



Indiana University of Pennsylvania

**IUP**  
**Principal Investigators'**  
**Handbook**



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## **I. Introduction**

### **A. Overview of the Handbook**

This PI Handbook is intended to assist and support researchers in their quest to identify, secure, and manage their externally funded projects. This document establishes the procedures to ensure researchers have the resources and information needed to produce a quality, compliant, and successful grant proposal and that they can efficiently manage both the fiscal and technical aspects of their award. In addition, it provides the Research Institute (RI) and IUP administrators and staff the opportunity to adequately review and approve proposals submitted for external funding.

Externally funded projects or sponsored projects can take the form of grants, contracts, or cooperative agreements. A scholarly grant is any competitive funding provided by an outside source, government, corporation or foundation, to support scholarly activity. Grant awards, regardless of the mechanism, are legally binding agreements between two parties for the provision of some deliverable(s), services or products.

### **B. When Do I Contact the RI? When Will I Use tthe PI Handbook?**

Contact your Pre-Award Grant and Contract Specialist (GCS) at the RI as soon as you identify an external funding opportunity. The RI team is experienced and well-qualified to assist you with all aspects of your proposal submission. However, they are only able to provide you with the best service with adequate notice.

### **C. Campus Resources**

- a. **SGSR – 724-357-1409**
- b. **RI – 724-357-2223**
- c. **IRB – 724-357-7730**
- d. **IACUC – 724-357-7730**
- e. **ARL – 724-357-3055**
- f. **IUP Office of Grants and Special Fund Accounting – 724-357-7975**
- g. **Purchasing - 724-357-3077**
- h. **Facilities Management – 724-357-2429**
- i. **Human Resources – 724-357-2431**

## **CI. General Information**

### **A. IUP Research Institute Overview**

The Mission of the IUP Research Institute is to advance the research agenda and educational objectives of Indiana University of Pennsylvania. The Research Institute provides a full range of pre-award and post-award services designed to provide support for IUP researchers. The Research Institute is governed by an independent Board of Directors which is responsible and accountable for upholding the Institute’s Articles of Incorporation, By-Laws, and the principles

set forth in the Affiliation Agreement with the University. The Board is comprised of the University President, appointed University representatives, and local community and business leaders. The IUP President and representatives are ex-officio, non-voting members.

Indiana University of Pennsylvania and the IUP Research Institute jointly administer external funds. The IUP Research Institute is a 501c(3) (tax exempt) organization that operates independently for the benefit of Indiana University of Pennsylvania, under the terms of the Affiliation Agreement.

## **B. Eligibility to Serve as a Principal Investigator on Externally Funded Projects Policy**

When seeking grant or contract funding from external (non-IUP) sponsors, a lead person known as the Principal Investigator (PI) must be named. The PI is responsible and accountable for overseeing all aspects of the project. This policy describes the qualifications required for a person to serve as a PI on externally funded grant or contract projects.

This policy applies to all individuals seeking external (non-IUP) funding who wish to be named as the project PI. The PI is the lead person on an externally funded grant or contract project that produces specified deliverables within a designated time frame. This policy is not intended to apply to philanthropic activities. In instances where the external sponsor engages in both grant and philanthropic activities (e.g., a private foundation) collaboration among the School of Graduate Studies and Research, The Division of University Advancement, and the IUP Research Institute should occur to identify potential project overlaps or conflicts and to maximize funding potential to IUP.

### POLICY:

The Principal Investigator (PI) is the lead person on a research project or contract that is to produce specified deliverables. The PI is responsible and accountable for the ethical and professional conduct of all aspects of the project, including being responsible and accountable for overseeing/managing all personnel to whom tasks are delegated, ensuring compliance with all applicable federal, state, and local laws and policies, and also for the fiscal management of the project.

The following positions/personnel are eligible for service as a PI on externally funded projects.

1. Full-time, tenure track faculty members; temporary faculty can serve with the approval of the Dean of SGSR and the provost.
2. Administrators holding the titles of president, vice president, associate vice president, assistant vice president, associate provost, dean, associate dean, assistant dean, and center/institute director may be named as PI on projects directly related to the mission and responsibilities of their units/offices. An Emeritus full or associate professor may serve as Co-PI with another eligible current employee of IUP. Emeritus full and associate professors may serve as PI, with permission of the Provost and Dean of the School of Graduate Studies and Research.

3. Doctoral students seeking funding for fellowships, tuition, or support of research leading to the dissertation may be named as PI as appropriate or required by the funding agency, but a full-time tenure track faculty member must be named on the project as a Co-PI when permissible by the funding agency. The faculty Co-PI will be responsible and accountable for monitoring and ensuring that the terms of the grant/contract are fulfilled.
4. Requests for approval of others within Academic Affairs can be made by the unit head with the written approval of the college dean, the Dean of the School of Graduate Studies and Research, the Provost, and the President.
5. Requests for approval of others in divisions other than Academic Affairs must be recommended by the unit head and approved by the corresponding Vice President. All requests must be accompanied by the qualifications of the person recommended to serve in the role of PI on the respective project.
6. Other approvals may be granted on a one time or permanent basis, at the discretion of the appropriate divisional Vice President. The School of Graduate Studies and Research will maintain a list of individuals who have been granted approvals (under this policy) to serve as a PI and the status of that exception (i.e., one time or permanent).
7. Approval to serve as PI can be revoked under appropriate circumstances (e.g., a finding of research misconduct). A decision to revoke would be made after review of the circumstances by the Dean of SGSR/Research Misconduct Officer, the Provost, and the President.

### **C. Who Can Commit Resources/Accept Funding?**

There are selected designees at IUP and the IUP RI who are authorized to submit proposals and/or accept awards. Faculty researchers are NOT, under any circumstances, authorized to submit a proposal without proper and complete review and authorization by IUP. The IUP RI staff is responsible and accountable for facilitation of this process and is the point of contact for all questions and communications to and from researchers.

Faculty members do not have authorization to sign a notice of award or accept a sponsored award on behalf of IUP or the RI. If a non-authorized individual commits IUP or RI to a binding agreement (proposals and awards), it becomes the personal responsibility, with legal liability, of the individual. See “What does your signature mean?” at [www.iup.edu/WorkArea/DownloadAsset.aspx?id=124075](http://www.iup.edu/WorkArea/DownloadAsset.aspx?id=124075) for more details.

If you are unsure of the requirements, contact your GCS at the RI for assistance.

### **D. Roles and Responsibilities**

The process of managing sponsored project awards is a shared responsibility among the Principal Investigator (PI), the IUP Research Institute (RI), IUP Grants Accounting, the School of Graduate Studies and Research (SGSR), and the University Administration. Each entity has unique areas of primary responsibility and oversight. To ensure the highest quality proposal in

the most time efficient manner possible, while minimizing duplicative efforts, the “Roles and Responsibilities” Matrix (see Appendix A) has been developed.

### **Principal Investigator**

At the pre-award/proposal phase, the PI is responsible and accountable for the intellectual content of the research, scholarly activity, or sponsored project. During the pre-award/proposal phase the PI is also responsible and accountable for complying with and fulfilling the procedures and guidelines outlined below in the section on “Proposal Submission.”

The PI is responsible and accountable for ensuring that all necessary approvals are received prior to the final submission of the proposal to the external funding source. As part of this process, early in the development of the proposal, the PI should discuss the project with their department chair and/or college dean, to inform them of the general plan for the project/proposal and to discuss any special requirements and specific support that may be necessary. The PI must also work closely with the Grant and Contract Specialist (GCS) from the RI who is assigned to their college, throughout the pre-award phase. **All proposals for external funding must be run through the pre-award process in the RI.**

The fundamental pre-award responsibilities of the PI are:

- Notify the RI of the intent to submit a proposal
- Discuss the proposed project with the department chair and/or college dean
- Thoroughly read the project RFP and understand the requirements
- Start the proposal development process as early as is possible
- Work closely with the GCS from the RI throughout the pre-award phase
- Develop and submit a “completed proposal” to the RI, within the prescribed deadline (5 business days before the due date of the proposal).
- If necessary, secure and document all “required” matching funds

To assist PIs, help projects run smoothly and efficiently, and ensure that sponsored projects comply with all applicable policies, regulations, and guidelines (federal, State System, university and external agency), there are several other key areas involved in the implementation and oversight of externally funded/sponsored projects. This section generally outlines the roles and responsibilities of each area.

## **University Administration/School of Graduate Studies and Research**

Ultimately, senior university administrators (the President, Provost, Vice Presidents, and Deans) share responsibility for all sponsored projects by authorizing agreements and providing general support and oversight.

The School of Graduate Studies and Research (SGSR) has, as one of its primary responsibilities, support and oversight of the research enterprise at IUP. The Dean of SGSR reports directly to the Provost and the President on such matters and serves as the liaison to the RI. All externally funded/sponsored projects must be approved by the Associate Dean for Research or the Dean of SGSR. In order for a proposal to be approved, a record is created in Quali (the electronic research administration system) housed in the RI. The Dean or Associate Dean for Research provides final approval (after Department Chairs and College Deans) of proposals and final grants/contracts on behalf of the university. In addition, the Associate Dean for Research or the Dean of SGSR may have to provide approval directly to the agency at the time of final proposal submission.

SGSR monitors all externally funded/sponsored projects in conjunction with the RI and the IUP Grants and Special Fund Accounting Office. SGSR also administers the Internal Review Board (IRB) and the Institutional Animal Care and Use Committee (IACUC).

## **IUP Research Institute**

The IUP Research Institute is a separate, private, nonprofit corporation affiliated with Indiana University of Pennsylvania.

The mission of the IUP Research Institute is to advance the research and educational objectives of IUP by encouraging, promoting, managing, and supporting research. It supports IUP faculty, managers, and staff in pursuing and managing externally-funded projects. The Research Institute also connects researchers with potential sponsors.

The Research Institute is incorporated under the Pennsylvania Nonprofit Corporation Law of 1988 and is organized for exclusively charitable, scientific, and educational purposes within the meaning of Section 501(c)(3) of the Internal Revenue Service Code of 1986.

The university is authorized under the Pennsylvania State System of Higher Education Board of Governors to affiliate with the Research Institute to advance its research and educational objectives, particularly in the area of externally funded programs and projects. In accordance with the Affiliation Agreement between IUP and the Research Institute, the institute has the authority to enter into agreements with external sponsors on behalf of and in collaboration with the university. The institute serves as the fiscal and administrative agent for sponsored research and other externally funded projects conducted by the faculty and staff of IUP.

The RI staff facilitate and submit proposals on behalf of IUP and the IUP Research Institute. The RI staff work closely with the School of Graduate Studies and Research, IUP's Office of Grants and Special Funds Accounting and College Deans and Department Chairs as researchers develop and submit proposals and implement and manage their awards.

## **Office of Grants and Special Fund Accounting**

The Office of Grants and Special Fund Accounting (aka Grant Accounting) is responsible and accountable for providing post-award support to PIs of externally-funded awards/contracts awarded to IUP and of RI awards/contracts containing financial components being provided through University resources, such as salaries and benefits. Grant Accounting has a fiduciary responsibility to ensure university compliance with external guidelines and regulations including Federal Uniform Guidance, PASSHE policies, and restrictions established by the funding source(s). Grant Accounting assists PIs with navigating University procedures while continuing to conform to the internal policies and controls of the University.

Grant Accounting submits financial reports to funding agencies, provides audit support, supports meeting documentation requirements of time and effort, and ensures the university meets all matching requirements. Grant Accounting provides post-award accounting services for PIs to manage and document award/contract expenditures. Grant Accounting participates in proposal review, confirming accuracy of all salaries and benefits for IUP employees included in grant proposal budgets and ensuring all other expenses are compliant with all internal and external policies/procedures.

## **College Deans**

The college deans are responsible and accountable for the research and other sponsored activities that are conducted in their colleges. The Dean (or designee), through the Kualu system, must approve all projects before final submission. The College Dean must approve prior to obtaining final approval from SGSR.

The Dean's approval:

- certifies the appropriateness of the activity within the mission of the college and IUP
- certifies that the Dean is aware of, approves, and generally supports the project
- certifies that the Dean, if applicable, will provide all specific commitments, including matching funds, if the proposal is funded, or is assured that funds are available from other verified sources

## **Department Chairs**

Department Chairs are responsible and accountable for knowing about all external research or sponsored activities that are being conducted in their departments. Department Chairs must approve all proposals for external funding prior to final submission using the Kualu grants management process. The Department Chair must approve prior to obtaining College Dean's approval. The Department Chair's approval acknowledges that the research/sponsored activity is appropriate within the relevant discipline and is consistent with the Department's mission.

The Chair's approval:

- certifies that the Chair understands the needs of the PI associated with the project and is aware of any potential impacts on the Department



## **E. Letters of Intent/Inquiry**

Some agencies will require a Letter of Intent or a Letter of Inquiry prior to the full submission. LOIs still commit the institution to the content, including any budgetary restrictions. It is not permissible to submit Letters of Intent/Inquiry without proper review and approvals. All LOIs must be discussed with the appropriate people at IUP (e.g., Department Chair, College Dean, etc.), and the PI must work directly with the GCS in the IUP-RI on the letter.

## **III. Starting Out/Proposal Development (pre-award)**

All proposals, regardless of type or agency, must follow the below described procedures. This includes proposals in which IUP will not be the lead applicant but serves as a subcontractor to another lead institution. **Under no circumstances may a proposal be submitted without RI review and all the required IUP approvals.** Failure to comply with the review/approval processes may result in IUP withdrawing the proposal. In the event a proposal is funded that did not comply with the review/approval process, the award may be returned by the RI or IUP. Exceptions to this rule requires approval by the President, Provost, and/or Dean of the School of Graduate Studies and Research. If there are questions regarding the review/approval process, contact the RI or the SGSR. Agencies grant funding to IUP or the RI, not to individuals.

### **A. Identifying Funding Opportunities**

IUP subscribes to the grant opportunity database, SPINPlus. SPINPlus is accessible at <https://spin.infoedglobal.com/Home/SOLRSearch>. You can create an account (or login with your IUP single sign-on credentials), click Find Grant Opportunities and search for a Funding Opportunity in SPIN Plus. The RI team will assist with funding searches as requested. For a custom search, complete the “Funding Search Request Form” available on the WIKI (<https://iwiki.iup.edu/display/IUPRI/1.+Find+Grant+Opportunities>). An RI team member will contact you and provide potential grant opportunities. Please note that while the RI is happy to perform searches for you, it is more successful if you are an active part of the search process.

### **B. Request for Proposal (RFP)/Application Guidelines**

When a funding opportunity is identified, it is imperative that the PI AND the RI pre-award GCS carefully review and understand the Request for Proposal Guidelines. The proposal guidelines must be followed exactly as written. Questions, clarification, or other contact with the agency or program officer must be done in consultation with the RI pre-award GCS. Each college and division at IUP is assigned a pre and post award specialist at the RI who will assist with the proposal/budget development, submission, and post-award activities. To identify your GCS and other RI team members go to our personnel webpage at <https://www.iup.edu/researchinstitute/personnel/>

## **C. Proposal Construction**

It is the responsibility of the PI to write the entire proposal. The RI GCS will review as appropriate, assist with the budget development, and facilitate the review/approval process. For specific roles/responsibilities, see the “Roles and Responsibilities” Matrix (see Appendix A).

### **i. Key/Standard Components of a Proposal**

Please note that this list is not exhaustive and is provided as examples of possible requirements. Actual requirements are dependent on the agency guidelines. Every agency and/or RFP may require different items.

- 1) Executive Summary (overview, abstract)
- 2) Statement of Need\*
- 3) Project Description/Narrative/Scope of Work
  - Goals
  - Objectives
  - Methods
  - Evaluation/Assessment
  - Timeline
- 4) Detailed Budget
- 5) Agency Budget Template
- 6) Budget Justification/Budget Narrative
- 7) Other documents as needed/applicable:
  - Signed Letters of Support when applicable
  - Signed Letters of Commitment (when applicable)
  - CV/Biosketches for PI, Co, Senior Personnel\*
  - Match Verification form
  - IRB, IACUC protocol # (pending/approved)
  - Sub Recipient Documents (if there will be a subaward TO another entity)
    - a) scope of work, narrative
    - b) time line
    - c) budget (detail) & budget justification
    - d) signed letter(s) of support and/or commitment
    - e) CV/biosketches
    - f) subcommitment form
  - Facilities, management plan, equipment document\*
  - Citations/references page (if applicable)
  - Current and pending\*
  - All other documents required (in the appropriate format-Word, PDF) by the RFP

\* Usually related to federal proposals

## **D. Budget Construction**

Grant budgets must include ALL the expenses that will be necessary to carry out the proposed project. The RI GCS will provide the PI with an Excel spreadsheet to help ensure all expenses are included in the budget and that calculations are accurate. You may be required to secure cost

quotes, estimates, verification of match, or other documentation to support the cost. The GCS will secure all salary and benefit data from the IUP budget office. In the event of multiple year proposals, salaries, tuition, and other relevant cost increases will be estimated. As the PI, you will work closely with the GCS to develop an accurate and compliant budget.

### **E. Budget Justification**

The budget justification/narrative is a text-format of your budget. It is your financial scope of work. It provides additional information and clarifies how calculations were made. It is an opportunity to more clearly justify how the expense was identified and the purpose/benefits of each line item. The budget narrative should mirror the budget in terms of line items. The budget justification is the responsibility of the PI. The GCS will review to ensure accuracy and completeness.

### **F. Direct/Indirect Costs**

All grant budgets must include, as allowable by the agency, both direct and indirect costs. The federal government and Uniform Guidance defines direct costs as “costs that can be identified directly with a particular project relatively easily with a high degree of accuracy.” Indirect costs are defined as “costs that are incurred for common or joint objectives and, therefore, cannot be identified readily and specifically with a particular project.” Indirect cost recovery is mandated by the federal government and negotiated with the U.S. Department of Health and Human Services. It is IUP’s policy that all grant proposals include the agency-allowable indirect costs. Only if the RFP restricts or clearly prohibits the inclusion of indirects will IUP allow the reduction/exclusion of indirect costs. This reduction or exclusion must be documented at proposal time with the excerpt from RFP or documentation from an authorized agency representative.

### **G. Matching/Cost Share**

University matching funds may only be included in applications for external funding if explicitly required in the RFP. No optional matching funds from the University may be included in any application for external funding. In the case where matching funds are required, it is the responsibility of the PI to identify the funding source(s) and secure written documentation for the commitment of the funds. If IUP match is being included, the Match Approval Form (see Appendix B) must be filled out and submitted with the budget and other application materials, as part of the pre-award internal process. Match can come from a variety of sources, including: in-kind, 3<sup>rd</sup> party, or cash match by the institution. Your pre-award GCS will help you better understand the type(s) of match allowable by the agency. No applications requiring match will be approved internally for submission without the appropriate documentation for all matching funds. There will be no exceptions to this requirement.

## IV. Proposal Submission

The proposal submission processes have been developed to ensure timely and appropriate review by all cognizant parties. It is the intent to ensure all proposals meet both agency and institutional requirements and expectations and that they are of the highest possible quality.

### A. Types of Submission Methods/Portals

Proposals are submitted according to the RFP guidelines. Common submission methods include U.S. Mail, E-Mail, and electronic web portals. Your pre-award GCS will help clarify any questions or confusion with respect to the submission method. All proposals must adhere to the review and approval process and will be submitted by the pre-award GCS.

### B. Deadlines for Submission (to the RI and to the Agency)

Agency deadlines are non-negotiable and we strongly recommend that proposals are completed early and submitted prior to the deadline. This allows for technical errors with electronic portal submissions and allows for corrective action in the event an error or omission is identified after submission.

Given the long-term goals, the increasing volume of work, and the increasing number of last minute proposal submissions to the Research Institute (RI), it has become necessary that we adopt a proposal submission deadline procedure, to ensure timely review and processing by RI and IUP staff and sufficient time for agency submission. It is strongly recommended and encouraged that proposals be submitted to the RI for review several weeks before the agency deadline. However, it is required that “completed proposals” (see definition below) be submitted to the RI no later than 9 a.m. **five working days** prior to the day of the agency deadline (see chart below). This will provide the pre-award GCS sufficient time to ensure that the proposal complies with agency guidelines, the budget is accurate, contractual language is acceptable, time exists for revisions, appropriate internal reviews have been completed, Chair and Dean approvals have been obtained, etc. By adhering to this practice, our proposals will have a better chance of being funded. Your understanding of the importance of and cooperation with these procedures is appreciated.

*Proposals submitted after this five-day deadline will not be approved for submission to the funding agency.*

**Definition of Completed Proposal:** For the proposal to be considered complete and therefore satisfy the 5-day rule, **all required documents** must be entered/uploaded (or directly available to RI staff for entry/uploading) into Kuali no later than 9 a.m. five business days prior to the day of the sponsor deadline:

<b>Agency/Sponsor Deadline</b>	<b>RI/IUP Internal Deadline for 5-day rule</b>
Monday	the previous Monday at 9 A.M.
Tuesday	the previous Tuesday at 9 A.M.
Wednesday	the previous Wednesday at 9 A.M.
Thursday	the previous Thursday at 9 A.M.
Friday	the previous Friday at 9 A.M.
Saturday and Sunday	Saturday and Sunday are not business days and do not count towards the 5-day rule. A Saturday or Sunday deadline should be treated as Friday, so the internal proposal deadline is the previous Friday at 9 A.M.

Please be cognizant of observed holidays that fall on the proposal due date or over the 5-day rule. Recognized holidays do NOT count toward the 5-day rule. This includes the observed holidays between Christmas and New Year's. If the prime institution has established a deadline in advance of the sponsoring agency deadline then the submission of materials to the RI should be five business days prior to the prime institution deadline.

Any deviation from the five day submission deadline would require highly exceptional circumstances and must be approved in advance by the Dean of the School of Graduate Studies and Research.

### **C. The Review and Approval Process**

Completed documents, including the project budget, must be properly reviewed and approved by all appropriate departments/divisions at IUP. The review process is to ensure that, if your proposal is funded, the appropriate areas are prepared and able to move forward as quickly as possible. Examples of items that are reviewed include salaries and faculty workload, scope of work, purchase of items or equipment, technological needs, facility needs, etc. Approvals are required by the PI, CoPIs, chair(s), dean(s), the School of Graduate Studies and Research and the RI. No proposal will be approved for submission by the RI/IUP without all required review and approvals.

If you have any questions about these or other sponsored project procedures, please contact the RI or the Associate Dean for Research.

## **V. Award Receipt/Negotiation/Acceptance/Notification**

The review, negotiation, acceptance of award terms and conditions occurs at the RI and IUP, depending on the term or clause in question. The award will not be officially accepted and under no circumstances can activities begin or expenses incurred until the Notice of Award has been duly reviewed, accepted, and all required signatures have been secured.

When IUP/RI receives a Notice of Award it is imperative that time be given for appropriate review and negotiation of unacceptable terms and conditions. If you, as the PI, receive the Notice of Award from the agency, you must forward it to the pre-award GCS immediately. Under no circumstances do faculty have the authority to accept an award on behalf of IUP/RI. Doing so may result in personal responsibility and liability, including financial liability. If you have questions about your award or need a signature on your award document contact your pre-award GCS for assistance.

Upon receipt of an Award, the RI will facilitate the notification process to IUP to include upper level administration, all applicable offices or divisions at IUP and the RI, the cognizant dean(s), chairperson(s), and the PI(s). Upon receipt of this email notification, you will receive an invitation from the RI post-award GCS to schedule a **mandatory** kick-off meeting to discuss the implementation of the project activities.

## **VI. Project Kick-Off**

### **A. Kick-Off Meeting**

The Post-Award team at the RI and IUP Grant Accounting (when appropriate), will meet with the PI to review the budget, reporting terms, compliance obligations required by University policy or the funding agency (such as IRB, IACUC training, student ethics training, PI financial conflict of interest training, etc), and discuss how to implement the project. Implementation may include hiring students, faculty release time, supplemental pay, purchasing at the RI or through IUP, and travel and related requirements, among other things. If electronic reporting is due for the project, it is recommended that the PI log-in to the Agency portal to familiarize themselves with the website and what is required for the reports prior to the due date.

Regardless, PIs are expected to review and clearly understand the reporting requirements, restrictions on expenditures, and deadlines prior to initiating the project activities. If you are unclear as to the requirements and the expectations of the PI role, ask for clarification. It is imperative that the PI acknowledge and agree to the expectations of the role, as failure to comply with agency expectations, deliverables, and reporting may jeopardize future funding for ALL PIs from the agency.

### **B. Establishing an Account**

All projects have a log # at the RI. Projects with expenses at IUP also have an SAP number. It is critical that the PI use these numbers in all communication regarding the project to ensure that costs are charged to the correct project. For IUP expenses, the project will also be assigned to an IUP Grant Accountant. Email communication will be received from both the RI Post Award GCS and the IUP Grant Accountant with the applicable log # and SAP account numbers.

## **VII. Post-Award Management**

### **A. Expensing of Grant Funds**

PIs have primary fiduciary responsibility and accountability for the project. They are responsible and accountable for monitoring and managing project budgets. All budgeted items are identified as either RI or IUP expenses. PIs should refer to the project budget (Excel spreadsheet) when planning for expenditures so that the process for the respective entity (RI or IUP) is followed. We understand that this process may be confusing to new PIs. If you are unsure, please contact your RI GCS.

All expenses must be allowable per the project award documents and allocable to the project. Your GCS may require additional detail or explanations regarding an expense. Failure to provide proper justification may result in delay or denial of project expenditure.

PIs are responsible and accountable for informing the RI GCS about any needed budget modifications and for working closely with the GCS to submit all necessary documentation to the funding agency and if necessary IUP Grants Accounting.

All IUP faculty, staff, and student expenses are expensed through IUP. Please follow the requisite processes for hiring related to the classification of staff. Visit the HR website for additional information. Students are hired via Hire-A-Hawk (<https://www.iup.edu/humanresources/supervisor-resources/recruiting-and-hiring-employees/hire-a-hawk-resources/>). Faculty can be paid on release time, summer compensation or supplemental pay. Please review the budget and ensure that project staff and their respective chairs/directors/deans are aware of faculty/staff commitments to your sponsored research project. The PI is responsible and accountable for monitoring the submission of contract related forms to ensure that release, summer compensation, or supplemental pay is paid out according to the project budget.

All external/sponsored project work conducted during the fall and/or spring semester will be paid as Alternative Workload. All external/sponsored project related alternative workload during the fall and spring semesters will count toward regular workload. Overload cannot be paid out of grant/external funding. Work conducted under a grant/sponsored project during the nonacademic semesters (Thanksgiving break, winter term, spring break, summer term) will be paid as supplemental pay using Institutional Base Rate (IBR). IBR is calculated by dividing yearly salary by 30 (the number of weeks of pay in the two academic terms) and then dividing that amount by 37.5 (number of hours in a work week). The resultant IBR is the base hourly rate at which the work is paid. Please note that a person can be paid for no more than 13 weeks of work during the summer.

The Kick-off Meeting, as described above, will provide additional information and guidance regarding how expenditures are made. The Post-Award GCS is your point of contact for questions on project expenditures. Please be aware that these processes take time and plan accordingly for the success of your project.

## **B. Monitoring Financial Activity/Expenditures**

The PI is responsible and accountable for carrying out the research/creative activity/terms of the contract and has primary responsibility for achieving the technical success of the project. In addition, the PI is responsible and accountable for insuring full compliance with all the financial and administrative policies and regulations associated with the award. Although the PI does have RI and/or IUP staff to assist them with the management of project, the ultimate responsibility for the management of the sponsored project resides with the PI.

Financial information on grant expenditures is available through the RI for RI budget items and through IUP for IUP budget items. The IUP Grant Accountant for the project can assist the PI with reading SAP reports for the project. The RI Post Award GCS can assist the PI with budget updates as requested.

The RI will submit invoices, financial reports and budget modification requests when needed, to the funding agency. The PI may only submit financial reports, invoices, and budget modifications if the report is prepared and approved by the RI staff.

## **C. Budget Modifications**

If changes are needed to the project budget to ensure execution of the project, the PI should work with the RI Post Award GCS to make these budget modifications. Budget modifications may require approval from the funding agency, so please plan accordingly. The RI Post Award GCS will compile a draft of the revised budget for the PI and if applicable IUP review and approval. All communication with the funding agency about budget modifications are handled by the RI in conjunction with the PI and IUP Grants Accounting when applicable.

## **D. Reporting (Financial and Technical)**

The PI is responsible and accountable for ensuring that all technical reports are submitted to the funding agency as required by the award document and amendments if applicable. In cases where the technical report is submitted by the PI to the funding agency, the RI Post Award GCS should be copied on the report for the project file.

For RI projects, RI Fiscal will submit the financial reports as required. For IUP Projects, the IUP Grant Accounting staff is responsible and accountable for financial reporting. The PI should not provide financial reporting to the funding agency.

## **E. No-Cost Extensions**

If you anticipate that your project will not be able to be completed in the period of performance, please work with the RI post award staff at least 90 days before the end of the project to request a no cost extension from the funding agency. No cost extensions cannot be requested solely because funds are remaining on the project. The RI post-award GCS will assist in making this request to the funding agency.



## **F. Award Close-out**

At the end of your project a final technical report is typically due between 15 and 90 days after the period of performance is over. Please refer to your award agreement for specifics. The final technical report should be submitted in conjunction with the RI post-award staff and an electronic copy will be placed in the project file.

A final fiscal report may also be due within this time period. The RI fiscal staff or IUP Grant and Special Funds Accounting staff will complete this portion of the reporting.

Project files are maintained for at least 3 years from the date of close out unless the award document indicates otherwise.

# Appendix A

## Roles and Responsibilities Sponsored Research Activities

	PI	Dept/College	RI	Grants Accounting	SGSR
<b>* indicates PRIMARY responsibility</b>					
<b>✓ indicates SECONDARY/assistance responsibility</b>					
<b>Proposal Preparation</b>					
Identifies and disseminates funding opportunities	✓		*		✓
Supports researcher development by providing educational opportunities, infrastructural support, incentives, etc.		✓	*		*
Reviews & understands sponsor's guidelines/RFP	✓		*		
Drafts all required facets of the proposal (narrative, summary, methods, budget narrative, etc)	*		✓		
Reviews, edits, proofreads required facets of the proposal as time permits	*		*		✓
Identifies appropriate quotes/costs for project specific equipment/supplies/travel	✓		*		
Develops budget based on scope of work	✓		*		
Develops & submits protocols for research involving human subjects, animal subjects, or biohazardous materials	*				
<b>Proposal Submission</b>					
Identifies & secures cost sharing approvals	*				
Initiates proposal creation in Kualu	*		✓		
Performs data entry of proposal documents & budgets in Kualu and facilitates the proposal review & approval processes	✓		*		
Reviews and/or approves the proposal and budget in Kualu	*	*	✓	✓	*
Prepares final version of the proposal for submission	*		✓		✓
Submits the proposal	✓		*		
<b>Award Negotiation/Acceptance</b>					
Reviews, negotiates, and accepts award agreements			*		*
Data Entry of award documents/budget in Kualu & forwards award notice to IUP			*		
Establishes financial accounts			*	*	
Manages the project programmatically to meet project goals, sponsor expectations, and compliance requirements.	*	✓	✓	✓	✓
Understands & follows granting agency budget guidelines	*		*	*	
Manages expenditures to not exceed available award balance in compliance with agency and award terms and conditions	*		✓	✓	
Develops & administers subaward agreements	✓		*		✓
Initiates requests for rebudgeting, cost transfers, no cost extensions, and other non-monetary modifications (contact RI post award)	✓		*		

**Roles and Responsibilities  
Sponsored Research Activities**

	PI	Dept/College	RI	Grants Accounting	SGSR
<b>* indicates PRIMARY responsibility</b>					
<b>✓ indicates SECONDARY/assistance responsibility</b>					
Approves the requests for rebudgets & cost transfers			*		
Executes rebudgets & cost transfers & updates the accounting system			✓	✓	
Provides expenditure reports			*	*	
Monitors and tracks time & effort	*		✓	✓	
Approves payments to subs & consultants	*		*		
Initiates & executes all IUP necessary paperwork (AWEs, Summer Contracts, student payroll, supplemental pay, IUP purchase requests, etc)	*		✓	✓	
Prepares & submits periodic technical/activity reports	*	✓	✓		✓
Prepares & submits invoices, financial reports	✓		*	*	
<b>Project Close Out</b>					
Prepares & submits close out/final reports	*		✓		
Prepares & submits final financial reports	✓		*	*	

# Appendix B

## Verification of Match - Grants

University matching funds may only be included in applications for external funding if “required” by the funding agency. No optional matching funds from the university may be included in any application for external funding.

In the case where matching funds are required, it is the responsibility of the PI to identify the funding source(s) and secure written documentation for the commitment of the funds. For matching funds from a university source(s), this form must be submitted with all appropriate information and signatures. The form must be submitted with the budget and other application materials, as part of the pre-award internal process.

If matching funds are being secured from sources outside of the university, the commitment must be documented in writing, with the name of the project, the name of the PI, the amount being committed, and the work period for the project included. The documentation must be signed by the responsible person from the funding source.

No applications requiring match will be approved internally for submission without the appropriate documentation for all matching funds. There will be no exceptions to this requirement.

Instructions: List any match and associated cost center in the fields below. The financial manager of the cost center should sign in the appropriate field. If using an electronic signature, upon signing you will be asked to save the file as a new PDF. This new PDF can be forwarded to any other financial managers for their signature.

Please note, once an electronic signature is submitted the relevant fields will be locked.

Match Amount	Cost Center	Description	Signature