

Pre-Award – External Funding

<u>Pre-Award Task</u>	<u>PI Expectation</u>	<u>Staff Expectation</u>	<u>RO / ORI Expectation</u>	<u>Chair Expectation</u>	<u>Associate Dean Expectation</u>
Finding Funding Opportunities	<p>Internal Funding opportunities.</p> <p>Identify funding using WMU's Grant Forward by signing up for notifications of relevant opportunities.</p> <p>Browse ORI's website for training and resources, including External Funding on Funding Opportunities. Sign up for ORI's newsletter.</p> <p>Notify Department Chair.</p>		<p>ORI maintains the Grant Forward website, and offers general online resources on finding Funding Sources.</p> <p>RO can help narrow selection between a few possible external projects.</p>		<p><i>Available for mentoring by scheduling at https://calendly.com/Luchara</i></p> <p>Share funding opportunities with faculty as identified.</p>
Selecting a Funding Opportunity	<p>Decide which funding to pursue. If you want advice on which to prioritize, contact RO.</p> <p>Notify your Research Officer in ORI as soon as you decide to apply for external funding.</p> <p><i>As soon as you decide to apply, but at least 10 business days prior to the proposal due date:</i></p> <p>Fill out the Plan to Initiate New Internal or External Grant Proposal form to notify Staff, Associate Dean, and Chair.</p>	<p>Offer support to connect PI with ORI resources and RO. Answer questions about CEHD processes, resources, and expectations.</p> <p>Connect PI to online training resources.</p> <p>Update grant tracking records to indicate that the PI is applying.</p>	<p>RO will review funding, confirm that the PI is eligible to begin applying, and review requisite proposal elements.</p>		<p><i>Available for mentoring by scheduling at https://calendly.com/Luchara</i></p>

<u>Pre-Award Task</u>	<u>PI Expectation</u>	<u>Staff Expectation</u>	<u>RO / ORI Expectation</u>	<u>Chair Expectation</u>	<u>Associate Dean Expectation</u>
Writing a Proposal	<p>Responsible for developing a proposal and a budget that complies with applicable WMU and sponsor policies and regulations.</p> <p>Share Budget with Central Services Staff for initial review.</p> <p>Follow 7/5/2 internal ORI deadlines. (This is a CRITICAL step – failure to follow deadlines may result in losing the opportunity to submit.)</p>	<p>Internal Awards: Work with PI to ensure they have budget and HR support within Central Services.</p> <p>External Awards: Answer questions about department / internal resources. Review final budget before submission in preparation to answer budget questions of Chair and Dean level Cayuse approvers.</p>	<p>Internal Awards: None, ORI does not handle internal funding.</p> <p>External Awards: Facilitate PI access to sponsored systems.</p> <p>Review initial budget, and proposal to ensure it meets university and funder expectations. Make suggestions for edits.</p>	<p>Review workload with PI, and discuss any projected impact if award is received.</p> <p>Overload is never allowed when working on sponsored projects.</p>	<p><i>Advise in Budget Development – what things should be considered, what are reasonable expenses, etc.</i></p> <p><i>Available for mentoring by scheduling at https://calendly.com/Luchara</i></p>
Submitting an Internal Proposal	<p>Submit the proposal after you have ensured the budget, workload, and resource commitments have been reviewed and approved.</p> <p>View funding specific information to determine submission details.</p>	<p>Review budget before submission for verification of rates.</p> <p>Update tracking spreadsheets with submission date, total funding, and possible impacts on hiring or workload.</p>	<p>None, RO's only handle external funding.</p>	<p>Review budget and ask questions of staff as needed. Review overall proposal, including workload and resource commitments.</p>	

<u>Pre-Award Task</u>	<u>PI Expectation</u>	<u>Staff Expectation</u>	<u>RO / ORI Expectation</u>	<u>Chair Expectation</u>	<u>Associate Dean Expectation</u>
Submitting an External Proposal	Enter all relevant information in Cayuse . Follow 7/5/2 internal ORI deadlines. https://wmich.edu/research/proposal-submission	Update tracking spreadsheets with submission date, total funding, and possible impacts on hiring or workload.	Approve the proposal in Cayuse, and route.	Review proposal in Cayuse, including F & A at the department level, workload, etc.	Review proposal in Cayuse, including submission through correct department or center.
Accepting an Internal Award	Notify Department Chair and Central Services Staff of award.	Central Services team will provide post award budget support.	None, RO's only handle external funding.	Support PI in connecting with Central Services Staff for post award management.	
Accepting an External Award	Ensure notice is shared with RO, Staff, and Chair. Review terms and notify Staff and Chair of any changes. Notify RO of intention to accept or decline the award.	Review any changes with PI, and update the tracking spreadsheet with decision. Notify CEHD Marketing Team of award.	Review award terms and conditions. Advise PI if any updates need to be made. Formally accept the award on behalf of the university.	Update any workload planning documents if needed.	

Award Start-Up: External Funding

<u>Award Start-Up Task</u>	<u>PI Expectation</u>	<u>Staff Expectation</u>	<u>Chair Expectation</u>
Pro-card application & Purchasing	Procurement Card Application Form Confirm purchase aligns with grant budget category. Submit all receipts to college grant Admin, and specify where to allocate the expense. Sign off on monthly report when sent by the staff. Pro-card Tips	Allocate purchases in Works system and sign off before month end. Store records for audit purposes, and produce upon request. Print monthly report, sign, collect PI signature, and send with all receipts to Grant & Contracts.	Provide the department fund and cost center that will be charged if purchases and expenses are not allowable on the grant.
Pre-Award Backstop	Fill out: Pre-Award Account Request Form	Process form once received from PI.	Provide the department fund and cost center that will be charged if expenses are not allowable on the grant. It is understood that if funding is not received, or expenses have been incurred prior to the beginning date of the award document, or costs are determined to be unallowable these costs will be posted to the respective department's fund and cost center.
Planned Effort/Cost Share Propose or Request Cost Share Form	Provide percentage or dollar amount to be spent on grant project, already confirmed with Department Chair.	Fill out Planned Effort Form based off amount PI provided and submit to Grants and Contracts. Facilitate JES after approval from Grants and Contracts if needed.	Determine workload with all teaching, service, and grant assignments in coordination with AAUP contract regulations and not to exceed 100% of effort among all assignments. *Faculty on buyouts for federal grant assignments cannot hold overload or faculty additional assignments in the term in which they have a grant buyout. They must remain at 100% of effort among all workload assignments.

<u>Award Start-Up Task</u>	<u>PI Expectation</u>	<u>Staff Expectation</u>	<u>Chair Expectation</u>
Additional (Summer) Appointments	Provide summer workload and/or dollar amount per project. Communicate appointment in alignment with Summer Salary Worksheet	Obtain approval of Summer Salary Worksheet. Facilitate letter, route for signature, load in Peoplesoft. Note: Staff can support PI by running multiple scenarios in the Summer Salary Worksheet, but cannot advise faculty on workload.	Determine summer workload in coordination with all teaching, service, and grant activities. *Faculty on paid grant assignments are limited to 95% of effort across the summer and have max earnings per each session (reference summer salary worksheet not AAUP contract). Faculty cannot teach two courses in each summer session at 22% and still have room for paid grant assignments.
DGA Appointments	Determine hiring needs, and Provide hiring information to Staff so they can facilitate the appointment. Responsible for time-sheet collection and review.	Provide budget information as requested by PI. Apply for grant tuition fund code through Banner. Facilitate letter, obtain signatures, send letter to Grad College. Enter appointment in Banner and Peoplesoft Workflow.	Approve all DGA appointments via appointment letter or internal department process (the process in which you approve grant funded DGAs and have discussed with the PI their grant budget is able to sustain the cost). *The department is accountable for covering any deficit caused by DGA appointments and will be responsible for honoring commitments and contracts to students if the grant cannot sustain the cost. Chairs will sign transaction form to acknowledge this.
Technology Purchases	Follow University IT Rules , and obtain approval from G&C for purchase, then notify staff who will work with ETS for the purchase.	Facilitate purchase request from PI by ensuring it is approved by Grants and Contracts, and contacting ETS.	Approve purchase at the chair level and ensure funding is within the grant budget from PI.

Award Maintenance: External Funding

<u>Award Maintenance Task</u>	<u>PI Expectation</u>	<u>Staff Expectation</u>	<u>Chair Expectation</u>
Budget	Ultimately responsible for budget management.	<p>Provide monthly and quarterly budgets from GLOW summaries.</p> <p>Communicate University and College procedures to PI's as needed, and provide additional budget reports as requested.</p>	<p>Request copy of reports given to grant agency to be updated of grant balances.</p> <p>The department is responsible for any deficits caused by the grant and will be responsible for funding deficits. It is the chairs discretion and responsibility on how they oversee the PIs administration of their grant budgets to ensure no overspending.</p>
Budget Revision	<p>Complete Budget Revision Form and University Prior Approval Form.</p> <p>PI is responsible for initiating change, updating Chair on workload, and working with RO to submit.</p>	<p>Provide budget revision form and suggestions when other processes are held up due to budget category in deficit. Obtain copies of finalized revision.</p>	<p>Review any impact to workload. Request copy of budget revisions once approved.</p> <p>If a specific budget category is in deficit, discuss options and impact of a budget revision with PI.</p>
Cost Transfer Request	<p>Fill out Cost Transfer Request Form to completion (Questions 1-6).</p>	<p>Process form once received from PI. JES funds once approved from Grants & Contracts.</p>	<p>Sign form to authorize transfer request of expense/payroll from department account to grant account.</p>
Sub-award Invoice	<p>Sign sub-award invoice review</p> <p>Review and sign voucher.</p>	<p>Check subaward <25K object code in budget. Facilitate Generic Voucher and return to Grant and Contracts.</p>	N/A
JES Transactions	<p>No expectations, unless PI requests funds to be moved.</p>	<p>Facilitate JES – send to Grants and Contracts for approval.</p>	N/A

<u>Award Maintenance Task</u>	<u>PI Expectation</u>	<u>Staff Expectation</u>	<u>Chair Expectation</u>
ECRT	Confirm ECRT amounts after Pre-review. ECRT - PI - Quick Guide	Pre-review based off personnel charges in GLOW and Planned Effort forms.	N/A
Account Reconciliation	N/A	Reconcile payments and revenues to general ledger, current balances, carry-forwards, revenues and grants billing	N/A
Vendor Contract	Obtain SOW, complete Sole Source Justification Form , and provide all information from vendor. Sign Purchase Requisition form.	Coordinate SOW, Sole Justification and Purchase Requisition form to Business Services and Purchasing department.	Review Purchase Requisition and sign if approved. (Business Manager also signs for purchases over \$50,000.)
Temporary Staff Appointments	Provide hiring information to Staff so they can facilitate the appointment. Responsible for time-sheet collection and review.	Facilitate letter, route for signature, load in Peoplesoft	In coordination with Business Manager, ensure equity of pay for hourly appointment across department and college. *Just because a grant budgeted to pay a specific hourly rate does not mean that rate is equitable to those holding similar positions and responsibilities.
Payroll	Collect time-sheet, review hours, make revisions if needed, sign and submit time-sheet.	Connect new hires to the Payroll Admin and provide timesheet. Answer questions as needed.	Sign off on KRONOS.

<u>Award Maintenance Task</u>	<u>PI Expectation</u>	<u>Staff Expectation</u>	<u>Chair Expectation</u>
Faculty Workload	Workload is agreed upon between PI and Department Chair.	Staff is not involved with anything regarding faculty workload.	<p>Determine workload with all teaching, service, and grant assignments in coordination with AAUP contract regulations and not to exceed 100% of effort among all assignments.</p> <p>*Faculty on buyouts for federal grant assignments cannot hold overload or faculty additional assignments in the term in which they have a grant buyout. They must remain at 100% of effort among all workload assignments.</p>
Events	Plan, coordinate, and execute events. Ensure event expenses are allowable on the grant budget.	<p>Complete Event Form and route through for signatures.</p> <p>Submit Facility Event Service Request if needed to support the event.</p>	Sign Event Form
Student Admissions			Discuss with PI and co-PI how grant impacts student admission and cohort sizes.
Liaison	Meet with award sponsors, or external award agencies if requested. If staff is to attend, approval from Business Manager required.	Meet monthly with PI. Provide regular updates. Communicate processes, policies and procedures.	Meet with PI each semester to receive regular updates on project, goals, budget, appointments, etc.
Grant Closure		File information from Grants and Contracts, and move file to Archived folder.	

--	--	--	--

Award Expenditures: External Funding

<u>Expenditure Task</u>	<u>PI Expectation</u>	<u>Staff Expectation</u>	<u>Chair Expectation</u>
Independent Contract	Provide hiring information to Staff so they can facilitate the appointment.	Facilitate Independent Contractor Form And Exhibit B Form for Federal Grants and Exhibit C Form for NSF grants. Collect W-9 if needed.	Aware of all paid services provided within the department, including grant projects. The PI on a semester/quarterly basis can provide updates on services rendered to Chair. *Business Manager signs all IC contracts and will consult with Chair when necessary.
Hiring Student Employees	Provide hiring information to Staff so they can facilitate the appointment. Responsible for time-sheet collection and review.	Facilitate hiring process and provide student with information regarding timekeeping.	In coordination with Business Manager, ensure equity of pay for hourly appointment across department and college. *Just because a grant budgeted to pay a specific hourly rate does not mean that rate is equitable to those holding similar positions and responsibilities.

Gift Card Purchasing	<p>Obtain HSIRB approval to use human subjects.</p> <p>Fill out Gift Card Purchasing Form including description.</p> <p>Keep gift card disbursement log</p> <p>* Starting March 1, 2020 all Human Subject IRB submissions must be emailed to ovpr-hsirb@wmich.edu.</p>	<p>Provide gift card purchasing form and route for signature.</p> <p>(Current WMU students not eligible – must be processed as scholarship or Prize Award)</p>	<p>Sign gift card authorization form approving purchase of gift cards as outlined in the grant budget/narrative</p>
<u>Expenditure Task</u>	<u>PI Expectation</u>	<u>Staff Expectation</u>	<u>Chair Expectation</u>
Prize Award Form	<p>Provide all student information and description of award competition</p> <p>Prize Award Form</p>	<p>Submit to financial or Account Payable based off information from PI and Prize Award Form</p>	N/A
Scholarship Forms	<p>Collect all student information, provide scholarship amount, and track scholarships</p>	<p>Facilitate payout and send the current Grant Funded Scholarship Form from SFAS.</p>	N/A
Reimbursement Vouchers	<p>Provide receipt, F/CC and justification</p>	<p>Process repayment via Generic Voucher.</p>	<p>Sign travel vouchers as supervisor</p>
Travel	<p>Complete travel authorization form and follow WMU travel polices. PI in charge of booking own airfare.</p> <p>Submit all travel receipts. Provide all travel information for students and non-employees</p>	<p>Complete Travel Expense Voucher. Student and non-employee travel authorization and reimbursement.</p>	<p>Approve travel authorizations in TA system and ensure expense items follow WMU travel policies.</p>

--	--	--	--