OFFICE OF RESEARCH, GRANTS, AND SPONSORED PROGRAMS GRANTS MANAGEMENT GUIDE

Contents

of terms and conditions, and university policies and procedures.

II. OFFICE OF SPONSORED PROGRAMS (OSP)

The KSU Office of Sponsored Programs serves as the centralized unit for the coordination of the university's

RESULTS/SIGNIFICANCE

Be sure you are clearly aware of what contribution your study will make. Either as an advancement of fundamental knowledge or as an instrument of applied science, the impact of the study must be explicit. What difference will your project make and to whom?

DISSEMINATION

The results of any study must be made available to potential users for application or replication. How will this be done? Consider presentations at professional meetings/conferences or publication of an article.

DEVELOPING A BUDGET OR COST PROPOSAL

The budget is just as important as the technical proposal. It is a comprehensive planning document that integrates all of the details for attaining the objectives of the proposal. The budgetary process should take into account preparation for long-range goals, as well as the short-term objectives.

The project budget is the instrument through which the cost of the project's activities, plans, priorities, and organization are expressed. The funding agency grants a certain amount of money to the project on the basis of the line-by-line budget estimate that is submitted as part of the grant proposal.
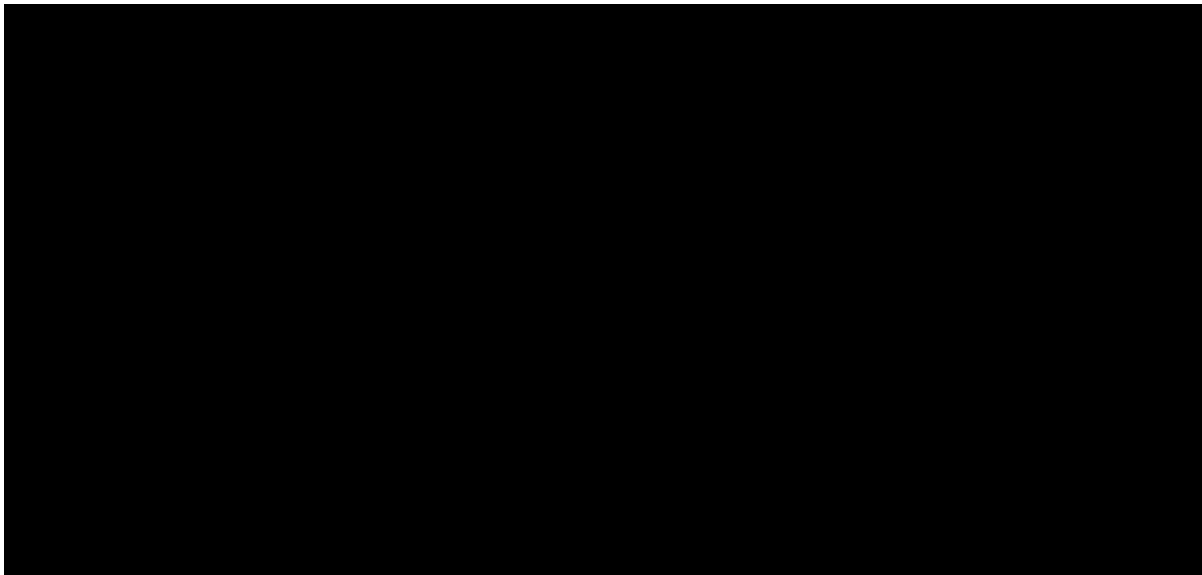
BudgetElements
Included in the budget should be provisions for the cost categories listed below as specified by the

IV. PROCEDURES FOR PROPOSAL SUBMISSION

All proposals and applications for external funding by faculty and staff, including subrecipient commitment forms and other materials involving KSU in grant applications submitted by other institutions, must be reviewed by and submitted in coordination with the Office of Grants and Sponsored Programs. The University is not obligated to accept awards for proposals that are not submitted through the Office.

Please follow the steps and timeline outlined above for coordinating the preparation and submission of a proposal with the Office of Grants and Sponsored Programs. Following this timeline will allow time for Principal Investigators to receive valuable feedback, address any errors or oversights, and ensure a smooth submission of the proposal. It will also result in a more competitive proposal.

Roles and Responsibilities

The following is a general outline of the responsibilities of the Principal Investigator, Chair, Dean, and Office of Grants and Sponsored Programs in the preparation and submission of proposals and grant applications.

The Principal Investigator is responsible for:
- Proposal development and ensuring that the proposal has technical merit.
- Budget development and ensuring that the budget items and amounts are appropriate for the project.

The Department Chair and Dean review the proposal to:
- Assure the overall soundness of the project.
- Assure consistency with the goals, objectives, and interests of their department and college.
- Assure availability of resources if awarded.

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The Office of Sponsored Programs is responsible for:

- Ensuring the proposal complies with the funding agency's regulations and guidelines, as well as the University's policies and interests.
- Reviewing and correcting the budget as needed.
- Reviewing the proposal and identifying changes that may be needed to the proposal or ways of improving the proposal.
- Verifying institutional commitments regarding matching, cost-sharing, or in-kind contributions have been obtained.

Electronic packages for submission through Grants.gov, Research.gov, or other electronic application systems must be completed by the Principal Investigator prior to release to the Office of Sponsored Programs. Faculty and staff can receive assistance and training from the Office to complete work on the electronic package upon request.

Human Subjects in Research (IRB)

KSU adheres to a rigorous policy for the protection of human research subjects in accordance with the United States Department of Health and Human Services regulations, 45 CFR 46. All research projects involving human subjects that are conducted under the auspices of the University, regardless of the funding source, must be reviewed and approved by the Institutional Review Board (IRB).

OSP staff plays a crucial role in facilitating training, education, and communication regarding human subjects, and ensures that the HRPP responds to a changing research environment and remains relevant and effective. OSP staff is responsible for convening the IRB, reviewing and renewing the IRB's registration with OHRP and Federal Wide Assurance, and assisting the IRB with the review of research. Researchers seeking a determination of exempt status, an expedited initial review, an initial full review, or continuing review must complete the appropriate human research application form. The application form is intended to facilitate the review process by providing a complete and accurate representation of the project to reviewers and allowing researchers to reflect on and address directly questions about the protection of human subjects.

Applications that meet exemption criteria will be processed quickly and normally reviewed within a week following receipt. Applications meeting one or more expedited review categories will be processed quickly and normally be reviewed within two weeks following receipt. Applications that require full review by the IRB must be received approximately 30 days in advance of a scheduled IRB meeting.

Use of Vertebrate Animals in Research (IACUC)
Federal regulations require that the university assure the humane care and use of animals as research subjects in accordance with the Animal Welfare Act (P.L. 99-158), located on the web at
https://olaw.nih.gov/policies-laws/hrea-1985.htm.

IACUC provides oversight of and reviews the care and use of vertebrate animals in teaching, testing, and research at the University, in accordance with the Animal Welfare Act. More information about the Animal Welfare Act and its guidance regarding IACUC can be found here:
https://www.nal.usda.gov/legacy/awic/animal-welfare-act-quick-reference-guides#Q15

For information regarding IACUC and the forms to complete for review of activities involving animal care and use, or to report an issue regarding animal welfare at the University, please contact the Office of Grants and Sponsored Programs.

The Public Health Service (PHS) Policy further requires that institutions must have on file in the Office for Protection from Research Risks (OPRR) of the National Institutes of Health (NIH) an approved Animal Welfare Assurance document before they can receive PHS research funds.

Hazardous Materials

Principal Investigators are expected to exercise all appropriate precautions when working with potentially hazardous materials. All incidents and potentially unsafe conditions must be reported immediately to the KSU Safety Officer. For more information and guidelines regarding the review of sponsored projects involving potentially hazardous materials, please contact the Office of Sponsored Programs.

V. POST-AWARD ADMINISTRATION

STEP 1: NOTIFICATION /AWARD ACCEPTANCE

In most cases, the Chief Financial Officer (CFO) and the Office of Sponsored Programs will be among the first to receive notifications of an award. If the OSP is not initially included in communications regarding an award, the Principal Investigator and other University officials should reach out to the OSP to provide information about the award and get help with next steps.

After receiving notification of an award, the Office of Sponsored Programs consults with the

The Grants Accounting Office will assign a grant code and fund number for the award and account establishment in the University's financial reporting system. Both the Office of Sponsored Programs and the PI are notified once the account number is assigned.

Grant activity is recorded in the "2" ledger. Accounting Services will assign the fund number and establish it on the general ledger and in other locations. Grants must be established according to function and expense purpose which are: Instruction, Research, Public Service, Academic Affairs, Student Support, Instructional Support, Operations and Maintenance, Scholarships and Fellowships.

If an award requires a one-for-one cash match, a cost sharing account must also be established, to which charges will be applied. If the cost sharing is in the form of in-kind services, the Principal Investigator should maintain records tracking the delivery of the services and showing the value

No vendor should begin work until the vendor has received an official Purchase Order from the University. The Purchase Order authorizes the work and binds the University to pay the vendor upon completion of the work. Requestors are required to provide Procurement Services with a written quote for every requisition to document the vendor's price, product availability, shipping date, etc. Kentucky State University works on a NO PO - NO PAY policy. This means that any faculty/staff who need to purchase a product and/or services must have a pre-approved purchase order (PO) to provide to the vendor. Invoices from Vendors must reference this PO number or they will be disputed.

On-line Purchases of Supplies: The University currently uses specific vendors for the purchase of supplies. While we are expected to use these vendors to purchase general office supplies, certain items may, with the approval of the Purchasing manager, be purchased from other vendors.

Printing: The Ricoh Copy Center provides printing services for the campus. If the Center is unable to perform or complete the job, a suitable vendor will be selected. All purchases estimated to cost over $5,000 must be competitively bid and must have CPE approval.

Equipment purchases must be carried out using the Financial Reporting system. Except in extreme emergencies, Purchasing Cards may not be used for this purpose. All equipment purchases must be tagged by the Asset Management staff. The Asset Management policy is attached.

STEP 5: SUBRECIPIENTS

Sub-recipients: The Office of Sponsored Programs and Grants Accounting are responsible for ensuring compliance with federal and other applicable regulations.

Roles and Responsibilities

Principal Investigators: Principal Investigators (PIs) assisted by the OSP staff are primarily responsible for monitoring sub-recipients to ensure their compliance both with federal regulations and with the primary and sub-recipient award terms and conditions.

Department Administrators: Department administrators (chairs, deans) are responsible for assisting PIs in the implementation of their projects at the departmental and school levels. This includes monitoring sub-recipient activities including review of invoices, requests for reimbursement, and reviewing reports. Department administrators will report, as directed by the funding agency, the results of their monitoring activities for each of their sub-recipients.

KSU's Office of Sponsored Programs /Grants Accounting: The KSU Office of Sponsored Programs (OSP) together with Grants Accounting (GA) and University Compliance Officers are responsible for ensuring that sub-recipient monitoring procedures are compliant with federal and other applicable regulations and are consistent with sound business practices. OSP and GA will provide further training, monitoring, and guidance in interpreting applicable regulations and sub-recipient award terms and conditions and in interpreting and executing these Guidelines.

Sub-recipient Setup

When applicable, the OSP will prepare and issue subcontracts to sub-recipients when identified in the prime award. As recipients [...]

a. Payroll records/data.

b. Copies of paid invoices showing the cost of items purchased.

c. Descriptions of services rendered by consultants including hourly rates and time reports.

d. Details of incurred travel charges stating the purpose, airfare, meals, ground transportation, and other costs.

e. Costs determined b.

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the funding agency. The Principal Investigator should notify OSP in writing about the need for a no-cost extension at least forty-five (45) days prior to the expiration date of the award and provide reasons why a no-cost extension is needed. OSP will work with the Principal Investigator to obtain the funding agency's approval.

STEP 11: TRANSFER OF AWARD FROM A PREVIOUS INSTITUTION

A new faculty member may wish to transfer an award from a previous institution to the university. Such a transfer must have the approval of both the funding agency and the previous institution. If approval is granted, the Principal Investigator should prepare a new or revised proposal for internal processing following standard OSP procedures.

Occasionally a Principal Investigator may accept an appointment in another institution before the expiration of an award received while employed by the University. The transfer of an award to another institution isis