

**GUIDELINES FOR SPONSORED
PROGRAM ADMINISTRATION**

at

Case Western

Reserve

University

FALL 2000

INTRODUCTION

Now, more than ever, the escalating cost of academic programs and limited availability of University funds makes it necessary for faculty and research staff to apply to public and private organizations to support research, training and other projects. All requests for external funding of University activities are institutional actions that require the administration by, and approval of, either ORA or the appropriate program within the University Development Office - usually Corporate or Foundation Relations. Both the type of sponsor and the type of funding request determine deciding which office should be involved. ***Before completing an application to a private foundation, corporation, or corporate foundation contact the Office of University Development, Corporate and Foundation Relations.***

TYPES OF PROPOSALS

A proposal is a request for support of sponsored research, training, or program projects, and generally consists of a cover page, brief project summary, technical or narrative section, biographical sketches of the key personnel, and a detailed budget. Common proposal types include:

Solicited proposals, submitted in response to a specific solicitation issued by a sponsor. Such solicitations, typically called Request for Proposals (RFP) or Request for Quotations (RFQ), are usually specific in their requirements regarding format and technical content, and may stipulate certain award terms and conditions. Broad Agency Announcements are not considered formal solicitations.

Unsolicited proposals submitted to a sponsor, which has not issued a specific solicitation but is believed by the investigator to have an interest in the subject.

Pre-proposals requested when a sponsor wishes to minimize an applicant's effort in preparing a full proposal. Pre-proposals are usually in the form of a letter of intent or brief abstract. After the pre-proposal is reviewed, the sponsor notifies the investigator if a full proposal is warranted.

Continuation or Non-Competing proposals confirm the original proposal and funding requirements of a multi-year project for which the sponsor has already provided funding for an initial period (normally one-year). Continued support is usually contingent on satisfactory work progress and the availability of funds.

Renewal or competing proposals are requests for continued support for an existing project that is about to terminate, and, from the sponsor's viewpoint, generally have the same status as an unsolicited proposal.

POLICY CONSIDERATIONS

Appropriateness

University faculty have the right to pursue research of their choosing, as long as that research: is within the guidelines of scholarly quality; is accessible to all interested scholars; and is in compliance with the laws of the land. More specifically, only proposals to sponsors whose terms

and conditions allow freedom of access to research results and publication are acceptable to CWRU. The University does not permit government classified research, research projects that do not permit the free and open publication, presentation, or discussion of the results, nor the exclusion of hiring foreign nationals.

Principal Investigator Eligibility

Full time faculty members are eligible to serve as principal investigators (PI) or project directors on sponsored projects. Within certain limitations and under certain circumstances other titles such as senior research and research associates, senior lecturers, and emeritus faculty are also eligible.

Principal Investigator Responsibility

The principal investigator or project director is responsible for the conduct of the research or other activity being supported by a sponsored project. Responsibility includes the technical direction of the work and other contractual obligations such as reporting, proper cost assignment, and supervision of project personnel and subcontractors.

Conflict of Interest

Conflicts are most likely to arise when a proposal is submitted to a company where the CWRU investigator(s) or a member of the investigator's family has a financial interest. The university review form contains a question that asks if the principal investigator on the proposed project has current or pending obligations that could create a conflict of interest if the proposal were funded. When such potential exists the appropriate Dean or Vice President will review the circumstances in accordance with CWRU's Policy.

CWRU policy requires that a conflict of interest disclosure form be completed at least once a year by every person in the institution with authority for administrative or academic program oversight. For those who receive U.S. government-sponsored research funding, a "Supplemental Conflict of Interest Disclosure for U.S. Government-Sponsored Research" form must be completed each year. The University will neither submit a proposal to a federal agency nor accept or administer federal grants on behalf of an investigator who has not submitted the required disclosure forms. Contact the Provost Office at 368-4388 for more information.

Consortiums

A consortium arrangement exists when two or more organizations agree to participate in a collaborative project. It is not necessary for a consortium to be a formal or legal agreement. One participant will be designated as the lead institution at the time of proposal submission and accepts full funding and responsibility from the sponsor. Subcontracts are then used to transfer part of the work and appropriate funds to the other participant(s). All conditions imposed by the sponsor on CWRU are also imposed on the subcontractor(s).

Consultants

Consultants are independent contractors and not employees or agents of the University. Special review and approval procedures are required if a project anticipates using consultants. Designation of independent contractor status is governed by the Internal Revenue Services' Code of Common Law. CWRU may be subjected to significant institutional tax penalties should the individual be incorrectly classified as an independent contractor. In addition, contracting with an independent

contractor may expose the University to significant financial risk if the consultant has limited net worth or inadequate insurance coverage.

The use of project funds for the payment of fees to consultants is allowable under the conditions indicated below. Charges to project funds may include fees, travel, and supporting costs (per diem or, where applicable, subsistence). When included in the proposal and awarded in the budget, the use of consultants is governed by the following federal government policies:

1. There must be evidence that the services to be provided are essential and cannot be provided by persons receiving salary support under the grant.
2. There must be evidence that a selection process has been employed to secure the most qualified person available.
3. There must be evidence that the charge is appropriate considering the qualifications of the consultant, his/her normal charges, and the nature of the services rendered.

Most federal agencies cap the daily rate at which may be paid to a consultant. (For example, the National Science Foundation's published daily rate as its maximum daily consultant pay rate is 453.00 daily or \$56.63 hourly).

Questions concerning the use or status of an independent contractor should be directed to Human Resources well in advance of the proposal deadline. For additional information on procedures for hiring and paying consultants, please contact Human Resources at (216) 368-3270.

Contracts

At the time of proposal submission a sponsor will often require an indication of what terms and conditions will be acceptable to CWRU in the event of an award. Investigators who are aware of special sponsor requirements should discuss them with the Contract Officer in ORA well in advance of the proposal deadline.

CWRU will normally only enter into agreements that adhere to the following principles: the research is conducted on a best efforts basis without guarantee of success and without financial risk or liability to the University; costs are fully reimbursed unless cost-sharing has been approved; and, there are no restrictions on the dissemination of the research results except: 1) those that relate to the protection of a sponsor's proprietary information; 2) the rights of privacy of individuals; or 3) establishing rights in patentable inventions and other intellectual property.

Public Law 95-507 requires that every contractor awarded contracts exceeding the simplified acquisition threshold must agree to subcontract with small, small disadvantaged, and women-owned businesses to the maximum extent practicable. Each contract with anticipated subcontracting opportunities and which is expected to exceed \$500,000, must have an approved subcontracting plan for the particular contract prior to award. The goals established for small, small disadvantaged and women-owned businesses must reflect a "good faith" effort to provide maximum practicable subcontract opportunities.

For assistance with the small business subcontracting plan contact Accounts Payable at 368-2576.

Intellectual Property

Intellectual property is addressed in the terms and conditions negotiated by the Office of Research and Technology Transfer when accepting an award. For most awards CWRU will retain ownership of intellectual property developed on sponsored projects in order to avoid conflicting commitments to various sponsors. In the case of patents, policy requires the University to retain ownership unless a special waiver is approved by the Vice President for Research and Technology. Sponsor rights are protected through appropriate licensing arrangements.

As with patents, CWRU prefers to retain ownership of copyrights. In some instances CWRU will allow the sponsor to own the copyright on deliverable reports, while retaining the right of use for University purposes.

Limited Proposal Submissions

Some sponsors limit the number of nominations or proposals that CWRU may submit to a particular program. When this situation occurs ORA will coordinate with the appropriate officials to review the nominations or proposals and select those that most closely match the sponsor's interests and have the best opportunity for success.

Subcontracts in Proposals

The government requires federal funds recipients to use full and open competition whenever possible. Faculty should be advised that any subcontractor chosen to perform work on a prime agreement must be justified. The Project Director must document why a proposed subcontractor is the best one to complete the project and describe how they are unique.

Most government agencies do not require prior approval of subcontracts when full documentation is provided in the main proposal. Some agencies and private entities do require prior approval and review of a subcontract before it can be fully executed.

When it is anticipated that a part of the work to be performed under a proposed contract or grant will be subcontracted to an outside organization, the principal investigator should obtain the following information from each proposed subcontractor:

1. A statement of work, detailing the subcontractor's contribution to the project.
2. A detailed budget, in sponsor format, signed by an authorized business official of the subcontractor.
3. A justification of the subcontractor's cost and pricing data. The subcontractor should submit backup documentation justifying prices in all line item categories.
4. Source selection justification detailing the unique expertise afforded by the subcontractor.
5. A "Statement of Intent to Establish A Consortium Agreement"
6. A copy of the organizations most current F & A agreement (Check with ORA prior to requesting this information, as it may already be available).

After receipt of the subcontract proposal, the principal investigator should incorporate it into the application to the funding agency.

Upon receipt of an award, ORA will prepare the official subcontract document, which will detail the terms and conditions and secure sponsor approval, when necessary.

Certifications and Representations

Many grant applications and all Request for Proposals (RFPs) contain certifications and representations which must be completed and signed by ORA. “Certs and Reps” are assurances that the University complies with federal regulations regarding conflict of interest, hiring practices, drug-free workplace, and other topics. Anyone applying for a contract or grant should remove any certifications and representations from the application materials and forward them to ORA for completion as soon as possible before the deadline for proposal submission.

SPECIAL REVIEWS/INTERNAL APPROVALS

A number of internal review and approval procedures may be required before proposal submission, or before the University can accept an award. All necessary reviews and approvals should be initiated before ORA proposal review process, thereby avoiding last minute delays. Where appropriate, approval notification should be noted on the Proposal Review Form.

University Review Form

The University review form is required for each proposal submitted. The form should be complete and accurate. The forms are available in ORA, the Management Centers Deans Offices or can be completed online and printed for signatures at <http://mediswww.meds.cwru.edu/researchoffice/forms.htm>.

Corporate & Foundation Relations Proposal Review and Approval Form

Proposals to private foundations, corporations, or corporate foundations must be reviewed and approved by the Office of University Development, Corporate and Foundation Relations Baker Bldg., Room 338 ext. 4464 **prior** to submission.

Animals Subject Approval

The University’s Animal Welfare Assurance is applicable to all research, research training, experimentation, and biological testing involving live vertebrate animals supported by the Public Health Service and conducted at this institution. The “institution” includes the following branches and major components of the University: the School of Medicine including the Wearn Research Building of University Hospitals of Cleveland and the Rammelkamp Building of MetroHealth Medical Center.

PHS regulations require that all use of animal or animal tissue used in experimentation be reviewed and approved by the Institutional Animal Care and Use Committee (IACUC) prior to study initiation. Investigators should submit a completed and signed Animal Experimentation Protocol Review Form and Personnel Health and Training Forms for all personnel involved in the animal study.

Protocols should be reviewed and approved prior to submission of the grant application. Approval is granted for one year, and may be renewed for subsequent years by submitting a completed annual continuation form on the anniversary of the approval. A complete protocol should be submitted every four years. Studies may begin on submission of evidence that the research project has been peer-reviewed or reviewed internally.

Protocols are intended to support a series of experiments conducted for a research project. If the project is supported by several sources of funding, these sources should be listed on protocol forms and annual review forms. Do not submit duplicate protocols.

The Institutional Animal Care and Use Committee (IACUC) is housed in the School of Medicine, WG-77. It is charged with reviewing all related activities.

For more information and/or application materials, please contact:

Diana Plesec
IACUC Coordinator
Phone: (216) 368-3815
e-mail: djp@po.cwru.edu

Theresa Bridges
IACUC Assistant Coordinator
Phone: (216) 368-6979
e-mail: tdb3@po.cwru.edu

Or visit their website at: <http://mediswww.meds.cwru.edu/researchoffice/iacuc/index.htm>

Hazardous Materials/Chemicals

All laboratories must have a safety plan on file in the Department of Occupational and Environmental Services (DOES). All personnel working in a laboratory must complete training classes held by DOES. DOES issues guidelines to monitor the use of hazardous chemicals, radioactive materials, and any other substances that can affect the health and welfare of the people or the environment.

For more information contact:

Dr. W. David Sedwick
DOES Director and Radiation Safety Officer
Phone: (216) 368-5862
e-mail: wds@po.cwru.edu

Richard A. Dell
Assistant Director and Safety Services
Phone: (216) 368-5864
e-mail: rx7@po.cwru.edu

Dr. William P. Stephany
Assistant Director and Assistant Radiation
Safety Officer
Phone: (216) 368-8872
e-mail: wps3@po.cwru.edu

Todd Crawley
Facilities Safety Manager
Phone: (216) 368-5328
e-mail: tac9@po.cwru.edu

All other Departmental Inquiries please call 368-2907 for Biological or Chemicals and 368-2906 for Radiation or email: DOES@po.cwru.edu

Biosafety

The Institutional Biosafety Committee is responsible for reviewing recombinant DNA research conducted or sponsored by the University for compliance with NIH Guidelines. For more information, please contact the Committee Chairman Dr. David Samols at 368-4544.

Human Subjects

Anyone who is affiliated with the University (including all full-time and part-time faculty, staff, post-doctoral fellows, undergraduate and graduate students) and who is planning to collect data from human subjects for research purposes and/or study data on human subjects collected by others, must conform with the regulations set forth in the “Federal Policy for the Protection of Human Subjects” (DHHS Policy 45 CFR 46, effective August, 1991) and the University’s own Multiple Project Assurance (MPA). This document assures the federal government that we have authorized institutional review boards (IRBs) to review and approve *all* research involving human subjects conducted by, or under the supervision of faculty, staff, or students, regardless of the source of funding or location of research. Research on human subjects (including questionnaires, surveys...) must be reviewed and approved *prior* to initiation of the project.

There are four IRBs including, University Hospitals IRB (UH), MetroHealth Medical Center IRB (MHMC), the Veteran’s Administration Hospital IRB (VA), and the University IRB (URC). The three hospital IRBs (UH, MHMC, and the VA) review all human research projects that originate from: 1) their staff members, 2) the CWRU departments housed in the School of Medicine, 3) the School of Nursing, Dentistry or any other department that involves patients or personnel of each hospital, as well as, 4) all projects involving the hospital’s patients or personnel, regardless of sponsor, and 5) selected proposals as requested by the URC. The URC mainly reviews behavioral research involving community populations primarily from the departments of Anthropology, Sociology, Psychology, MSASS, Engineering, and the Weatherhead School of Management.

Approval from **only one** of the four IRBs is required (except if subjects will be from two or more hospitals included in our MPA). For example, if a protocol is using subjects from University Hospitals, then the UH IRB is the only approval needed, whereas if a study only involves a community sample, the URC should review it. If a study is recruiting subjects from an institution outside of our MPA, approval of two IRBs is necessary. The outside institution’s IRB approval is required first, and then, secondarily, the approval of one of the four “institutional” IRBs is required.

Forms are available in the Office of Research Administration or on-line at:

http: www.cwru.edu/Research/ORA_Human_Research.html

Each IRB has a separate application packet and monthly meeting schedule. Please contact the appropriate administrator for more information:

Natale Polinka
Institutional Administrative Officer
Case Western Reserve University
Phone: (216) 368-4510
e-mail: nkp@po.cwru.edu

Philip Cola
Institutional Administrative Officer
University Hospitals of Cleveland
Phone: (216) 844-5568
e-mail: phil.col@uhhs.com

Betty Dunger
Institutional Administrative Officer
IRB Coordinator
MetroHealth System
Phone: (216) 778-5459
e-mail: bdunger@research.metrohealth.org

Peter Marshall
Institutional Administrative Officer
IRB Coordinator
Louis Stokes Cleveland
Department of Veteran Affairs
Phone: (216) 791-3800 ext. 4658
e-mail: marshall.peter_j@cleveland.va.gov

The Office of Research Administration oversees the MPA. If you have any general questions or concerns, please contact Christian LaMantia, Associate Director for Compliance at 368-4513 or clt@po.cwru.edu.

Required Education in the Protection of Human Research Participants

In March 2000, the University implemented a training program for all responsible/principal investigators engaged in human subject research. It involves reviewing a manual and taking an examination. Final approval of any new or renewal protocols will be held until certification is obtained.

Beginning October 1, 2000, the National Institutes of Health (NIH) will require education on the protection of human research participants for not only all investigators, but for their key personnel as well. This policy applies to all NIH applications for grants, proposals for contracts or new or non-competing awards for research involving human subjects (I.e., all projects scheduled for funding in FY 2001 or later).

Before funds are awarded for competing applications or contract proposals involving human subjects, investigators must provide a description of education completed in the protection of human subjects for each individual identified as “key personnel” in the proposed research. Key personnel include all individuals responsible for the design and conduct of the study.

The description of education must be submitted in a cover letter that accompanies the description of Other Support, IRB approval, and other information in accordance with Just-in-Time procedures.

After October 1, 2000, investigators submitting non-competing renewal applications for grants or annual reports for research must also include a description of such education in their annual progress reports. The required education applies to all key personnel involved in each different project that includes human subjects. This includes all individuals involved in the design and conduct of the study, whether or not they received compensation from the award.

In order to provide assistance to Responsible/Principal Investigators (faculty) in complying with this policy, the IRB Advisory Committee has developed an “Educational Options for Responsible/Principal Investigators to satisfy the NIH Training of Key Personnel”. This program outlines options for Responsible/Principal investigators to train their key personnel. These options include:

1. The Protecting Study Volunteers in Research examination, or
2. Website education, or
3. Independent training administered by you using the Responsible/Principal Investigator Education Checklist as a guide.

When you have properly trained all key personnel, please return the signed form to the same IRB office to which you will submit your IRB protocol. A description of this program can be included with or referred to in the required cover letter to NIH. The receipt of your IRB approval letter by ORA will indicate that you and your key personnel have met the training requirements, as well as, obtained protocol approval. For further guidance on the NIH requirement go to <http://grants.nih.gov/grants/guide/notices-files/NOT-OD-00-039.html> or contact Shay Gresham Howard at 368-6993 or Christian LaMantia at 368-4513 with any questions.

PREPARATION AND PROCESSING RESPONSIBILITIES

Principal Investigator Responsibilities

After the proposal's final text and budget are complete, the following checklist should be reviewed to ensure that the proposed project complies with both sponsor and University requirements:

1. Proposal format and content comply with sponsor guidelines;
2. Adequate resources are available to meet the project's needs (e.g., use of space, cost-share commitments);
3. Requirements for the use of animals, human subjects, RDNA, biohazards, and radiation safety have been met;
4. If a conflict or potential conflict of interest exists, the conflict has been reviewed by the respective Dean or Vice President;
5. If a subcontract is proposed, the supporting documentation has been obtained and is attached to the proposal;
6. If a consultant is proposed, the supporting documentation has been obtained and is attached to the proposal; and
7. The internal Proposal Review Form has been completed and signed by the appropriate parties, and is attached to the proposal.

The University Review Form must accompany every proposal submitted to ORA. This form provides ORA with proposed sponsor information and identifies what compliance issues exist and what institutional resources are required for the project. Investigators are responsible for completing the University Review Form and, by signing it, accept full responsibility for the project.

In addition to the investigator's signature, the Department Head or Chair and College Dean or Management Center Director must also sign the University Review Form. If the proposal is to be submitted to a foundation, a copy is sent to the Office of Corporate and Foundation Relations.

Department Administrators Responsibilities

Many departments have administrative staff who can offer proposal preparation assistance in the areas of:

- 1 Proposal editing;
- 2 Budget preparation and proper costing;
- 3 Identifying accounts for matching funds or cost-share contributions;
- 4 Providing logistical support for items such as space and personnel;
- 5 Assisting the investigator in complying with any relevant special reviews;
- 6 Coordinating documentation for subcontracts and/or consultants;
- 7 Preparing certifications and representations for signature by ORA;
- 8 Photocopying the final proposal (number of copies required by sponsor plus one copy for the department and one copy for ORA); and
- 9 Coordinating signature(s) for the University Review Form.

Division Director or Department Chair Responsibilities

The Division Director or Department Chair must approve the scientific integrity of the proposal and provide assurance that the PI has the resources to conduct the project as proposed. He/She reviews the proposal to determine the appropriateness of time commitments and to confirm titles and salary levels, the availability of space, and if the project has other requirements that must be met. If cost

sharing or matching funds are called for in the proposal, determines whether the funds are available. The director/chair states his/her approval by signing the University Review Form.

College or Management Center Responsibilities

Each College or Management Center is responsible for ensuring that major commitments of resources are appropriate for a project. They confirm the administrative components of the proposal and check to ensure that all required forms are included and filled out properly. They also check to ensure that the appropriate rates (e.g. fringe and indirect costs) have been used in calculations.

Foundation/Corporate Relations

This office must approve all application submissions to private foundations or corporations. They ensure that the specified foundation or corporation is currently accepting applications of this nature. The staff is available for assistance and should be contacted *prior* to completing the application.

Office of Research Administration Responsibilities

ORA is available to assist the investigator and/or department as needed in any phase of proposal preparation. Proposals are carefully reviewed to ensure that they comply with all University, federal, and/or state requirements, and that proposals are prepared in such a way as to meet with favorable reviews during competition. Proposals are reviewed for the following criteria:

- 1 Proposal format and content comply with sponsor guidelines;
- 2 Budget reflects adequate resources and costing detail to accomplish the project and complies with federal regulations;
- 3 Review of the University Review Form for appropriate signatures and investigator compliance with relevant special reviews;
- 4 Verification of cost-share commitments and/or matching funds;
- 5 Verification of documentation for subcontractors and/or consultants; and
- 6 Review and signature of certifications and representations.

ORA generally reviews and signs Proposal Packets on a walk-in basis. We recommend that sufficient time be allowed to resolve any issues that may arise during the signature process. We require the following:

Original and one (1) copy of:

1	Proposal Review Form
2	Budget (if required by agency)
3	Budget Justification (if required by agency)
4	Valid Human Subjects Approval, if required
5	Project abstract

ORA retains the original Proposal Review Form and the copy of the other documents. In order to return a signed original faster, we require a copy be prepared for us. Each management center also has its own proposal requirements.

Sending the Proposal to a Sponsor

The Principal Investigator is responsible for sending the reviewed proposal out to the identified sponsor. The PI should note the number of copies required by the sponsor and the deadline for submission of proposals. These guidelines should be followed exactly. The sponsor strictly enforces deadline dates. Sponsors require that the proposal either be (1) postmarked by the deadline date or (2) received by the sponsor by the deadline date. Sponsors rarely make any exceptions. If the proposal does not meet the deadline requirements it will, most often, be returned to the Principal Investigator.

A revised budget and work statement may be necessary if a sponsor notifies ORA or the investigator that the funds available for a program vary substantially from the proposed budget. Consideration should be given to whether the scope of work is of such a specific nature that reduced funding would seriously affect the accomplishment of the proposed objectives. A revised proposal is reviewed by ORA in the same manner as a new proposal.

Waiting for Sponsor Decision

The nature of the proposal review process will vary from agency to agency. Usually six-nine months elapses between the date on which a proposal is submitted to a funding agency and the date on which the award is made. In most cases, the proposal will first be subject to scientific peer review. The peer review and business committee will determine whether the proposal should be funded. Agency business officers then review all recommended proposals to determine whether the requested budget is appropriate. Because the peer review may take up to a year, it is probable for more than a year to pass between the time a Project Director submits a proposal and the time when the award is received and work may begin on the project.

During the review process, the Office of Research Administration serves as liaison between the funding agency and the Project Director and project staff. ORA may track the progress of the proposal through review, serve as an advocate for the Project Director in any necessary problem resolution with the agency, and provide additional information that the agency may require.

After the review process has been completed, the Project Director may receive informal notification that the proposal may be funded. Agency Program Officers will often discuss the proposal, including budget clarifications and negotiations, with the Project Directors before recommending support. When such discussions result in significant change in the basic project objectives, the Program Officer will request an appropriate proposal modification, which may include a budget revision.

Often, a Project Director will be notified that the proposal will be funded but with limited funding or time available to support the project. If so, the Project Director will be asked to submit a revised budget reflecting the specified amount and/or period of time. The Project Director may also be asked to make other modifications to the proposal. All significant revisions to include revised budgets must be processed through ORA.

Other Documentation that might be requested prior to an award is the updated “other support”, IRB approval and education and training certifications.

Receipt of Sponsor Notice of Award

Official grants and notifications are received either by letter or electronic notification from the Agency Grants Office. *If ORA receives an electronic notification, the award is forwarded to the PI. **This is just notification of the award, the award is not activated until an internal notice of award is issued by ORA*** Some require only "institutional acknowledgment" (unilateral). Others may require "institutional acceptance" (bilateral). Grants requiring institutional acknowledgment or acceptance are not officially recognized by an agency until such notification is received. If a Project Director receives any such notification directly from a sponsor, the original documents should be forwarded to ORA immediately. At no time can a Principal Investigator acknowledge receipt of, or accept a grant or contract, on behalf of the institution.

ORA will then review all the necessary documentation to set up or "activate" an award- based sponsored project "account" in Peoplesoft and to disseminate information necessary for successful account management to the Project Director and the department administrative staff.

If the award is a contract, ORA will review the contract agreement and negotiate any terms and conditions not acceptable to CWRU. Upon completion of the review, ORA will send a final copy of the contract agreement to the PI along with a PI acknowledgement form. Only after the PI acknowledges the contract will ORA execute the contract.

The Award

1. Awards are granted and/or contracted to the University, not to specific individuals.
2. Award notices (whether grants or contracts) are generally sent to the Office of Research Administration (ORA). ORA reviews, negotiates when necessary, accepts, and sets up awards.
3. The sponsor award notices vary considerably in their format. Generally, they contain the amount of the award, the period of the award, the name of a contact at the sponsoring agency, the method of payment or reimbursement, reporting requirements, and any terms and conditions. The University's internal Notice of Award is derived from the information contained in the sponsor's award notice.

***** NOTICE OF GRANT AWARD *****

RESEARCH Issue Date: 09/18/2000

Department of Health and Human Services

National Institutes Of Health

NATIONAL HEART, LUNG, AND BLOOD INSTITUTE

Grant Number: 2 R01 HL-12345-19

Principal Investigator: Dr. Eric Cottingham

Project Title: Proposal Development Workshop

INTERMIN DIRECTOR

CASE WESTERN RESERVE UNIVERSITY

10900 EUCLID AVE

CLEVELAND, OH 44106-7015

Budget Period: 09/20/2000 - 08/31/2001

Project Period: 12/01/1979 - 08/31/2004

Dear Business Official:

The National Institutes of Health hereby awards a grant in the amount of \$248,685(see "Award Calculation" in Section I) to CASE WESTERN RESERVE UNIVERSITY in support of the above referenced project. This award is pursuant to the authority of 42 USC 241 42 CFR 52 and is subject to terms and conditions referenced below. Acceptance of this award including the Terms and Conditions is acknowledged by the grantee when funds are drawn down or otherwise obtained from the grant payment system. Award recipients are responsible for reporting inventions derived or reduced to practice in the performance of work under this grant. Rights to inventions vest with the grantee organization provided certain requirements are met and there is acknowledgement of NIH support. In addition, recipients must ensure that patent and license activities are consistent with their responsibility to make unique research resources developed under this award available to the scientific community, in accordance with NIH policy. For additional information, please visit <http://www.iedison.gov>.

If you have any questions about this award, please contact the individual(s) referenced in the information below.

Sincerely yours,

Carol Dangel

Grants Management Officer

NATIONAL HEART, LUNG, AND BLOOD INSTITUTE

See additional information below

SECTION I - AWARD DATA – 2 R01 HL-12345-19

AWARD CALCULATION (U.S. Dollars):

Salaries and Wages	\$104,638
Fringe Benefits	\$11,879
Personnel Costs	\$116,517
Equipment	\$24,900
Supplies	\$8,798
Travel Costs	\$2,450
Consortium/Contractual Costs	\$10,000
Direct Costs	\$171,165
F&A Costs	\$77,520
APPROVED BUDGET	\$248,685
TOTAL	\$248,685

Recommended future year total cost support, subject to the availability of funds and satisfactory progress of the project, is as follows.

20	\$251,035
21	\$250,285
22	\$255,138

FISCAL INFORMATION:

CFDA Number 93.837

EIN: 1341018992A1

Document Number:

IC/ CAN / FY2000 / FY2001 / FY2002 / FY2003

HL/8424101/ 248,685/ 251,035/ 250,285/ 255,138

NIH ADMINISTRATIVE DATA:

PCC: HHHF N / OC: 41.4B /Processed: DANGELC 000918 0154

Award e-mailed to: resadm@po.cwru.edu

SECTION II - PAYMENT/HOTLINE INFORMATION – 2 R01 HL-12345-19

For Payment and HHS Office of Inspector General Hotline Information, see the NIH Home Page at <http://grants.nih.gov/grants/policy/awardconditions.htm>

SECTION III - TERMS AND CONDITIONS - 2 R01 HL12345-19

This award is based on the application submitted to, and as approved by, the NIH on the above-titled project and is subject to the terms and conditions incorporated either directly or by reference in the following:

- a. The grant program legislation and program regulation cited in this Notice of Grant Award.
- b. The restrictions on the expenditure of federal funds in appropriations acts, to the extent those restrictions are pertinent to the award.
- c. 45 CFR Part 74 or 45 CFR Part 92 as applicable.
- d. The NIH Grants Policy Statement, including addenda in effect as of the beginning date of the budget period.
- e. This award notice, INCLUDING THE TERMS AND CONDITIONS CITED BELOW. (see NIH Home Page at <http://grants.nih.gov/grants/policy/awardconditions.htm> for certain references cited above.)

This grant is awarded under the terms and conditions of the Federal Demonstration Partnership Phase III.

This grant is subject to Streamlined Noncompeting Award Procedures (SNAP).

Treatment of Program Income: Additional Costs

SECTION IV - ADDITIONAL TERMS AND CONDITIONS

FUTURE BUDGET PERIOD SUPPORT

In accordance with the NIH requirement to maintain an overall average of 4.0 years, the competing segment for this grant is being reduced by 1 budget period.

BUDGET PERIOD

This award is issued for an 11-month budget period so that the anniversary date will not coincide with the end of the Federal fiscal year. Any subsequent noncompeting budget period(s) will begin on September 1 and will be 12 months in duration. The project period end date has been adjusted accordingly.

NHLBI OPERATING GUIDELINES

Funding of this award is in accordance with the NHLBI FY 2000 Operating Guidelines, which can be found at: <http://www.nhlbi.nih.gov/funding/policies/index.htm>

CURRENT AND FUTURE YEAR LEVELS

In accordance with the October 27, 1995, NIH Guide announcement and NIH implementation, future-year recommended levels are shown as total costs (the sum of direct plus facilities and administrative costs). Adjustments to facilities and administrative costs (increases or decreases in rate or base changes) will not routinely be made for future year awards.

NHLBI ADJUSTMENTS FOR SALARY BASED AWARDS

Salary funds provided on NHLBI research grants will be adjusted if investigators receive career-type salary based awards. Examples of such awards include the Independent Scientist Award (K02, formerly K04) and other similar awards as described in the November 1993 Circulation article (Vol. 88, No. 5, Part 1). In the event that such an award is made for an investigator receiving salary support from an NHLBI grant, the Institute must be informed in writing within 30 days from the start date of the award so that any required adjustment can be made.

STAFF CONTACTS

The Program Official is responsible for the scientific, programmatic and technical aspects of this project. The Grants Management Specialist is responsible for the negotiation, award and administration of this project and for interpretation of Grants Administration policies and provisions. These individuals work together in overall project administration. For up-to-date information, you may access the NIH Home Page at <http://www.nih.gov/> and the NHLBI Home Page at <http://www.nhlbi.nih.gov/index.htm>.

Program: Dr. Christine A. Kelley (301) 435-0565 Fax Number (301) 480-2849
Grants Management: Diane Drew (301) 435-0179 Fax Number (301) 480-3310
Bruce Butrum, Grants Specialist 301-435-0177

SPREADSHEET

GRANT NUMBER: 2 R01 HL-12345-19

P.I.: Dr. Eric Cottington

INSTITUTION: CASE WESTERN RESERVE UNIVERSITY

	YEAR 19	YEAR 20	YEAR 21	YEAR 22
	=====	=====	=====	=====
Salaries and Wages	104,638	116,895	120,402	123,961
Fringe Benefits	11,879	13,271	13,669	14,073
Personnel Costs	116,517	130,166	134,071	138,034
Equipment	24,900	5,000		
Supplies	8,798	9,062	9,334	9,614
Travel Costs	2,450	2,524	2,600	2,678

Consortium/ Contractual Cost	10,000	10,300	10,609	10,927
Other Costs	8,500	8,755	9,018	9,289
TOTAL DC	171,165	165,807	165,632	170,542
TOTAL F&A	77,520	85,228	84,653	84,596
TOTAL COST	248,685	251,035	250,285	255,138
	YEAR 19	YEAR 20	YEAR 21	YEAR 22
	=====	=====	=====	=====
F&A Cost Rate 1	53.00%	53.00%	53.00%	53.00%
F&A Cost Base 1	146,265	160,807	159,723	159,615
F&A Costs 1	77,520	85,228	84,653	84,596

Principal Investigator/Program Director (Last, first, middle):

DETAILED BUDGET FOR INITIAL BUDGET PERIOD				FROM	THROUGH	
DIRECT COSTS ONLY				09/20/00	8/31/01	
PERSONNEL (Applicant organization only)				DOLLAR AMOUNT REQUESTED (omit cents)		
NAME	ROLE ON PROJECT		%	SALARY REQUESTED	FRINGE BENEFITS	TOTALS
	Principal Investigator	9	15	14,164.	3,116.	17,280.
	Principal Investigator	2.5	40	10,492.	2,308.	12,800.
	Co-PI	12	15	18,885.	4,155.	23,040.
	Graduate Assistant		100	26,000.	0.	26,000.
	Graduate Assistant		100	26,000.	0.	26,000.
	Technician		8.9	5,143.	1,131.	6,274.
	Undergrads			5,240.	0.	5,240.
SUBTOTALS				105,924.	10,710.	116,634.
CONSULTANT COSTS						
EQUIPMENT (Itemize)						
	Flexercell	\$24,900				24,900.
SUPPLIES (Itemize by category)						
	Animals	13,200				
	Chemicals	3500				
	Glassware	3700				
	Misc Supplies	2116				22,516.
TRAVEL						2,450.
	INPATIENT					
	OUTPATIENT					
ALTERATIONS AND RENOVATIONS (Itemize by category)						0.
OTHER EXPENSES (Itemize by category)						
	Publication costs	1000				
	SEM hours	3665				8,500.
SUBTOTAL DIRECT COSTS FOR INITIAL BUDGET PERIOD				\$ 161,165.		
CONSORTIUM/CONTRACTUAL COSTS		DIRECT COSTS	CCF			6,780
		FACILITIES AND ADMINISTRATION COSTS	47.5%			3,220.
				\$		171,165.

Project Setup

In order to initiate the activation process, CWRU must receive a fully executed award or amendment. As previously mentioned, these awards are normally transmitted to ORA. ORA then reviews the award documents and the corresponding proposal before preparing the award for processing.

Required Documentation for Setup

Policy

Account numbers are issued by the Office of Research Administration (ORA) when two conditions are met. Condition One: Upon receipt of valid **Award Documentation**. Condition Two: Upon receipt of all **Required Documentation**. One from Column A and all from Column B, except as noted below, are necessary.

* Only these are required for a preliminary account number.

** Only necessary if required by terms of award.

Column A Award Documentation		Column B Required Documentation	
1	An Award Letter from a non-profit sponsor	*1	A fully executed CWRU Proposal Review Form
2	A fully executed Contract with a federal, state, or industrial sponsor	**2	A Budget for the award
3	A Notice of Grant Award (NOGA) from a federal sponsor	**3	A Budget Justification
4	A fully executed Subcontract with another university	*4	Valid Human Subjects Approval, if required
*5	IPAS form for Preliminary number	*5	A copy of the abstract. Aids in the correct coding of account number.

The above Required Documentation (Column B) is usually submitted to ORA as a complete packet and is referred to as a "Proposal Packet." An award from column A plus the Proposal Packet is referred to as an "Award Packet."

ACCOUNT NUMBERS - BUDGET TYPES

Policy

Four budget types have been established for collecting financial information about sponsored projects at the University. An account number's budget type is determined by the second digit in the account number (e.g., 42-1234). These budget types are as follows:

Two (2) for Research
Three (3) for Special Programs
Five (5) for Training & Fellowships
Eight (8) for Discretionary Funds

Discussion

OMB Circular A-21, *Principles for Determining Costs Applicable to Grants, Contracts, and Other Agreements with Educational Institutions*, stipulates that the accounting practices of the University must support the accumulation of costs applicable to research and development, training, and other sponsored work performed by colleges and universities under grants, contracts, and other agreements with the federal government.

Since A-21 requires the University to accumulate costs by "major function" so that it can determine the various components of the allowable costs of work performed under sponsored agreements, each account number at CWRU is tagged with a "budget type."

In its Definition of Terms (Section B1), A-21 identifies four major functions of a University: Instruction, Organized Research, Other Sponsored Activities, and Other Institutional Activities.

CWRU's Budget Type Two (2) is designated for "organized" research. According to A-21 (B1b(1)), sponsored research means all research and development activities that are sponsored by Federal and non-Federal agencies and organizations. This term includes activities involving the training of individuals in research techniques (commonly called research training) where such activities utilized the same facilities as other research and development activities and where such activities are not included in the instruction function. Budget Type Two also includes University research. University research means all research and development activities that are separately budgeted and accounted for by the institution under an internal application of institutional funds.

CWRU's Budget Type Eight (8) is designated for "departmental" or "discretionary" research. According to A-21 (B1a(2) and B1b(2)), departmental research means research development and scholarly activities that are not organized research and, consequently, are ***not separately budgeted and accounted for***. Departmental research is not considered its own major function. It is included with the "instructional" function of the University.

The attached grid is designed to help you classify sponsored activity into the major functions of the University.

ACCOUNT NUMBERS - Budget Types (e.g, Research, Training, etc.)

Activity	Research ¹	Special Programs	Training & Fellows
Numeric Identifier	2	3	5
Description	Organized research projects (e.g., N, P, R, S, and U-series; other federal research; non-federal research), research equipment, and research career awards (K-series). Equipment awards.	Conferences, seminars, meetings, teaching or educational activities (short courses, lectures, continued education), alumni activities.	Training and fellowship programs including: T-series, F-series, Heart, American Cancer, institutional training grants, individual fellowships and corporate fellowships. These projects may involve research
Source	Externally Sponsored (federal & non-federal) or University sponsored.	Externally sponsored (federal & non-federal), University sponsored, or fee supported.	Externally sponsored (federal) or University sponsored
Sub-Accounts	Yes, of any other budget type (e.g., 2, 3, 5 or 8).	Yes, of any other budget type.	Yes, of any other budget type.
Billing Code	1, 2, 3, or 4	1, 2, 3, or 4	1, 2, 3, or 4
Proposal	Always formal	Not always formal	Always formal
University Review Form	Required	Required	Required
Terms & Conditions	Awards are always restricted by sponsor (e.g. deliverables, end date, rebudgeting requirements, etc.).	Sometimes restricted.	Always restricted.
Deliverables	Generally required. Depending on the sponsor, may include progress, technical, financial reports, and a final invention statement. Federal awards always require a financial report and a final invention statement.	Reports occasionally required. Always required when sponsor is federal.	Reports occasionally required when sponsor is federal.
End Date Determination	Definite end date. Determined by sponsor's terms & conditions.	Definite end date. Determined by sponsor's terms & conditions or by the University.	Definite end date. Determined by sponsor's terms & conditions.

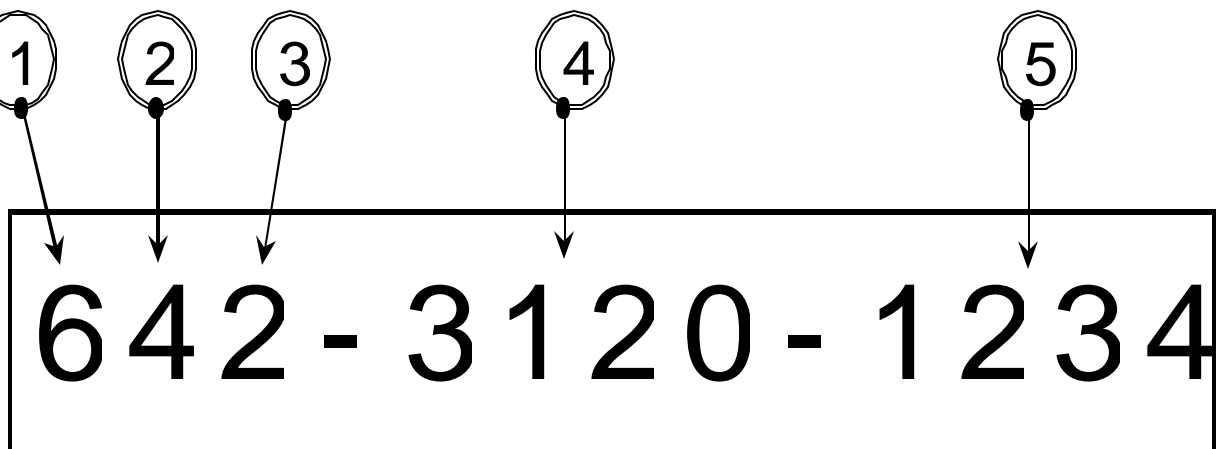
¹ **Basic Research:** Systematic studies conducted with the objective of gaining fuller knowledge or understanding of the fundamental aspects of observable facts without specific applications toward processes or products in mind. **Applied Research:** Systematic studies conducted with the objective of gaining knowledge or understanding necessary for determining the means by which a recognized and specific need may be met. **Scholarly Activities:** Sponsored investigations into fundamental knowledge normally found within such disciplines as the arts and humanities.

² Funds expended in "Budget Type 8" must take place in a space which is not classified as research space (see attached certification form). A Management Center Budget Officer must complete the certification form and return it along with the Blue Sheet to ORA.

University Account Number

The University account numbers are composed of 11 digits as follows:

- ① **MAJOR DIVISION **NOT USED IN PEOPLESOFT****
2 - UNIVERSITY GEN 5 - PROFESSIONAL SCHOOLS
3 - UNDER GRAD COLLEGE 6 - SCHOOL OF MEDICINE
- ② 4 - GENERAL EXPENSE
6 - COST SHARE **NOT USED IN PEOPLESOFT**
- ③ **BUDGETS:** 1 - OPERATING FUNDS 5 - TRAINING & FELLOWS
2 - RESEARCH 6 - ENDOWMENT FUNDS
3 - SPECIAL PROGRAMS 7 - FUNDS HELD BY OTHERS
4 - INSTRUCTIONAL 8 - DISCRETIONARY - GIFTS & GRANTS
- ④ **EXPENSE CLASSIFICATION (IDENTIFIES CHARGE)**
- ⑤ **UNIT DESIGNATION**



Please note that Peoplesoft drops the 1st digit (school) and shows the account number as a 6 digit number. However, be sure to use the 7 digit account number on all processing information.

Parent Accounts and Subaccounts

1. Awards that contain multiple administrative and/or technical components are generally setup in "multiple, but related Subaccounts." Parent accounts are used to tie these Subaccounts together for administrative purposes.
2. The combined budgets of related subaccounts equals the budget in the parent account (unless there are unallocated funds remaining in the parent account).
3. Generally, charges are not made against parent accounts.

Cost-Share Account Numbers

1. A cost share account is established at the time a regular account is setup. The cost share account can be identified by replacing the second digit of your account number (which is normally a "4" for expense accounts) with a "6." For example, 642-1234 has a cost share account 662-1234.
2. Mandatory cost-share accounts are established when cost sharing is a condition of the award. *These accounts contain a line-item budget by expense class.* The expenses charged against these accounts are generally reported to the sponsoring agency in order to demonstrate compliance with the cost-sharing requirement.
3. University cost-share accounts are established for every account number. *These accounts do not contain a line-item budget by expense class.* They are used to capture late, excessive, or inappropriate charges to an account. Departments are generally responsible for absorbing and/or clearing expenditures captured in their cost-share accounts.

Please note the Peoplesoft does not use the University's 7 digit account number for cost sharing. The cost share account number will show as the same account number as the grant, the distinguishing factor of the cost share number is fund 98600.

Preliminary Account Numbers

Pre-award spending refers to the act of incurring costs on a project prior to the official start date of a grant (commonly referred to as "pre-award costs") or incurring costs prior to the receipt of an award. In both instances, prior approval by the University is required because the action is considered a risk to the University. Therefore, specific policies and procedures exist to ensure that these costs will be allowable under the specific granting agency guidelines.

In accordance with CWRU policy, a Principal Investigator may request that a preliminary account be established prior to the receipt and/or execution of an official award. The Principal Investigator completes an Internal Prior Approval System (IPAS) Form and submits it to ORA requesting that pre-award costs be approved. Approval of this request will enable the Principal Investigator to incur pre-award costs as described above. The Principal Investigator, Department and School accept full financial responsibility for this action. In the event that an award is not received, or if the award is received with an effective date later than the date established for project expenses to be incurred, the guarantee would be enforced.

Upon receipt, verification, and approval of the IPAS, ORA will set up the account in the University financial system. Once an actual award is received, the preliminary number will not change.

Internal Notice of Award (NOA)

1. The Office of Research Administration's NOA communicates all accounting information about grants and contacts to the Financial Management System (Peoplesoft), Grants Accounting, the Principal Investigator, Management Center Budget Offices, and Department Administrators.
2. Specific elements on the NOA include a University account number, the project's start and end dates, the name and intercode of the department in which the project will be administered, the project's title, the project's sponsor, the sponsor's number, the project type (e.g., research, training, or special), any reporting requirements, the fringe rate, overhead rate, overhead base, method of payment, equipment title, a parent account (if any), a previous account (if any), the total amount deposited to the account since its setup, a line item budget by expense class, and mandatory cost sharing (if required).
3. The comment section of the NOA contains restrictions, requirements, and special conditions that may apply to the award. This section may occasionally contain line-item totals (e.g., components of a single line-item expense class like Outside Services).

Notice of Award Budgets

1. Most awards are composed of a line-item budget by expense class (e.g., salary, supplies, travel, etc.). This budget is usually determined by the proposed budget that was originally submitted to the sponsoring agency.
2. Frequently, a sponsoring agency will reduce the proposed budget when it makes an award. ORA will automatically pro-rate reduced budgets.
3. Pro-rated budgets: The "percent reduction" applied to the award is determined by dividing the *total direct costs awarded* by the *total direct costs* requested. This "percent reduction" is then applied across all expense classes.

Receipt of Internal Notice of Award

What the Project Director and Department Staff Should Do When a Notice of Award is Received

Upon receipt of an award package, the Project Director should review the NOA for accuracy and read the award documents, including the terms and conditions. The Project Director should contact the ORA about any discrepancies, and question the reporting requirements and other deliverables if the information is not clear.

Project Directors are also encouraged to communicate any special accounting needs to the Controllers' Office. For example:

Expenditure reporting to be done by task

A portion of the work is fixed price and a portion of the work is cost reimbursable

Another (unrelated) unit on campus is collaborating on your project and needs to have a separate piece of an award set aside for their use under a separate account number.

The activation process is an important part of sponsored project management. Project Directors are encourage to coordinate special requirements with ORA and/or Grants and Contracts, prior to award activation, to ensure that the set up for their account facilitates the fiscal and technical management of the project.



Office of Research Administration
Notice of Award

11/21/0
\$248,685.00

Transaction Type **Renewal**

Segment ID: 425678 **Principal Investigator:** Cottington, Eric
Segment ID Name: **Proposal Development Workshop**
Division: 2 **Administrative Department:** (1980) Office of Research Administration

Segment Information

Segment ID Start Date: 09/20/00 **Budget Period Start Date:** 09/20/00 **End Date:** 08/31/01
Sponsor Name: (207) NIH- National Heart, Lung, and Blood Institute (NHLBI)
Sponsor Award Number: HL-12345-19 **Previous Account #:** 242-5025
HHS Document Number: R1HL12345E1 **F & A Rate:** 53
Location: (10) On Campus **F & A Base:** (5) Modified Total Direct Cost
Building: Adelbert Hall **Subcontractor:** Cleveland Clinic Foundation
Parent Account: Y **Program Income** N

Budget Information

New: \$248,685.00
Carry Over: \$0.00
Prior Appr. \$0.00
Total \$248,685.00

Cost Share \$13,578.00
Cost Share Type: **Mandatory**

		Sponsor's Share			Cost Share
1100	Faculty Salary	43,541.00			
1200	Academic Support Staff	52,000.00			
1400	Students	5,240.00			
1700	Technicians	5,143.00			
	Total Salaries	105,924.00			
1900	Fringe Benefits	10,710.00			
	Total Salaries and Fringes	116,634.00	Total Salaries and Fringes		0.00
3100	Supplies	10,316.00			
3200	Internal Services	6,865.00			
3300	Outside Services	10,000.00			
3400	Travel	2,450.00			
3600	Equipment and Renovations	24,900.00			
	Total Direct Cost	171,165.00	Total Direct Cost		0.00
3800	F & A Cost	77,520.00			
	Total Cost	248,685.00	Total Cost		13,578.00

Project Information

Principal Investigator: Cottington, Eric
Administrative Department (1980) Office of Research Administration **Project Type:** (01) Research
Title: Proposal Development Workshop
Award Mechanism: (1) Grant **Billing Code:** (1) Letter of Credit
Letter of Credit: (1202) PHS-MIH **Fiscal Reporting Requirements:** Annual, final 11/30/02
CFDA 93.837 **Equipment Title:** (1) University **FDP:** Y
Project Period Start Date: 12/01/79 **End Date:** 08/31/02 **Prime Sponsor:**

Comments

Establish a new account as shown per NGA dated 09/18/00.

4995	Project	11111	Co Reference	0	Project Year	1	Tracking ID	11111
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Post Award Administration Overview

Project Director's Responsibilities

The Project Director is charged with the technical and fiscal management of the sponsored project. This responsibility includes

1. An obligation to plan and manage each project with care and diligence
2. A duty to adhere to all terms and conditions of the award
3. A commitment to keep the technical work flowing
4. Maintain an appropriate expenditure level
5. An agreement to charge only those costs that are in required for technical fulfillment of the project.

The Project Director's responsibilities are outlined briefly below.

- **Exercise Technical Oversight and Control**

The Project Director provides technical direction to the project to ensure reasonable progress is made towards achievement of project goals. This includes preparation of periodic technical reports and the final report. The Project Director is also responsible for ensuring compliance with "ethics in research" standards.

- **Function as the Manager for the Sponsored Project**

The Manager, or Project Director, has fiscal responsibility for maintaining and controlling the transactions processed against an area/org. All transactions must be consistent with the terms of the contract or grant represented by the account. Expenditures must not exceed the available balance, or be incurred after the end date on a project. The Manager's responsibilities include:

1. Appointing authorized signers for the area/org who can verify that transactions are appropriate for the project.
2. Authorizing only those expenditures that are reasonable and necessary to accomplish the project goals, and are for goods or services that will be used or received during the project period.
3. Adhering to CWRU policies as contained in the Policies and Procedures Manuals for the Controllers Office, Purchasing Department, and the Office of Research Administration.
4. Reviewing CWRU's monthly reports to determine that all charges and credits for the month are appropriate, and that spending activity is consistent with the budget and project schedule.
5. Contacting the Grants and Contracts Accounting office for assistance in understanding or resolving accounting issues related to the account.
6. Spending no more than the amount authorized by the sponsor for the project period and, when necessary, identifying funding sources for any deficits.
7. Working with the Controllers Office staff, if necessary, to collect revenue from sponsors when payments are seriously delinquent.

Review and Monitoring Account Status

Account monitoring and review is an essential part of award administration and is a primary responsibility of all Project Directors. Many Project Directors will argue this point, claiming:

- “I am not an accountant,”
- “I never access the on-line Peoplesoft system,” or
- “The CWRU expenses statements are too confusing.”

While these arguments may be sincere, the fact remains that Project Directors are nonetheless responsible for fiscal management of the accounts assigned to them. This responsibility entails

frequent and accurate review of both on-line and month-end financial information. Although University policy places the burden of fiscal management squarely on the shoulders of the Project Director, ORA and Grant Accounting are available to assist with specific questions and resolution of problems related to sponsored accounts.

Controller's Office Responsibilities

- Maintaining expenditure records
- Providing monthly ledgers to Principal Investigators
- Reviewing expenditure transfers for compliance with the Sponsor and University requirements
- Preparing and submitting expenditure reports to sponsors
- Transferring overdrafts and unallowable expenses
- Coordinating responses to audit reports

End of Budget Period

NON-COMPETING CONTINUATIONS - If continuation funding is anticipated, but the award notice has not been received, the principal investigator may request an extension based on future support. (A copy of the previous award notice indicating future support will suffice). *Accounts are terminated thirty (30) days after the end date.*

COMPETING RENEWALS- If it is anticipated that the renewal will be funded, but the award notice has not been received prior to the end date of the current award period, the principal investigator may request a preliminary account number.

PROGRAM PROJECTS- Since most program projects are not under expanded authority, and all phases of the project are not funded annual, a new account number is issued each year. If the award notice has not been received by the end of the current award period, the principal investigator may request preliminary account numbers for those projects that will receive continuation support.

OVEREXPENDED ACCOUNTS- If an account becomes overspent, the principal investigator may request that the account remain open by completing a petition form or an IPAS for preaward spending. *Accounts are terminated sixty (60) days after they become overexpended.*

NO COST EXTENSIONS- If a project has ended or will end soon, the principal investigator may request a no cost extension. For non-federal projects that do not require agency approval, the principal investigator may submit an extension approval request. If the non-federal sponsor requires prior approval, the request should be submitted to ORA in advance of the end date. For federal projects under expanded authority, the principal investigator may submit an IPAS to ORA at least three weeks prior to the end date, ORA will then notify the sponsor of our approval of the no cost extension.

The Office of Research Administration

The University provides administrative and managerial support for research through the Office of Research Administration (ORA). The mission of ORA is to serve the needs of the faculty and staff as they plan and carry out research programs. ORA is also the official signatory for all non foundation proposals and awards (some foundation proposals might be sent to Foundation Relations for signature). Some of the services provided by ORA include:

- A. Assistance with **FUNDING SOURCES AND TRENDS**, including:
 - 1. On-line access to the Sponsored Programs Information Network (SPIN).
 - 2. Monitoring Washington: Through personal contact with federal agencies, and by staying abreast of legislation that may impact University research.
 - 3. Reporting on proposal and award activity annually, monthly, and ad hoc basis.

- B. Assistance with **PROPOSAL DEVELOPMENT**, including:
 - 1. Referrals to effective mentors and contacts in particular fields.
 - 2. Processing and approval of elements of the proposal.

- C. Assistance with **CONTRACTS AND AGREEMENTS**, including:
 - 1. Negotiating contracts.
 - 2. Developing special agreements and subcontracts.
 - 3. Assuring compliance of contracts with institutional policies.

- D. Assistance with **POST AWARD ISSUES**, including:
 - 1. Establishing a University account for new awards.
 - 2. Rebudgeting and time extensions on existing accounts.
 - 3. Assurance of compliance with policies regulating **HUMAN SUBJECTS**.
 - 4. Assistance with **PATENT** and **INVENTION** disclosures.
 - 5. Assistance with the **COPYRIGHT** process.

- E. Developing & monitoring **INSTITUTIONAL POLICIES** relating to research.

- F. Matching departmental **TRAVEL FUNDS** for faculty who need to travel in order to seek support for their research projects.

- G. Assistance with **COMMERCIALIZATION** of research ideas.

- H. Dissemination of research opportunities and policy **INFORMATION** through electronic **ORA UPDATE**.



Director:

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 Contact for Policy Issues and Overall Operation

Grants and Contracts:

Robin Trail, Assistant Director 368-4516 rwt2@po.cwru.edu
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Derek M. Humphrey, Assistant Director 368-2009 dmh12@po.cwru.edu
 Principal Contact for All Schools Other than Medicine

Rosemary Alexander, Assistant Director 368-2008 rka2@po.cwru.edu
 Principal Contact for All Non-Industrial Contracts

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Regulatory Compliance:

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 Human Subjects and Research Misconduct

Natale Polinko, IRB Administrator 368-6131 nkp@po.cwru.edu
 Contact for Human Subject Research and
 Related Matters

Shay Gresham-Howard, Compliance Specialist for Auditing 368-6993 sxg67@po.cwru.edu
 Contact for IRB Audits and Education

Maureen Dore-Arshenovitz, Department Assistant 368-6925 mxd4@po.cwru.edu
 Core support for Regulatory Compliance

Core Support:

Patricia Mehosky, Department Assistant 368-4510 resadm@po.cwru.edu
 Contact for Account Numbers and General Assistance

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 Electronic Research Administration including
 Database and Systems Administration

Office of Research Administration
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 10900 Euclid Avenue
 Cleveland, Ohio 44106-7015

Visitors and Deliveries
 4 Adelbert Hall
 2040 Adelbert Road
 Cleveland, Ohio 44106

Phone: 216-368-4510
Fax: 216-368-4679
E-mail: Resadm@po.cwru.edu

Management Centers Role in Research Administration

Research support is provided departments by their respective Management Center. These Offices are responsible for processing grant applications and for providing the Management Center approval for various transactions associated with proposals and awards. Support activities include providing assistance with application and budget development; interpreting agency and University policies on applications, awards, special involvement, and other actions; developing research policies; and working with other university offices in supporting research.

The responsibility for negotiating and monitoring the assurance of compliance with policies and Regulations governing the use of animals in research is managed by the Research Office in the School of Medicine.

Research Office, School of Medicine:

Location: School of Medicine TG-1
Main Telephone (216) 368-4432
Fax: (216) 368-4805

Contacts

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College of Arts and Sciences:

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Telephone: (216) 368-3865
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Contacts

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School of Engineering

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Law School

Location: Gund Hall
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Controller's Office

The main functions of the Controller's Office are to ensure that university procedures adhere to Generally Accepted Accounting Principles (GAAP); maintain the financial accounting and support systems and the chart of accounts; provide training to university staff in use of the financial accounting systems and procedures; issue monthly financial reports to all university management centers and departments; respond to inquiries about transactions appearing on (or missing from) financial reports; coordinate university compliance activities with respect to grants, contracts and income tax matters; and produce external reports such as the University's annual financial report.

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