
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<td><strong>Competitive - Proposals</strong></td>
<td>Proposal that competes with other proposals against established criteria with awards being made to the highest ranked</td>
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<tr>
<td><strong>Consortium Agreement</strong></td>
<td>An agreement between two or more organizations to collaborate on a project. Provides terms and conditions for the arrangement</td>
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<td><strong>Continuation</strong></td>
<td>Continued funding of a project whose total funds for the total project period were obligated at the time of the initial award or submission to obtain future year funding following recommendation by sponsor</td>
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<td><strong>Continuation Project (Non-Competing)</strong></td>
<td>A project (funded through a grant and cooperative agreement) approved for multiple-year funding. Funds are usually committed only one year at a time after completion and review of the progress report. Continuations do not compete with new project proposals and are not subject to peer review after the initial approval</td>
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<tr>
<td><strong>Contract</strong></td>
<td>A document that provides specific terms / conditions, defines the scope of work and states amount of award</td>
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<td><strong>Contract/Grant Officer</strong></td>
<td>Individual the sponsor has designated as responsible for the business management (review, negotiation, award and administration) of the grant, cooperative agreement or contract.</td>
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<td><strong>Cooperative Agreement</strong></td>
<td>Agreement to cooperate on research activities. The awarding agency is involved in the proposal development and may be involved in the research activities.</td>
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<td><strong>COS</strong></td>
<td>Community of Science. A website with information about available funding and funded projects</td>
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<td><strong>Cost Accounting Standards (CAS)</strong></td>
<td>Federally mandated accepting standards</td>
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<td><strong>Cost-Reimbursement Award</strong></td>
<td>An award whereby the sponsor agrees to reimburse the University for costs as incurred not to exceed the maximum amount awarded.</td>
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<td><strong>Cost-Sharing</strong></td>
<td>Where more than one party agrees to pay for the research to be conducted. If the agency pays for 90% of a project's total cost and the University agrees to pay the remaining 10% needed, the 10% is the cost share portion.</td>
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<td><strong>Cost-Sharing (Internal):</strong></td>
<td>All other expenses toward the project that are not covered by the funding agency; expenses in which the University will cover</td>
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<td><strong>Direct Costs</strong></td>
<td>Identifiable costs related to a specific project</td>
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<td><strong>Executed</strong></td>
<td>A document is signed by only one of two parties; not all parties have signed the document</td>
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<td><strong>Expiration Date</strong></td>
<td>The end date of the period of performance</td>
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<td><strong>Extension</strong></td>
<td>Additional period of time provided to complete a project</td>
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<td><strong>Facilities and Administrative (F&amp;A) Costs</strong></td>
<td>The negotiated rate with a cognizant Federal agency, which reflects the institution's facilities and administrative overhead costs involved in carrying out contract or grant activities.</td>
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<td><strong>FastLane</strong></td>
<td>NSF's system for preparing and submitting proposals over the Internet</td>
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<td><strong>Final Report</strong></td>
<td>The final technical or financial report</td>
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<td><strong>Fiscal Year (FY)</strong></td>
<td>12-month period used for accounting purposes - the University of Missouri's Fiscal year is July 1 through June 30</td>
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<td><strong>Fixed-Price (FP) Award</strong></td>
<td>An award that pays the University a set amount regardless of actual cost for services.</td>
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<td><strong>Fringe Benefits</strong></td>
<td>(see employee benefits)</td>
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<td><strong>Fully Executed</strong></td>
<td>All parties have signed the document; considered complete/awarded</td>
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<td><strong>Gift</strong></td>
<td>Funds awarded with few or no conditions - unrestricted</td>
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<td><strong>Grant</strong></td>
<td>Financial assistance awarded for research or other specified program.</td>
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<td><strong>Grant/Contract Officer</strong></td>
<td>See contract/Grant officer</td>
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<td><strong>IACUC</strong></td>
<td>Institutional Animal Care and Use Committee</td>
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<td><strong>Indirect Cost Rate</strong></td>
<td>See F&amp;A cost Rate</td>
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<td><strong>Indirect Costs</strong></td>
<td>See F&amp;A Costs</td>
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<td><strong>Institutional Review Board (IRB)</strong></td>
<td>Committee that reviews project involving use of human beings</td>
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<td><strong>Key Personnel</strong></td>
<td>Personnel involved in the project and whose involvement is considered to be important to the success of the project</td>
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<td><strong>Limitation of Cost (LOC)</strong></td>
<td>A clause in cost reimbursement type contracts which indicates that the sponsor is not obligated to provide funds in excess of the amount stated in the contract. The contractor is, however, liable to complete the stated Scope of Work as agreed</td>
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<td><strong>Matching Grant</strong></td>
<td>A grant that requires a specified portion of the cost to be supplied through other sources</td>
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<td>Term</td>
<td>Definition</td>
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<tr>
<td>Misconduct in Science</td>
<td>Seriously deviating from the practices commonly accepted in the scientific community. Including, fabrication and /or plagiarism.</td>
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<tr>
<td>Modification</td>
<td>Revision to an existing award</td>
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<td>Modified Direct Cost</td>
<td>F&amp;A costs are calculated on a portion of the direct costs which refers to the exclusion of equipment, subcontracts after the first $25,000 and participant support expenses.</td>
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<tr>
<td>New (Proposal)</td>
<td>Never been submitted before, has been formally rejected, or has been significantly changed in technical direction from previous submissions.</td>
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<td>New and Competing Proposals</td>
<td>Submitted for the first time or previously approved but must compete for future year funding</td>
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<td>New Award</td>
<td>Awarded for the first time or renewed by sponsor and given a new agency number</td>
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<tr>
<td>New</td>
<td>No previous account for the project</td>
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<tr>
<td>Non-competitive</td>
<td>Proposals for which funds have already been recommended or otherwise are going to be awarded without competition (example: continuations, sole sources).</td>
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<td>Notice of Grant Award</td>
<td>The legally binding award notification stating that an award has been made</td>
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<tr>
<td>OMB</td>
<td>Office of Management and Budget (federal)</td>
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<tr>
<td>OMB Circulars</td>
<td>Regulatory circulars published by the Office of Management and Budget</td>
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<tr>
<td>OHRP</td>
<td>Office for Human Research Protections (DHHS). Federal office that interprets and oversees regulations regarding human subjects.</td>
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<td>PHS</td>
<td>Public Health Service (federal)</td>
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<tr>
<td>Principal Investigator (PI)</td>
<td>Individual responsible all aspects of the research described in the research proposal</td>
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<tr>
<td>Program Announcement</td>
<td>An announcement describing a research funding opportunity</td>
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<tr>
<td>Program/Project Officer</td>
<td>Designated individual responsible for the technical or scientific aspects of the grant</td>
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<tr>
<td>Progress Report</td>
<td>Periodic report summarizing the research to date</td>
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<tr>
<td>Project Classification Structure (PCS) Code</td>
<td>Sorts projects by category. The most common are for (1) instruction, (2) research, (3) public service/extension, (4) other [i.e., IPAs], (8) fellowships/scholarships</td>
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<td>Project Period</td>
<td>The amount of time the project has been approved for</td>
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<td>Proposal</td>
<td>An application for funding</td>
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<tr>
<td>Rebudget</td>
<td>Amending the budget by moving funds from one category to another</td>
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<td>Renewal</td>
<td>Request or receipt of additional funding to support current period activities. Granting of such funding is not intended to extend the performance period of the initial award.</td>
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<tr>
<td>Request for Application (RFA)</td>
<td>Announcements detailing availability of grant funds</td>
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<td>Request for Proposal (RFP)</td>
<td>Announcements requesting applicants for a topic of research or a method. Generally results in a contract</td>
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<tr>
<td>Scope of Work</td>
<td>A written description of the work to be performed on a project</td>
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<td>Sponsor</td>
<td>Organization funding a sponsored project</td>
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<tr>
<td>Term</td>
<td>Definition</td>
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<td>Stipend</td>
<td>Payment for living expenses for an individual in training</td>
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<td>Subcontract, Subgrant, or Subagreement</td>
<td>A document consistent with terms of a prime award made to transfer a portion of the work necessary to complete the project to another institution or organization</td>
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<td>Supplement</td>
<td>Additional funding (without extending project period) towards a current project which was not originally approved/awarded by agency. During current project period, not approved at time of initial award.</td>
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<td>Supplemental Proposal</td>
<td>A proposal requesting additional funds to be awarded during the approved project period</td>
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<td>Terms of Award</td>
<td>Legal requirements of the award may include standard and special provisions</td>
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<td>Time Extension</td>
<td>An extension of the project period; no increase in funding</td>
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<td>Total Direct Costs (TDC)</td>
<td>The sum of all direct costs line items for the project</td>
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<tr>
<td>Total Project Costs</td>
<td>The total allowable direct and indirect costs for the project</td>
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<td>Unrestricted Funds</td>
<td>Funds provided without specific requirements. These are usually considered a gift.</td>
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<td>Unsolicited Proposal</td>
<td>A proposal that is not submitted in response to an RFP, RFA, or program announcement.</td>
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