

BOWLING GREEN STATE UNIVERSITY



Bowling Green State University

OFFICE OF
SPONSORED PROGRAMS AND RESEARCH

**SPAR
QUICK REFERENCE
HANDBOOK**

Academic Year 2007-2008

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INTRODUCTION:

THE BGSU RESEARCH ENVIRONMENT

At Bowling Green State University, research, scholarship and creative endeavors play an important role in campus life. The University encourages these activities as a vital measure of the institution's overall growth and development. Over the last decade, BGSU has been building the infrastructure to support research and sponsored program activity, and in the last few years, has enjoyed a tremendous increase in faculty collaborative efforts, faculty and student research activity and a substantial increase in the extramural funding base. The top federal agencies funding BGSU research, training efforts and public service have been consistently the U.S. Department of Education (DOED), the National Institutes of Health (NIH), the National Science Foundation (NSF), the U.S. Department of Defense (DOD), and the U.S. Department of Commerce (DOC). More than 50% of the external funds awarded to the university have been for research, up to 35% for instructional programs and nearly 15% for public service.

For detailed information regarding awarded grants, visit the SPAR website [<http://www.bgsu.edu/offices/spar>] and click on "Grants & Contracts Activity."

WHO OVERSEES THE RESEARCH ENVIRONMENT?

The Vice Provost for Research, the Associate Dean for Graduate Studies and Research and the Associate Vice Provost for Research Administration/Director SPAR have the direct responsibility for overseeing the operation of the university's administrative support system for faculty, students and staff members engaged in grant and contract activity.

The Faculty Research Committee (FRC) is an advisory body that provides assistance to the Vice Provost for Research in the development and administration of research policies, programs and procedures that affect the research environment. The FRC assists in the competitive re-investment of overhead funds.

The Office of Sponsored Programs and Research is the office responsible for providing administrative support and for overseeing all pre-award grant activities.

The Grants Accounting Office is responsible for post-award and financial activities.

WHAT SERVICES DOES THE OFFICE OF SPONSORED PROGRAMS AND RESEARCH (SPAR) OFFER TO BGSU FACULTY, STAFF AND STUDENTS?

The overall responsibility of the Office of Sponsored Programs and Research is to stimulate, encourage, facilitate and oversee research and sponsored program activity, and to monitor investments in new research activities. The University acknowledges the value to the institution in having nationally and internationally recognized research programs and in having sponsored programs that address student training, promote the cultural arts and support the specific scholarly interests of faculty members in a wide spectrum of areas. It is the mission of this Office to promote the efforts of BGSU faculty members by offering the supportive services that help them move their research agendas forward.

- ❖ The Office of Sponsored Programs and Research (SPAR) provides access to and assistance with a number of web-based research support tools. These include the *Community of Science*, an information database designed to help you search for and identify appropriate funding sources and to house readily extractable information concerning your research interests and expertise. Another is grants.gov, the entry way to submitting proposals to federal agencies.

- ❖ The Office issues a weekly *SPAR Update* in electronic format to every faculty member. The *SPAR Update* provides a broad range of news and information of concern to the research community.
- ❖ The Office assists and coordinates the administrative activities related to:
 - Proposal Development and Budgeting including the monitoring of cost-share requests and identifying sources of university commitment
 - University Review and Approval Process for external submissions including obtaining the final signature of the Vice Provost for Research—the official who is authorized to bind the institution to terms and conditions of grants and contracts
 - Development of contracts and subcontracts under collaborative grants and contracts
 - Protection of patents, copyrights and all other intellectual property including the processing of disclosures and tracking of activities
 - Protection of rights in data
 - Compliance with all federal assurance requirements by coordinating with the university's **Research Compliance Officer** in the areas of *Human Subjects in Research, Care and Use of Laboratory Animals in Research*, use of biohazardous materials and use of recombinant DNA
 - Implementation of the university policies on conflict of interest, conflict of commitment, and misconduct in science
 - Support of the Faculty Research Committee (FRC) in developing internal seed funding mechanisms to strengthen faculty efforts in building their research agendas
 - Maintenance of the official records for research and sponsored program activity.

PRE-AWARD ACTIVITIES

The office staff is dedicated to helping you with all aspects related to the funding of research, creative and scholarly activity. As you apply for grants and subsequently conduct your programs, we want to make sure that you receive the appropriate level of support. Contact the office first so that we can help you navigate through the initial processes.

MAKE THE FIRST CALL TO SPAR:

- To obtain the latest information on available funding - The WWW site for the Office (<http://www.bgsu.edu/offices/spar>) provides faculty members with access to information via the Community of Science, our major source of program information. The Office also distributes program information electronically through weekly E-mail in the *SPAR Update*. Numerous other information resources are available via web addresses accessible through the SPAR website. It is the policy of the Office to disseminate widely any information concerning competitive proposals, including programs to which the University may only submit a limited number of proposals
- To make funding requests to external agencies, organizations, private foundations, or to industrial partners - University policy **REQUIRES** that all requests to external agencies in support of sponsored program activities be submitted through the Office of Sponsored Programs and Research with formal endorsement by the appropriate University officials.
- The *recipient* may be the University, the individual Investigator or the BGSU Foundation, depending on the policy of the awarding entity. The SPAR Office will provide guidance through the endorsement and award processes.
- To request gifts for research from foundations or other organizations - Requests to philanthropic foundations and other entities for gifts to support faculty research and sponsored programs will be subject to formal endorsement by appropriate University officials, including the Office of Development. However, such requests will be submitted first through the regular University endorsement process. The Office of Development may

be responsible for final submission. In the case of some foundations, it is appropriate for the Office of Development to provide the presidential cover letter that accompanies your proposal. Additional time is usually required for endorsement if a presidential letter is prepared.

- To facilitate inter-institutional research efforts - Coordination with faculty members and administrators from other institutions at times may be time consuming yet very necessary. The SPAR Office will coordinate the proposal submission and work with other research administration offices to obtain appropriate commitments and authorizations.
- To accept grant or contract awards - All award documents are to be received or delivered intact with all attachments to the Office of Sponsored Programs and Research for proper acceptance. In the instance where a funding agency specifies that the award is provided to the investigator independent of the University, the P.I. is asked to forward a copy of the award letter to the Office to be included in the official University records.
- To negotiate an agreement - Sponsored program and research agreements are negotiated between the Office of Sponsored Programs and Research and the external agency on your behalf. The terms of those agreements will be binding on all University participants in the project, including faculty, staff and students. **It is never appropriate for you to negotiate the terms on behalf of the institution or to sign an agreement.** There is only one authorized university representative for grant and contract activity: Vice Provost for Research.
- To answer questions about protecting your intellectual property - The Office is responsible for assisting with the submission of patent applications to the US Patent Office. The BGSU Research Institute is responsible for the negotiation of licensing agreements, confidentiality and materials transfer agreements, and research agreements which may result in patent and licensing activities. When you think you have an invention that could be patented, you need to promptly fill out and file a patent disclosure form with the SPAR Office, which initiates your protection and most importantly, establishes the date of invention. Final decisions on patentability are made by the Vice Provost for Research upon the recommendation of the University Patent Advisory Committee and patent counsel.

Disclosure Forms may be found at the SPAR website.

WHO CAN APPLY FOR EXTERNALLY SPONSORED PROGRAMS?

- **Full-time, tenure-track faculty members**
Full time, tenure-track and research series (non-tenured) faculty members are eligible and are encouraged to submit proposals through the Office of Sponsored Programs and Research. On a rare occasion it may be appropriate for a non-tenure track faculty member to submit a proposal. Each exception will be determined through the SPAR Office and the College.
- **Non-tenure track research faculty**
Colleges and departments are permitted, when appropriate, to hire non-tenure track research faculty. The “Research Title Series” has been established for this purpose. It is important to understand that the responsibilities and privileges of non-tenure track research faculty members differ from those on the tenure-track. See the description at the SPAR website.
- **Support Service Program Personnel**
The University has successfully garnered support for both federal and state programs that provide support services for BGSU students. These programs are often written by the same staff members who are responsible for their implementation. A recognized University administrator may be the responsible Project Director for such a program.

HOW DO YOU APPROACH THE PROSPECT OF EXTERNAL SUPPORT?

First:

Establish your research agenda as a long-term engagement and work toward attracting external support. Identify your specific program focus, set your criteria for funding, carefully select a funding source that matches your need, and then write a proposal developing the narrative of your idea. If you have difficulty in identifying suitable program guidelines, the Office of Sponsored Programs and Research staff will assist you. If this is your first time submitting to an external agency, staff members would welcome the opportunity to spend time with you listening to your program ideas and offering helpful suggestions.

The process of finding appropriate funding mechanisms is neither quick nor easy. It sometimes requires a period of familiarization with agency funding trends and timing cycles. A good way to approach your research is with the realistic expectation that your agenda will be funded in phases over a period of years, focusing on different aspects.

Second: Think about what it takes financially to conduct your project. You must identify the budget items for which you will request support. The Grant Specialists are ready to build the budget for your proposal. With their expertise, they will help you develop a budget and a budget narrative that will be supported by both the University and the agency. Budgeting is often an art requiring much thought about multi-year activities. Contact SPAR early on in your proposal development time frame. Waiting until the last stage for assistance will not give you time to make any necessary adjustments in the budget.

Third: Give yourself time to seek review and approval at several levels – department, college and administrative.

It is important to remember that you must complete and attach the **proper forms before** your project can be endorsed and subsequently submitted to an external source. Completion of the **Sponsored Programs and Research Proposal Endorsement Form** is **always** required. Federal agencies may require additional assurances and forms that must be officially signed by the University. Frequently, administrators who review proposals and sign routing forms and assurances may not be available. Such delays are beyond our control. Your request for a “quick” endorsement can cause stress for you, the SPAR Office staff and all the officials who must review the proposal. Therefore, a **five-day policy for routing and approval** is enforced. Please plan for your personal deadlines and allow five-days for this endorsement. Also, please note again that your project must be in compliance with all applicable regulations before your project proceeds through the endorsement process. The federal website for transmitting proposals—grants.gov—often presents challenges to the submission process when many people wait until the deadline date and time to submit. Plan to submit early. The 5:00 pm deadline cuts off submissions even when your proposal is in the queue.

Let's review some common questions and concerns about the application process:

THE PROPOSAL:

What are the proposal requirements?

Guidelines for developing proposals are found in the Request-For-Proposals (RFP's), calls for proposals, or application guidelines and forms published by the agency or organization to which you are applying. **We will help you interpret those guidelines, answer questions on the application forms, determine the budget and explain agency procedures or compliance requirements.** You and any co-investigator(s) are ultimately responsible for meeting any compliance requirements.

THE NARRATIVE:

Who develops the narrative and what goes into it?

The Principal Investigator and any Co-Investigators are responsible for developing the original idea into a narrative format. Proposal formats are generally laid out in the RFP or program

announcement. The best advice is to READ these carefully. The surest way to be unsuccessful is to give a funding agency a proposal that does not target what they fund.

THE BUDGET:

What are allowable costs?

If you are a first time Investigator, you may need assistance in determining what your budget needs are. A discussion with the Office of Sponsored Programs and Research staff is helpful in assisting you in considering the range of possible direct cost items in relation to the amount of funding available. Staff will work with you to ensure the appropriateness of budgeted items, the precision of calculation, and the proper inclusion of allowable costs including Financial and Administrative Fees (sometimes referred to as Indirect Costs or Overhead). OMB Circular A-21 specifically outlines the items considered direct costs for institutions of higher education. The University's indirect cost rate agreement outlines the direct costs upon which the F&A rate can be applied. A budget is developed in such a way that its format meets the requirements of the University as well as the agency that will receive the request. Planning ahead will give office staff the time needed to assist you appropriately.

Will the University share any of the costs of my project?

In general there are two types of contributions to the budget, the sponsor's contribution and the University's contribution. If a funding agency requires a particular level of cost sharing by the University, such information will be stated in the guidelines. Institutional cost-sharing becomes a mandatory part of the resulting contract or award notice, and the University is held specifically responsible for reporting the exact contribution in federal time and effort reports as well as in its financial reporting. Typically the source of University cost-sharing is found in faculty effort.

How do I account for the University's contribution on the budget?

The University's contribution to the project may consist of two distinct components:

in-kind and **cash** contributions.

What are *in-kind* and *cash* contributions?

In-kind contributions to a research project are common and will usually consist of the following:

- ◆ A percentage of **effort** is determined as appropriately representing the investigator's time spent on a research or sponsored project. This representation of time and effort is calculated to include salary, the related fringe benefit costs and the appropriate Facilities and Administrative Fees associated with the salary.
- ◆ Facilities and Administrative Fees are calculated on University contributions as well as on the externally funded portion of the budget. If a funding source states that it either does not provide Facilities and Administrative Fees or has a set rate less than the University's federally negotiated rate, the under-recovered portion is calculated and considered a University **in-kind** contribution.

University **cash** contributions include the following:

- ◆ instructional fees for graduate students maybe provided on occasion by the Graduate College
- ◆ occasionally actual released-time from teaching not reimbursed by the grant
- ◆ office supplies or travel (which under certain circumstances may be provided to the project by the department or college)
- ◆ a percentage of the cost of capital equipment **only** when the federal agency requires cost sharing

When you submit your proposal to the Office of Sponsored Programs and Research for internal endorsements, you must **identify and clearly list** the specific source of funds for **University cash contributions** on the Sponsored Programs and Research Proposal Endorsement Form under the "BGSU Cost-Share" section. Approval of the proposal by the department chairperson, the college dean and all other approving authorities certifies that the contribution will be made available when the proposal is funded. It is your responsibility to discuss or negotiate effort and released-time requests with your department chairperson before endorsement.

What other budget items do I need to account for?

Individual budget items will generally consist of personnel costs, equipment, travel, publications, research supplies and Facilities & Administrative Fees (Indirect Costs). These items are discussed separately below.

Personnel Costs:

Each position involving payment of a salary should be **separately identified** in the budget. Common requests include one or more of the following:

- Released-time during the Academic Year and Summer Support for the Principal Investigator and Co-Investigators
- Support of a Post-doctoral Assistant
- Support of a Graduate Research Assistant Stipend and Tuition
- Support of a Professional Staff Person such as a Technician
- A percentage of the salary of a secretarial or clerical worker (where allowable)
- Hourly wages for undergraduate students
- Internal/External evaluators

The availability of the necessary personnel is a consideration for both the project and the department(s) from which you will be released or will spend effort. It is very important that your department chairperson(s) and the dean(s) of your college(s) understand and **agree** to the percentage of time you wish to devote to a project before they sign off on the endorsement form.

Can I be released from my usual duties in order to work on my project and if so how will that impact the budget?

As the Principal Investigator, you and others who work with you on a grant or contract may be released from teaching or professional duties to perform such work when the funding agency supports the requested portion of your salary. Such time is referred to as **released-time**. Time designated as a University contribution by the department and college and **not** supported by an external source is referred to as **effort** on the project. Effort is not compensated by the grant or contract and there is no reduction in teaching load or in other departmental assignments. This effort is clearly a part of your workload and an expense borne by the University.

A request for **released-time** has benefits for both you and your department. When a faculty member is released from specific duties, the college retains the resources necessary to hire a temporary replacement instructor. When a faculty member's time is supported by external sources, the college is entitled to recover the cost of that released-time (salary only) to support other instructional or research endeavors. As the appropriate portion of your salary is charged to a grant, the college retains the released-time recovery dollars and the chairperson may negotiate a return to the department. Funds remaining in the released-time recovery accounts may be carried over to subsequent years for expenditure at the discretion of the college/ department.

Does released time apply to chairpersons?

Chairpersons involved in research program activities may also be released from duties with the approval of the appropriate dean and the Provost.

What if I need the help of graduate students?

The University recognizes and affirms the importance of the research enterprise to the training of

graduate students. To this end the Office of Sponsored Programs and Research and the Graduate College encourage the support of graduate students over other types of research staff in sponsored program activity.

What if I want to work on my project over the summer?

If you hold a nine-month teaching contract, you may request support for **summer salary**. Summer salary is calculated using the preceding academic year salary as the base. The most common calculation of summer support for a research project is at the rate of 2/9 of the academic year salary. Some agencies may provide up to three months of summer support. When in doubt, call the Office of Sponsored Programs and Research for clarification. Multiple year grant requests may require salary escalations. The Office will provide information regarding the currently accepted percentage increases. For faculty members participating in sponsored programs that may involve summer teaching equivalent to one term, salary calculation may be based on 10% of the academic year salary.

What if I need to hire someone to help me with my project?

If you anticipate hiring research team professional staff members as part of a grant or contract, the appropriate salary and fringe benefit labels must be included in your budget. Any individuals hired for your project must understand that their employment is **temporary and dependent on external funding**. Salary increases for multi-year programs may be restricted by the funding source. The University is **not** obligated to retain any professional staff you may hire after the expiration of your grant. Depending on the appointment, such individuals might earn sick leave and/or vacation time during the time of employment. All vacation time must be taken during the period of employment as grant funds may not be expended after the project's termination date.

What if I need to create a new position?

At the time of award, if you establish new professional positions such as research associates, research technicians, or program coordinators, you must complete a **Job Analysis Questionnaire (JAQ)**. It is a good idea to contact the Office of Human Resources prior to developing the budget to discuss the position and to establish the correct salary level. Salaries will fall within accepted standards of compensation set by the national professional associations. Fringe benefit costs including retirement, workman's compensation and medical insurance should be **budgeted according to the current schedule of costs. This schedule is available from the Office of Sponsored Programs and Research.**

What if I need a consultant?

If your project requires the use of an external consultant(s), you need to clearly state the rate to be paid in the budget. **Your work expectations should be explained in the proposal.** The rate of pay is a flat fee for services and may be billed on a monthly or quarterly basis based on acceptance of deliverables. The consultant must be hired in accordance with regular University procedures and according to agency restrictions if applicable. The University considers outside consultants as independent contractors. **Consultant Personal Services Contracts** are required in order to document the agreement as to the amount to be paid and the scope of expertise expected. The Office of Sponsored Programs and Research will develop Personal Services Contracts.

How does the University define *consultant*?

- Work is performed at the University or consultant's location
- There is a written agreement for services
- Consultant does not receive any training or instruction from the University
- Investigator does not supervise or control the performance of the service
- Consultant provides his/her own equipment, materials, and supplies as needed
- Services are provided under the consultant's name
- Services are provided to other entities
- Consultant bears any risk of loss
- University supplies information to the extent necessary to perform the job or analysis

Can University employees be consultants?

Yes, however, University faculty employees may not be paid as consultants on grants and contracts to the University on which they are listed as investigator or co-investigator. In the cases where consulting services are rendered, the faculty employee may be paid supplemental compensation if the conditions of the **University Policy on Supplemental Compensation** are met.

All requests for supplemental pay must be pre-approved during the endorsement process and prior to official submission of the grant application to the external agency. The “Request for Supplemental Pay from a Sponsored Project” form must be completed and endorsed by the appropriate University officials at the same time the grant application is endorsed. Failure to seek appropriate pre-approval for supplemental compensation can either lead to the request being denied or cause a delay in receipt of such compensation.

Equipment:

In all cases each item of equipment to be purchased from grant funds should be **specifically listed** in the budget and the costs identified. Requests for cost-sharing by the institution must be considered in light of agency program requirements. In cases where cost-sharing on equipment is **NOT** mandatory, requests to the Vice Provost for Research must be carefully explained and justified in light of the institutional mission and the contribution such a project will make to the University's research effort. The College and the Department are expected to provide a percentage of the cost-sharing amount. In cases where an institutional match is **required** for equipment, such requests will be forwarded to the Vice Provost for Research after the College, Department or Center have designated their contributions. On large ticket items in excess of \$240,000, we can apply to the OBOR Action Fund for 25% of the cost of the equipment (see guidelines at the OBOR website).

What is capital equipment?

Capital equipment is defined as equipment with a unit cost greater than \$5,000 and a useful life of three years.

How are equipment usage fees assigned in the budget?

- The cost of equipment usage by persons outside of the University may be permitted at a rate set and approved by the department as part of a research contract.
- Regular equipment usage by faculty and staff involved in on-going research at the department level may not be charged to grants and contracts.

Travel:

Any grant related travel for which you expend grant funds must be done in accordance with Agency or University regulations, whichever are more restrictive. Your proposal should indicate whether the travel funds you have requested are for travel by project staff, participants, consultants, or others, and whether the travel is foreign or domestic.

Publications:

Funds to cover the cost of publication of the results of the project should be included in your proposed budget. If you anticipate that publications will not be produced prior to the termination date of the award, we must request a program extension. Further expenditures beyond the termination date of a grant or contract must be requested in a **no-cost extension**. The Office of Sponsored Programs and Research will make a formal request to the agency or facilitate any electronic requests.

Supplies:

The type of supplies you will purchase with grant funds should be clearly stated in your budget and should be purchased according to University purchasing policies. Most often supplies are designated as research supplies. **Office supplies may not be allowable on a grant according to its issued guidelines.** If the request for supplies is **\$1,000** or more, a list of those specific supplies must be provided.

Computers:

Charges on grant requests are limited to initial purchase of computer equipment, upgrades, and maintenance contracts. General computer "usage" **is not** an allowable cost. Maintenance contracts beyond the initial purchase of the piece of equipment are **not** allowable costs. Computer purchase requests must be reviewed and approved by ITS.

Tuition:

- Instructional and general fee payments, any specialized fees, fringe benefits and associated medical insurance costs for students working on a grant should be specifically budgeted as a direct cost if they are to be paid by the funding source and charged against a project budget. These charges are treated as a fringe benefit to the student.
- Current schedule of fees is always available from the SPAR Office.
- When support for tuition is used as a cost-sharing element of the budget, the instructional fees are provided by the Graduate College. General Fees are charged to the grant. Medical insurance costs may be paid either by the grant or directly by the student.

Facilities and Administrative Fees (Indirect Costs):

- The University will recover Facilities and Administrative Fees (formerly called indirect costs) on programs sponsored by federal agencies at the rate currently negotiated with its cognizant federal agency, the Department of Health and Human Services, except as officially prohibited or limited by agency policies for specific programs. As a rule, F&A costs affixed to projects sponsored by non-federal agencies are recovered at the same rate as that for federal agencies, or at a rate negotiated with the non-federal agency by the Office of Sponsored Programs and Research. You may not negotiate an indirect cost rate with any sponsor without the approval of the SPAR Office.
- F&A Fees are negotiated with our federal cognizant agency every three years. The agency determines both an on-campus and off-campus rate. The off-campus rate stipulates that no University resources will be used in the execution of the project. OMB A-21 guidelines and the SPAR Office determine when the off-campus rate applies.
- Information concerning the current F&A rate can be obtained from the **Office of Sponsored Programs and Research** home page.

Will the University ever waive its entitlement to F&A fees?

Some funding agencies do not provide for the recovery of F&A fees and have standard, established policies. There are circumstances where the University will want to support a project by assuming all or part of the project's F&A fees. **These occasions are the exception rather than the rule** and usually pertain to funding provided by private foundations.

What if my project is such an exception?

When an exception is standard for and justified by the agency, the University will waive its entitlement to F&A fees, regarding the loss as "under-recovery" of indirect cost. When in doubt or when there are questions concerning the F&A fee, please call the Office of Sponsored Programs and Research for clarification.

Are F&A fees negotiable?

It is important to remember that The Facilities and Administrative Fee rate **is not negotiable on any federally funded program or project. The Office of Sponsored Programs and Research under the Vice Provost for Research is the only office authorized to negotiate rates different from the federally negotiated rate.**

How does the distribution of recovered facilities and administrative fees benefit my department and college?

The University's standard policy on the distribution of F&A fees is that the department of the PI receives 20% of the recovered funds while the PI's college receives 10%. If multiple departments and colleges are involved in the same project, the F&A is distributed as referenced above; however, internal negotiations between department chairs and college deans may warrant a different distribution. In this case, the PI's department and college will be responsible for transferring the appropriate level of funds to the other department and/or college.

ENDORSEMENT OR ROUTING AND APPROVAL:

How does the routing and approval process work?

You have just completed the project narrative **proposal**, the application forms and the accompanying **budget**. You are now ready for the **third** stage of your application: submitting the completed proposal for approval. **Please remember not to staple your proposal when submitting it through the approval process.** Clipping it together will save wear and tear on your original application forms and making copies will be a much easier task.

What additional forms must accompany the proposal?

A **University Sponsored Program and Research Proposal Endorsement Form**, available in downloadable form, from the SPAR Office WWW site (<http://www.bgsu.edu/offices/spar>). The completed and signed form is your guarantee that any University commitments to the project have been officially approved and will be provided at the time of award. This form identifies any cash or in-kind commitments and names their sources.

A Disclosure of Possible Conflict of Interest Form.

In the case of the NIH and the NSF, faculty members are required to complete a Disclosure of Possible Conflict of Interest. The BGSU policy requires disclosure for all proposals. **ALL** grant personnel who have been identified prior to your proposal submission are also required to complete this form which is available with the routing form from the website.

As you submit your proposal for endorsement, all application pages that require **original** signatures will be signed in the order established by the Office of Sponsored Programs and Research. Any specific guidelines creating unusual requests should be attached to the proposal during the endorsement and approval process for clarification purposes.

What signatures are required before the proposal is accepted by the Office of Sponsored Programs and Research?

You are required to obtain the following signatures before bringing the proposal package:

(Proposal Package = Endorsement Form + Application Forms + Proposal+ Budget + Certifications):

- Your signature
- The signature of your Co-Investigator(s)
- The signatures of your Chairperson and that of your Co-Investigator(s) (if different)
- The signature of the Dean of your College and that of your Co-Investigator(s) (if different)

Once the proposal is approved at the department and college levels, the Office of Sponsored Programs and Research staff will conduct a **final review** of the proposal for appropriateness and completeness and will obtain the approval of the remaining offices. The final authorization is the responsibility of the SPAR Office.

How much time do I need for endorsement?

Bring the completed **original** proposal to SPAR for review and signing by the remaining University offices **five working days** prior to your **established deadline**. Keep in mind, you should allow yourself some additional time (a day or two) to make any necessary changes determined during the review process and for copying and mailing the application.

Remember: When Office staff begin the endorsement of multiple proposals for any given deadline, it is possible that some vital details may be overlooked if appropriate timeframes are not followed. **For this reason, this five-day policy is strictly enforced. Please allow time for adequate review by the Administrative Offices.**

Remember: Most proposals for external support of academically related research involve University contributions. In order to assure that cash and time commitments to a project are met in an appropriate manner, it is important that you **discuss the proposal and secure fiscal commitment** from the departmental chair and the college dean **in advance of the submission deadline**.

Make certain that you have filled out all of the required application and assurance **forms** and have included them in the endorsement package. This will save you time and stress.

Does this process change if I am applying to a private foundation?

No. Any proposals to private foundations and some corporations are also endorsed by the University Development Office. Under certain conditions, some awards are considered gifts to the BGSU Foundation. **The Office of Sponsored Programs and Research makes every effort to ensure that both gifts and grants are appropriately processed to support your work.**

How many copies of my proposal do I need to submit?

You should be certain that your proposal has passed through the University endorsement process **before** you print multiple copies. It is safest to not create multiple copies until the proposal has received the required University endorsements and a copy of the endorsement form has been returned to you with full approval.

- Once the endorsement process has been **completed**, you will need to provide **two copies** of your submitted proposal to the SPAR Office. Please provide a copy to your department and one to your College office as required. It becomes important during the agency review for the SPAR staff to have access to the submitted proposal in order to answer any questions.
- Most all sponsors now require electronic submissions. We will be glad to lead you through this process and give you guidance. Please notify our office ahead of time if you plan to submit your proposal electronically to insure that key personnel are available to assist you.

COMPLIANCE WITH REGULATIONS:

By law the University is required to conduct sponsored program activities in compliance with all federal, state and local laws and regulations governing those activities. If your proposed project involves the use of human subjects, research animals, biohazardous materials or radioactive isotopes, the protocols for conducting the research are subject to federal guidelines. In some cases, compliance with these guidelines must be demonstrated **before** funding can be committed by the agency. In any case, **you must be in compliance with federal regulations before your project can be initiated whether or not the research is conducted on or off campus**. You should contact our staff at the SPAR Office for policies concerning research that must comply with Federal and State guidelines. Some concerns about research regulations are addressed below:

What is the University policy on the use of human subjects?

The University recognizes value of human subjects in research and its responsibility to protect such subjects. A detailed statement of policy and procedure can be found under “Human Subjects” at the SPAR website. The Office of Sponsored Programs and Research has the primary responsibility for assuring that submitted proposals have been reviewed for compliance with federal regulations. The responsibility for **protocol review** is delegated to the Office of Compliance through the Vice Provost for Research. Protocol review responsibilities of the University Human Subjects Review Board (HSRB) are overseen and managed by the Research Compliance Officer.

What is the University policy on the use of animals in research?

The Vice Provost for Research is designated as the responsible “Institutional Official” under the Animal Welfare Act. The responsibility is delegated to the Director of the Animal Research Facility for animal care, including veterinary care, and to the Institutional Animal Care and Use Committee in the case of compliance with The Animal Welfare Act and Public Health Service Policy on the use of laboratory animals. A more detailed statement of the policies regarding the care and use of animals in research and teaching can be found at <http://www.bgsu.edu/offices/spar/IACUC/>. If you have questions about animal care, you may refer to the Director. Documented problems should be referred to the Institutional Animal Care and Use Committee (IACUC), which is constituted and carries out its responsibilities according to the provisions in the Animal Welfare Act. Briefly, the responsibilities of the IACUC include reviewing and granting or withholding of approval or requiring modification of protocols for the use of animals in research and teaching; semiannual review of the program of care and use of animals; semiannual inspection of animal facilities; preparation of reports of its evaluations of program reviews and facilities inspections; making recommendations to the "Institutional Official" regarding any aspect of the animal program, facilities or personnel training; and reviewing and, if warranted, investigating concerns about the care and use of animals in research and teaching.

What if I need to use biohazardous materials in my research?

The University will comply with federal, state and local laws and regulations governing the procurement and use of biohazardous materials in research and teaching. This includes, but is not limited to the *Guidelines for Research Involving Recombinant DNA Molecules (NIH Guidelines)*. The Office of Compliance has the primary responsibility for oversight for the use of biohazardous materials in research and teaching. This responsibility is delegated to the Institutional Bio-safety Committee.

What if I need to use radioisotopes and x-ray generating sources in my research?

The University recognizes that radioisotopes and x-ray generating sources are important research tools and will provide a mechanism for faculty to obtain them. Accordingly, the University will adhere to the terms of the license agreements with the U.S. Nuclear Regulatory Commission and the Ohio Department of Health regarding the procurement and use of radioisotopes and x-ray generating sources in research and teaching. The Office of Compliance has the primary responsibility for the use of radioisotopes and x-ray generating sources at the University. This responsibility is delegated to the Radiation Safety Officer and the Radiation Safety Panel.

What if I need to use human remains in my research?

The University will comply with federal, state and local laws and regulations governing the procurement and use of cadaver and archeological specimens for research and teaching. This includes, but is not limited to, the Native American Indian Graves Protection and Repatriation Act. The Office of Sponsored Programs and Research has the primary responsibility for the use of human remains in research and teaching.

ETHICAL RESPONSIBILITIES:

The university expects that you will not only comply with all federal, state, local and university regulations but that you will conduct your research in an ethical manner, abiding by the following guidelines:

Misconduct in Research:

On November 19, 1990, Bowling Green State University Board of Trustees approved the Misconduct in Science policy and procedures (available at http://www.bgsu.edu/offices/spar/policies_procedures/policies/ResearchMisconduct.pdf.) The Office of Sponsored Programs and Research has the primary responsibility for handling issues related to misconduct in research.

Conflicts of Interest:

The following policy statement, excerpted from *Conflict of Interest Policy for Engaging in Government-Sponsored Research*, was approved by the Board of Trustees on June 14, 1995:

Bowling Green State University actively encourages and participates in interaction with both the public and private sectors as an important component of its research, education, and public service activities. The University encourages the recruitment, retention, and recognition of individuals with creative abilities who can contribute to technology transfer and other interactions with external entities (both private and public) consistent with their primary commitment to the University. For the purpose of this policy, *external entity means any corporation, partnership, sole proprietorship, firm, franchise, association, organization, holding company, joint stock company, receivership, business or real estate trust, or any other non governmental legal entity organized for profit, not-for-profit, or charitable purposes.* Employees involved in such interactions may receive personal financial compensation in accordance with the principles and guidelines provided in this policy. Activities supported by grants and contracts from public and private entities provide a valuable source of funds and equipment for the University. Professional interactions, including consulting arrangements, between employees and public entities and private businesses advance the University's ability to provide a high quality research and educational experience for students and enhance employment opportunities for students. University licensing of technology, employee's consulting, assisting in new business start-ups, and other forms of technology transfer to both public and private entities are critical to meeting society's needs. The University is committed to fostering the welfare of the State of Ohio through interaction by the University with other public and private entities.

At the same time, the University and its employees are committed to conducting themselves and the University activities in accordance with the highest standards of integrity and ethics. This includes the identification of the potential for conflicts of interest and the assurance that they do not improperly affect University activities. It is the purpose of this policy to set forth the principles for identifying such potential for conflicts and the procedures for reviewing and addressing conflicts that occur.

The Office of Sponsored Programs and Research has the primary responsibility for handling issues related to conflict of interest in government-sponsored research. This responsibility is delegated to the Associate Vice Provost for Research Administration. More information related to conflicts of interest can be found at the SPAR website.

POST-AWARD ACTIVITIES

HOW CAN THE OFFICE OF SPONSORED PROGRAMS AND RESEARCH HELP ME AFTER A GRANT IS AWARDED?

Congratulations! Your project has been funded! You might think that our interest is at an end now that you have achieved your goal, but the fun has only just begun. There are still many monitoring and compliance issues with which we will assist you.

What are my post-award responsibilities?

You are ready to get started on your project and the award notice has been sent to the Office of Sponsored Programs and Research. The Office will obtain the appropriate signature of the **Authorized University Representative** in order to accept the award, sign the contract or otherwise process the award. If an award document is sent by the funding source directly to you, you are responsible for forwarding such document intact to the SPAR Office for processing. ALL originals are signed and retained by the Office in the awarding process. It is **never** appropriate for you to sign on behalf of the University.

Please Note That:

All grants and contracts will be considered to have been made to BOWLING GREEN STATE UNIVERSITY and therefore are subject to all of its rules and regulations. To be more specific, payments made to the University by any outside agency or benefactor, which may be construed to have been made to an individual or department, are to be coordinated in the same manner as any other grant, and each is to be assigned a specific University Restricted Fund account number.

When can I officially start my project?

Your grant will be formally accepted by the University when the President presents the award information to the Board of Trustees. Once the SPAR Office has assured acceptance of an award, your budget is entered into the Financial Management System. Grants Accounting begins to perform post-award activities and assists with expenditures. Each P.I. must complete FMS training in order to have access to his/her financial account.

What are my responsibilities in conducting my research program?

At the time of award, the Office of Sponsored Programs and Research will forward to you a copy of the award notice and a copy of any accompanying terms and conditions of award. It is your responsibility to read these carefully and abide by all conditions affecting the conduct of your research or sponsored program and the expenditure of grant or contract funds. Both the pre-award and post-award offices depend on you to be knowledgeable of the rules and regulations governing your particular grant. You, as the Principal Investigator, will be expected to assume responsibility for the direction of all programmatic aspects of the funded program as well as completing requisite forms, adhering to your approved budget, and keeping track of equipment. These responsibilities are discussed in more detail below:

Forms:

- Faculty and administrative assignments budgeted within your grant must be charged to the appropriate budget. You are responsible for working with the faculty and/or administrator's appointing college office to determine what information is needed to properly process such expenditures. These procedures are especially important if a faculty member is expecting a course release during the academic year and for faculty summer appointments paid from the grant.

- All Graduate Assistants who receive remuneration from grant funds must be appointed according to the **regular Graduate College procedures**. This process starts when you complete a Request for Graduate Assistantship Contract as required by the Graduate College.
- All hourly paid employees (classified staff and undergraduate students) budgeted as part of your grant will need to complete a time sheet each week indicating the number of hours worked. You need to sign the time sheet as budget administrator and forward to the Payroll Office. For employees paid from multiple budgets, you are responsible making sure the grant related hours are charged to the grant budget.
- All federal and pass-through federal grants require verification of the actual percentage of time spent on a grant or contract by the Investigator and any grant employees. The Grants Accounting Office is responsible for completing the Time and Effort form on a quarterly basis. The certification is made by the Principal Investigator or the chairperson or dean in the absence of the Principal Investigator. **All grant employees paid from federal funds are required to sign time and effort reports, and you as the Principal Investigator are required to verify and sign such reports. Forms for reporting time and effort certification are issued by the Grants Accounting Office and must be submitted by that office to the agency.**

Adherence to Your Approved Budget:

While many grants provide for considerable flexibility in determining allowable costs, in general, the following guidelines must be adhered to:

- Your project may not incur costs before the official award date or after the termination date of a grant unless specifically written in the award instrument or in the case of non-federal sources, in an authorizing document on record in the Grants Accounting Office.
- The Grants Accounting Office, with consideration given to your request as Project Director, will be responsible for determining whether each item of cost is allowable under sponsor and University purchasing regulations.

What if I need to deviate from the approved budget?

Deviations from a grant or contract budget are allowable only in consultation with the SPAR Office and the Grants Accounting Office. Occasionally, grants made by federal agencies provide the University with the flexibility of internally approving budget re-allocations. In those cases you are allowed to initiate re-allocations. If sponsors require pre-approval of budget re-allocations, you need to initiate requests through the Office of Sponsored Programs and Research. It is **your ultimate responsibility to prevent unallowable budget changes. If you have any doubts regarding allowable changes, you should consult with SPAR and the Grants Accounting Office.** When official University authorization for changes in budget or scope of the project is required, the Associate Vice Provost for Research Administration acts as the authorizing official.

What if there are unexpended balances in my budget when my project is finished?

If there are unexpended funds for which the sponsoring agency or organization does not require exact accountability, the balance may be transferred to a university account upon approval of the Vice Provost for Research. Any exceptions to this policy need special approval from the Vice Provost for Research. Unexpended balances are not in and of themselves cause for requesting **No-Cost Time Extensions**. An unexpended balance usually indicates that not all of the work in the project has been completed. If appropriate, the Office of Sponsored Programs and Research may request a no-cost time extension for the completion of work and the continued use of existing funds.

Equipment Identification:

When you allocate budget funds for equipment, you acquire responsibilities for the oversight of the equipment. All equipment purchased under federal grants or contracts must be specifically tagged and inventoried under one of the following categories:

- Property of the Federal Government
- Property of the University (title is vested in the University)
- Property of the University (title is conditionally vested in the University)

The Business Office at the University may request information necessary to properly tag equipment from you, as Project Director, at the time the equipment is received by the University. The equipment can be identified at the time of delivery by the Restricted Fund account to which the equipment was charged. Equipment purchased on federal grants must be separately accounted for at the end of the grant or contract period and its disposition administered according to grant regulations. If you discard equipment without following grant procedure, you are liable for any reimbursement costs assessed the University at the end of the grant period. Please review the grant conditions of award.

All equipment that is **loaned** to the University on federal grants and contracts must be tracked and all upkeep performed under the conditions presented in the loan agreement. The Business Office will retain equipment records and will notify the appropriate sponsor property officers at the termination of the grant or contract for disposal instructions.

HOW CAN THE OFFICE OF SPONSORED PROGRAMS AND RESEARCH HELP AS I CONCLUDE MY PROGRAM OR RESEARCH PROJECT?

Just as there was a procedure for applying for a grant, a procedure for accepting a grant, and a procedure for conducting a sponsored program, there is a procedure for **completing your program and reporting your** results.

REPORTING: A copy of the letter of transmittal and a copy of your report must be sent to the Office of Sponsored Programs and Research and the Grants Accounting Office at the time you submit a required interim or final technical report. Such reports will become part of the permanent grant record.

The Grants Accounting Office will assume responsibility for:

- The preparation and submission of all fiscal reports.
- The preparation and transmission of government-owned property reports on the schedule developed by the cognizant federal agency.

The Office of Sponsored Programs and Research will assume responsibility for:

- Completing required patent and inventions and new technology reports as required by federal agencies and reporting to the appropriate sponsors, including the federal government, inventions conceived and reduced to practice under specifically funded research programs.

WHAT IF MY GRANT RESULTS IN AN INVENTION OR OTHER PRODUCT USEFUL TO GOVERNMENT OR BUSINESS AND INDUSTRY?

The University mission includes involvement in regional economic development efforts. One of the contributions the institution makes to economic development is the transfer of its scientific technology to the marketplace. The BGSU Research Institute coordinates the development of intellectual property and the transfer of technology by means of licensing agreements and other activities that promote economic development. Your research may result in a novel invention or process that contributes significantly to an industrial product or you may develop a new method that revolutionizes a process – the possibilities are endless. The University encourages your activity and wants to protect its investment in you as well.

To whom does my invention or product belong? As required by State of Ohio statute any invention developed by a **University employee, which results from research or investigation, conducted in University facilities or under University auspices is the property of the University.** For more information, see the University Patent Policy accessible from the SPAR website: www.bgsu.edu/offices/spar/policies_procedures/

Who negotiates licensing agreements? Licensing agreements for University-owned technology will be negotiated by the Vice Provost for Research in consultation with the Office of Sponsored Programs and Research, Research Institute, Office of Technology Transfer and Services, the General Counsel, Patent Counsel, and in consultation with you, as the faculty inventor .

What if I need to conduct proprietary research? Proprietary research and testing will be undertaken with careful consideration of the rights of faculty to publish their results, the University to file patents and students to complete their degree requirements. If you are a student, completion of your degree requirements cannot be delayed by your participation in proprietary research and testing. Publication of research results also may not be unduly delayed.

What if I wish to exchange research materials with colleagues outside the University?

Exchange of research materials can be important to the overall progress of your enterprise. Accordingly, you may transfer research materials, if the transfer complies with all federal, state and local regulations. To protect the rights of all parties concerned in the transfer of research materials, you must carry out the transfer under the terms of a **Materials Transfer Agreement**, which will be negotiated between the external entity and the University by the Research Institute, Office of Technology Transfer and Services, and the General Counsel. This **will not** apply to situations in which you have exclusive rights to information, for example, un-sponsored or government-sponsored research results, which can be sent or received at your discretion.

STILL HAVE QUESTIONS?

We encourage you to call or e-mail any one of the following people with questions or concerns:

OFFICE OF THE VICE PROVOST FOR RESEARCH

Heinz Bulmahn, Ph.D. Vice Provost for Research/Dean of the Graduate College
Deanne Snavelly, Ph.D. Associate Dean, Graduate Studies and Research

SPONSORED PROGRAM AND RESEARCH (2-2481), spar@bgsu.edu

For **program information**, guidelines, application forms:

Tom Kornacki Associate Director/Functional Lead FMS
Robin Euler Grant Development Specialist
Jay Samelak Grant Development Specialist

For **budget, application and endorsement** assistance:

Robin Euler Jay Samelak Kris Curlis

For **Patent and Technology** Information:

Dr. Cynthia Price Associate Vice Provost for Research Administration
Dr. John Folkins CEO Research Institute
Mr. John Kane Technology Transfer Officer, Office of Tech Transfer and Services

For any **Pre-award concern**:

Dr. Cynthia Price Tom Kornacki Robin Euler
Jay Samelka Kris Curlis

OFFICE OF RESEARCH COMPLIANCE (2-7716)

For any concerns **regarding human subjects**:

Rich Rowlands, Research Compliance Officer Joe Jacoby, HSRB Chair

For any concerns **regarding animal care**:

Rich Rowlands, Research Compliance Officer Denise Hook, Director ARF
Lee Meserve, IACUC Chair

OTHER HELPFUL INFORMATION:

BGSU Federal ID number 34-6402018-A1
Firelands Federal ID number 34-6402018-A2
DUNS Number: 60-103-1677
Congressional District: #5
Ohio House District: #4
Ohio Senate District: #2
Animal Welfare Assurance: A3536-01
Human Subjects Assurance: FWA00003853

Authorized Institutional Representative:

Heinz Bulmahn, Ph.D., Vice Provost for Research

Fiscal Agent:

Jennifer Milligan, Grants Manager (2-5807)