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Foreword

This manual has been developed by the Research and Grants Center in an effort to assist faculty with the development of grants and sponsored research proposals. Included you will find information pertaining to policies and procedures that have been established in order to conform to guidelines of the federal government, the state of Kansas, and Emporia State University. This manual is intended to serve as a general guide for the submission and administration of grants.

It is the desire of our office to assist faculty in maximizing opportunities to receive external funding from both public and private sources. We will support the efforts of faculty as they pursue funding opportunities that assist with teaching, research, and community service interests of the University. However, in order for the Research and Grants Center to be most effective in its support, members of the faculty and staff who initiate proposals are asked to refer to the guidelines presented in this handbook as proposals are being developed.

To summarize, we hope that the materials presented in this manual are a useful reference for those individuals pursuing external support for research or other activities. We encourage all individuals to refer any questions regarding the pursuit of external funding to the Research and Grants Center (x5351). Our goal is to provide services that will assist all campus personnel in receiving funding for projects of benefit to the campus, the community, or the nation.

Best of luck with your research and grant proposal efforts!

Jerald Spotswood
Dean, Graduate School and Distance Education

September, 2015
SECTION I. THE RESEARCH AND GRANTS CENTER

A. About the Research and Grants Center

The Research and Grants Center (R&G) assists faculty with all activities of external sponsorship of research, applied research, scholarly/creative activities and other programs: funding searches, literature searches, proposal preparation, submission, and the management of awarded grant funds.

The Research and Grants Center is a unit within Graduate School and Distance Education with responsibility for facilitating activities of faculty and staff seeking external support for research and scholarly/creative projects. The Center, 313F Plumb Hall (Campus Box 4003), is under the direction of the graduate dean, and is staffed by one full-time classified grants manager and a part-time classified office assistant. The Center’s main responsibilities are:

- assisting faculty and staff with all aspects of proposal submission,
- the fiscal administration of grants and contracts,
- ensuring compliance with federal, state, and university regulations governing externally sponsored programs,
- coordination of university-wide policies and procedures relevant to externally funded programs,
- dissemination of funding information and opportunities.

B. Funding Sources

To assist faculty and professional staff in identifying potential funding sources, ESU is a member institution of the Grants Resources Center (GRC); R&G will also assist faculty in using Grants.gov.

The Grants Resource Center, operated by the American Association of State Colleges and Universities, serves as a liaison to federal funding agencies, provides monthly announcements of forthcoming proposal deadlines and grant opportunities, and provides personal assistance in identifying funding sources or obtaining information from federal agencies. Faculty and staff have access to GRC’s web site, which contains electronic publications such as GRC Deadlines, GRC Bulletin, and GrantWeek, federal agency and private foundation links, a searchable grants database, and many informative articles on granting agencies.

Grants.gov is the single access point for over 1,000 grant programs offered by all Federal grant making agencies. This site provides full descriptions of all federal grant competitions with deadlines and updates.

The R&G staff will assist faculty and staff in the use of these services upon request. Assistance is available for: literature searches, proposal preparation, proofreading, budget preparation,
completion of forms, copying, obtaining required signatures, submission and mailing. Please refer to page 5 for more information on these resources. Once a grant is received, R&G will: 1) establish a Banner fund for the grant or contract, 2) monitor expenditures against the approved grant/contract budget, 3) prepare and submit payment vouchers, cash requests, and invoices for payment from the granting agency, 4) provide periodic financial reports to the principal investigator/grant director, and 5) prepare and submit all required financial reports to the granting agency.

C. The Faculty Research and Creativity Committee

The Faculty Research and Creativity Committee is an internal seed grant program to facilitate research and artistic creativity in the faculty. The program is intended to provide funds for projects that have potential for external funding.

Membership is selected by the President and the length of a term on the committee is three years. The committee works with the graduate dean and the Research and Grants Center to administer the program. Members are selected from all schools in the following ratio:

- the Dean of Graduate School and Distance Education,
- one representative from the School of Library and Information Management,
- four representatives from the College of Liberal Arts and Sciences,
- two representatives from the School of Business,
- three representatives from the Teachers College.

The Committee has an annual December deadline (date varies). For additional information, please refer to the annual grants program announcement or contact the Research and Grants Center. The current program guidelines may also be found on the R&G website: [http://www.emporia.edu/research/creativity.html](http://www.emporia.edu/research/creativity.html).

**Committee members are ineligible to submit proposals during their term on the committee.**

D. Definitions/FAQs Regarding Sponsored Projects

What is a sponsored project? Sponsored projects include research, applied research, training, instructional, community service, and other projects involving funds, materials, or other compensation from outside sources under agreements which contain some or all of the following elements:

- The agreement binds the university to a line of scholarly or scientific inquiry or the performance of a set of activities.
- A line-item budget that details expenses by activity, function, or project period.
- The designation of indirect costs qualifies as a budget “line item.”
- In some cases, specific tasks to be completed are budgeted for a fixed dollar amount.
- Financial reports are required.
- The award is subject to an external audit.
• Unless specified as “fixed-price,” unexpended funds must be returned to the sponsor at the conclusion of the project.
• The agreement provides for the disposition of either tangible or intangible properties that may result from the activity. Tangible properties include equipment, records, technical reports, etc. Intangible properties include rights in data, copyrights, or patents.

*What is the grant proposal approval process?* When ESU faculty or staff members submit a proposal, ESU submits the proposal; and when ESU faculty or staff receive a grant, ESU receives the grant, except when granting agencies only make awards to individuals (usually fellowships). Therefore, any application for funding prepared by any university faculty or staff must be submitted by ESU, unless sponsoring agency program guidelines specify otherwise.

Only certain individuals have the authority to sign proposal, contract, and award documents on behalf of the university. **The Dean of the Graduate School and Distance Education is the “authorized agency representative.”** Additionally, the President has authorized the Associate Vice President for Fiscal Affairs to sign all contracts as authorized fiscal officer. Faculty members, deans, and department chairs must sign approval of grant or contract proposals developed within their departments or schools, however, **no faculty member, dean, or department chair may sign a grant or contract as the “authorized agency representative.”**

All proposals for external funding, or other agreements or contracts that commit the university to provide services, products, or reports, must have the approval of the Research and Grants Center.

*What is the difference between Principal Investigator and Project Director?* The terms “principal investigator” and “project director” are used to designate the faculty member who has the responsibility for directing and completing a sponsored project in compliance with the terms, conditions, and policies of both the sponsor and the university. The terms “principal investigator” and “project director” are often used interchangeably. In this handbook, the term principal investigator, or PI, is used to indicate the highest level of responsibility for a sponsored project.

A funded project is usually conceived and carried out by the PI, who is responsible for managing the funds in order to meet the project’s goals. The PI will be constantly alert to sponsor requirements for the project and will adhere to those requirements. In addition to sponsor requirements, ESU has established policies for sponsored activities which all PI’s must follow.
What is a sponsor? A sponsor may be a government agency, a foundation, a private corporation, or a not-for-profit organization. Sponsors differ in the type of proposals solicited, awards made (grant, contract, cooperative agreement, etc.), methods of payment, terms of award, and types of costs they will support.

Typical differences among government/federal sponsors are:

- Some agencies accept both solicited and unsolicited proposals, whereas others will accept only solicited proposals.
- Some agencies utilize a peer review process (i.e., National Science Foundation, National Institutes of Health); others may conduct internal programmatic review.
- While the governing cost principles are the same for each federal agency, each agency issues guidelines with its own terms and conditions. Requirements may, therefore, vary from sponsor to sponsor.

Typical differences among private foundations are:

- Some foundations may accept both solicited and unsolicited proposals, whereas others will accept only solicited proposals.
- Large foundations normally have a paid staff to distribute literature about funding priorities and interests, review and evaluate proposals, and perform post-grant evaluations.
- Large foundations often have very specific funding priorities and few geographic restrictions.
- Smaller foundations are typically more interested in funding a wide variety of activities within their own region.
- Small foundations generally have a voluntary board of trustees, have less public accessibility, and offer smaller awards than larger foundations.
- See Appendix M for ESU’s policy on applying for grants from private foundations.

Corporate sponsors

Corporate sponsors provide funds either through a company foundation or directly from within the organization. Corporate sponsors are more likely to make equipment grants and often restrict awards to their geographic area or areas that contain a branch office or plant.

Principal investigators are required to contact the ESU Foundation before making an initial contact with a private foundation or corporate sponsor. Because the ESU Foundation works with a variety of private foundations and corporations, this required contact ensures that the university does not submit competing proposals to the same sponsor. The ESU Foundation’s many positive relationships with foundations and corporate sponsors place this office in a position to facilitate requests for funds or coordinate requests from different areas of campus, an advantage for faculty or staff preparing grant proposals. See Appendix M for information on ESU’s policy on applying for grants from private foundations.
Investigators must contact the ESU Foundation before making initial contact with a private foundation or corporate sponsor

SECTION II. SUBMITTING A PROPOSAL

A. Locating a funding source

There are several resources available to help you locate a potential funding source. As briefly mentioned in Section I, ESU is a member institution of the Grants Resource Center (GRC). Grants.gov is strictly the database of federal grant competitions.

» **GRC** provides an electronic monthly newsletter with grant program deadlines, a twiceweekly bulletin of grant announcements, links to *Federal Register* and *Grants.gov* announcements, FedBizOpps.gov opportunities, and articles on specific granting agencies. GrantSearch, GRC’s funding opportunity database, contains information on over 2,000 funding opportunities and is searchable by academic category, academic subject, activity, and sponsor. GRC also provides a funded proposals library, where you can view successful proposals from various funding agencies, and a faculty alert system, which provides registered users with customized monthly reports on funding opportunities in selected areas of interest.

» **GRANTS.GOV** is the web site portal where all federal grant competitions are listed with deadlines and updates, and is managed by the U.S. Department of Health and Human Services. The site is open and free to anyone.

R&G will assist faculty and staff in the use of any or all of these services, or will perform a funding search upon request.

B. Cost sharing

Many granting agencies, federal and private, require an applicant to share in the total costs of the project; ESU is strongly committed to providing a portion of the required cost share. A prospective PI should first request this support from the department chair and/or school/college dean. If additional resources are needed or if the department and school/college are unable to provide sufficient resources, the PI should contact the Research and Grants Center. R&G has funds available to meet cost-sharing requirements on externally-sponsored grants. Requests for these funds should be submitted to R&G at the earliest stages of preparing the grant proposal. Every effort will be given to providing necessary support for the proposal. It is important that cost-sharing commitments be secured before the proposal is submitted.

All cost sharing included in a proposal, whether voluntary or required, represents a commitment from the university and must be documented if the proposal is awarded. Voluntary cost sharing (a share or match the sponsor does not require), or cost sharing above the amount required by the
sponsor, is the responsibility of the department and/or school/college. Voluntary cost sharing is discouraged unless it is shown that shared costs will significantly improve the competitiveness of the proposal. Please refer to page 13 for additional information on documentation of cost sharing.

Cost sharing requirements may include any of the following:

Release time. An academic department may “release” faculty or other personnel from a portion of departmental responsibilities to work on a sponsored project, without charge to the sponsor. This may also be referred to as an “in-kind” contribution.

Cash contributions. Purchase of budgeted items may be made using departmental or school/college funds.

Third party contributions. An entity other than the university may cover the costs of budget items, or may contribute time, materials, or personnel without compensation from the granting agency or sponsor.

C. Submitting the proposal for internal review and approvals

Every proposal must be approved by appropriate university officials before it is sent to a funding agency. The electronic Proposal Transmittal Form (available on the university’s InfoPath forms site) is the document that must accompany the proposal through the internal approval process. Whether routed electronically or otherwise, the PI first obtains the signatures of the department head and school/college dean, then forwards the proposal to R&G. The Research and Grants Center reviews the proposal, and if approved, obtains the signatures of the chief financial officer and Provost. If the proposal does NOT include any matching commitment from ESU, then the proposal does not require approvals past R&G. If the proposal will be submitted to a private foundation, approval must also be obtained from the ESU Foundation. (See Appendix M)

Proposals containing matching funds should be forwarded to R&G for review at least seven working days before the proposal is submitted to the funding agency.

In order to expedite the proposal review process, careful attention to the following details is important:
Budget. The budget should be calculated correctly and should include an amount for F&A costs (facilities & administrative costs, or indirect costs), if allowed by the funding agency. Unless there is a restriction on the amount allowed, ESU’s federally negotiated F&A rate should be used. Contact R&G for ESU’s current rate. If F&A costs are not allowed, that information should be provided to R&G. The Graduate School Dean must approve any negotiation of F&A costs.

Proposal Transmittal Form. The second page of the Proposal Transmittal Form requests detail on the kinds and sources of university commitments and matching funds required by the granting agency and included in the project budget. The funding source of all in-kind and cash requirements should be clearly described in this section. Unless otherwise indicated, the signature of the department head will be interpreted as guaranteeing these commitments from the department’s existing resource base.

Financial Conflicts of Interest. The principal investigator must sign the Financial Conflicts of Interest Assurance on the Proposal Transmittal Form for all proposals submitted to NIH or NSF. Key personnel involved in the proposed project must also comply with the FCOI policy. See Section III for more information on ESU’s Financial Conflicts of Interest policy.

Editing the Proposal. Proofread the proposal carefully and recruit at least one other individual to proofread. Time is usually short when submitting a proposal, and typing, grammatical, or calculation errors will only delay the internal review and approval. R&G will provide assistance with editing and budget preparation if requested, but these services must be requested before the proposal is forwarded for approval. R&G encourages the prospective PI to submit a draft of the project budget one to two weeks before the submission date. Careful preparation and time management will ensure that the internal review and approval process proceeds smoothly and the proposal is submitted on time.

D. If the proposal is denied funding

Unfortunately, a proposal may not be successful the first time it is submitted. If the proposal is denied, send a copy of the denial letter to R&G. A proposal may have been denied, not because it lacked merit, but because funds were limited; a proposal may receive an excellent score but still be denied funding. The denial letter will often provide information on how to obtain copies of the reviewers’ comments; if information is not provided, contact the agency and request copies of the evaluation.

If the project was denied funding because it did not meet agency funding priorities, R&G can assist in finding other funding sources. If the proposed project was appropriate but was denied, R&G strongly encourages the prospective PI to revise the proposal for the next grant cycle.
Read the evaluations carefully, address the reviewers’ concerns and criticisms during revision, and resubmit. Contact an agency representative to discuss questions and concerns about the proposed project. Many federal agencies have a staff person who will answer questions about grants currently open in the department or division and will review proposal drafts—a service meant to improve proposals and increase the likelihood of funding.

SECTION III. UNIVERSITY POLICIES AND PROCEDURES RELEVANT TO SPONSORED PROJECTS

A. Facilities and Administrative Costs

Facilities and administrative costs (F&A), also commonly referred to as “indirect costs,” are those costs not readily identifiable with a specific project but are necessary to the general operation of the university and to all grant activities. Indirect costs rates are determined in accordance with cost principles established by the federal government and are negotiated with our cognizant government agency (DHHS). If F&A costs are allowed by the granting agency, they must be included in the grant budget. The PI or department does not have authority to waive F&A costs (see page 6, Budget).

In keeping with R&G’s mission to foster research and creative activities, 20% of F&A costs recovered on a grant or contract will be allocated to the department of the principal investigator. For projects with PI’s from different departments, the F&A costs will be allocated equally among the applicable departments unless otherwise negotiated. The department chairperson can allocate these funds at their own discretion. A portion of F&A costs recovered is also placed in a reserve fund which is used to assist PI’s, departments, and the schools/colleges in meeting required cost-sharing requirements on grants and contracts (see pages 5-6 for additional information on meeting cost-sharing requirements).

B. Effort Reporting and Certification

Effort reporting is how we provide assurance to a grant sponsor that a) salaries charged to a sponsored project are reasonable in relation to the work performed, and b) faculty and staff have met their commitments to a sponsored project. When a grant proposal is submitted, a level of effort is estimated, whether funds are requested to cover that effort or if it is included as cost sharing. When a proposal is funded, unless that level of effort is negotiated up or down, the level proposed is a commitment of effort. Throughout the grant period, salary is charged to the sponsor, or time is reported as cost sharing. Periodically, the grant sponsor wants to know that appropriate effort has been devoted to the project to justify the salary charges.

Effort certification is required for individuals who have paid or committed effort on sponsored projects. Effort must be certified by a person who can verify that the work was performed.
Faculty, academic staff, and all PI’s certify their own effort. PI’s certify effort for graduate students and non-PI classified staff. More information on effort reporting and certification is provided at [http://www.emporia.edu/research/effort-reporting.html](http://www.emporia.edu/research/effort-reporting.html). The forms required for providing effort certification are available electronically at [http://www.emporia.edu/research/forms/](http://www.emporia.edu/research/forms/).

C. Protection of Human Participants

The use of human participants is regulated by legislative mandate and University policy and must follow the guidelines developed by the Institutional Review Board for Treatment of Human Participants (IRB). The guidelines are available on the Research and Grants web site at [http://www.emporia.edu/research/irb.html](http://www.emporia.edu/research/irb.html). Before research with human participants can be approved, the investigator must register with CITI (Collaborative Institutional Training Initiative) and successfully complete the Human Subjects Research training course. Instructions for registering with CITI are included at the link above.

D. Animal Care and Use

Research involving animal subjects is regulated by animal welfare guidelines developed by the U.S. Department of Agriculture and the Animal Welfare Act. The use of animals in research must follow the university policy on the humane care and use of vertebrate animals. These guidelines are available from the university’s Animal Care and Use Committee (IACUC) and are also available on the Research and Grants web site at [http://www.emporia.edu/research/policies.html](http://www.emporia.edu/research/policies.html). Before research or training with animals can be approved, researchers must register with CITI and successfully complete the Animal Care and Use (ACU) training course. Instructions for accessing this program are included in the policy document referenced above.

E. Financial Conflicts of Interest

Both the Public Health Service and the National Science Foundation require colleges and universities to provide investigators training related to financial conflict of interests. ESU must be able to document that training is provided and that investigators are in compliance with federal regulations. For more information on federal regulations, please see: NIH-42 CFR Part 50 Subpart F – Promoting Objectivity in Research, or NSF-Award and Administration Guide: Chapter IV-Grantee Standards. To comply with federal regulations, investigators applying for grants from NIH or NSF must review the applicable training module and submit an ESU Disclosure Statement Regarding Conflicts of Financial Interests. All key personnel involved with the proposed project must also review the training module and provide a disclosure statement. ESU’s policy and training module are available at [http://www.emporia.edu/research/policies.html](http://www.emporia.edu/research/policies.html).

F. Responding to Allegations of Scientific Misconduct

A university that applies for or receives a grant or cooperative agreement from the U.S. Public Health Service (which includes the National Institutes of Health) or the National Science Foundation must submit an annual assurance certifying that the institution has established procedures to process, investigate, and determine allegations of scientific misconduct. Emporia
State University has established a policy on scientific misconduct. A copy of the policy is available on the Research and Grants web site at http://www.emporia.edu/research/policies.html.

G. Equipment
Unless otherwise noted by the funding agency, all equipment purchased through a sponsored program becomes the property of the university. Normally where equipment is purchased with funds provided by a grant, title will be vested with the university. If purchased through a contract, title may remain with the sponsor if so indicated in the contract agreement. Whether purchased with grant/contract funds or state funds, equipment will be inventoried in accordance with normal university procedures.

H. Patent Policy
University patent policy has been established by Emporia State University and may be found in the University Policy Manual at http://www.emporia.edu/acadaff/policy-manual-links/index.html (Chapter 3E.04).

I. Intellectual Property
The purpose of the Intellectual Property Policy is to foster the creation and dissemination of knowledge and to provide certainty in individual and institutional rights associated with ownership and with the distribution of benefits that may be derived from the creation of intellectual property. The intellectual property policy is available in the University Policy Manual at http://www.emporia.edu/acadaff/policy-manual-links/index.html (Chapter 3E.04).

J. Drug Free Workplace
Federal regulations require all institutions applying for and receiving federal funds to assure that the institution has implemented a policy for a drug free workplace. A copy of the University’s policy may be found in the University Policy Manual at http://www.emporia.edu/acadaff/policymanual-links/index.html (Chapter 3R.03).

K. Responsible Conduct of Research (RCR)
In January of 2010, The National Science Foundation (NSF) implemented Section 7009 of the America Creating Opportunities to Meaningfully Promote Excellence in Technology, Education, and Science (COMPETES) Act (Public Law 110-69-August 9, 2007). Section 7009 (42 U.S.C. 1862o-1) requires that "each institution that applies for financial assistance from the National Science Foundation for science and engineering research or education describe in its grant proposal a plan to provide appropriate training and oversight in the responsible and ethical conduct of research to undergraduate students, graduate students, and postdoctoral researchers participating in the proposed research project."

In implementing the above, NSF requires an institution to "have a plan in place to provide appropriate training and oversight in the responsible and ethical conduct of research to undergraduate students, graduate students, and postdoctoral researchers who will be supported
by NSF to conduct research." The training plan does not have to be submitted with a grant proposal, but the plan must be in place and the institution must verify that undergraduate and graduate students, and postdoctoral researchers supported by NSF complete the training.

To be in compliance with the above requirement, Emporia State University will use the free education training site provided by the NSF Ethics Core Digital Library. The RCR training modules are provided free of charge to registered users. The web site (URL follows) will allow us to track the individuals who have completed the training.

http://nationalethicscenter.org/register For instructions to begin using this site, go to the Federal Compliance Policies page on the Research and Grants Center web site.

L. Export Control Policy

Approved in June, 2013, ESU’s Export Control Policy defines requirements for controls on exports of research-related materials and information, and for documentation related to exclusions and exemptions. The Export Control Policy addresses issues related to shipping tangible items overseas; sharing proprietary, confidential or restricted information or software code with foreign nationals at ESU; and, interactions with embargoed or sanctioned countries, organizations or individuals. Federal regulations related to these issues are complex and changing. The Export Control Policy is available in the University Policy Manual at http://www.emporia.edu/acadaff/policy-manual-links/index.html, and questions may be directed to the university’s export control officer, Dr. Jerald Spotswood, Dean, Graduate School and Distance Education.

M. Applying for Grants from Private Foundations

ESU faculty are encouraged to seek external funding from private foundations. However, we need to coordinate these efforts with the ESU Foundation. The ESU Foundation regularly approaches local and community foundations. It is important that there be a coordinated effort and approval of visits and proposals to local and regional private foundations. Often these grantors may only accept one proposal from an institution; therefore the ESU Foundation needs to be aware of all proposals and contacts to these entities. If the decision is made to go ahead with an individual proposal, ESU Foundation staff is in an excellent position to give you advice and suggestions for a successful proposal. The policy and procedures adopted to coordinate grant-seeking from private foundation is available at http://www.emporia.edu/research/policies.html.
SECTION IV. PROJECT ADMINISTRATION

A. Agency-grantee-principal investigator relationship

Emporia State University wishes to provide as much flexibility as possible to the principal investigator in achieving the project goals and objectives. The university, however, is named as recipient (grantee) of grants, contracts, and cooperative agreements and is therefore responsible for observing all fiscal and governmental regulations. The Research and Grants Center serves as the intermediary between the principal investigator and the funding agency for the purpose of negotiating changes in project budget, extending deadlines, and other items primarily administrative in nature.

The Center is also responsible for submitting required fiscal reports and ensuring compliance with agency guidelines and regulations. The principal investigator is responsible for managing the project, authorizing expenditures of grant funds, accurate time and effort reporting of project personnel, directing the technical aspects of the project, and carrying out the project within the scope authorized by the agency and the University.

B. Establishing an account and authorizing expenditures

Until the principal investigator receives the award notice, costs to the project cannot be incurred or paid unless specifically authorized by the granting agency. When notification of a grant award or contract is received, the principal investigator should immediately notify the Research and Grants Center. An account number will be established by the Center which must be used on all documents pertaining to that grant/contract account. All documents should also contain the signature of the principal investigator and should be routed through the Research and Grants Center.

The principal investigator is responsible for ensuring that grant funds are expended according to award guidelines, University policies and procedures, and federal and state laws.

Failure to comply with applicable rules and regulations may result in the termination of the award by the funding agency or disallowed expenditures, in which case the funds expended must be replaced.

C. Record keeping

The Research and Grants Center will maintain all official financial records of grant and/or contract funds throughout the budget period and for at least four years after the submission of all final reports. Periodic financial reports will be sent to the principal investigator; however, PIs are encouraged to establish a record keeping system for the project. For assistance with accounting or budget status, contact the Research and Grants Center.
D. Documentation of cost sharing

It is the responsibility of the principal investigator to collect proper documentation of all costs contributed by the university or a third party if those costs were included in the proposal budget. **Whether required or voluntary, all cost sharing included in the original proposal represents an obligation on the part of the university.** The R&G Center will archive documentation of cost sharing, if requested. If the PI chooses to store this information, it should be kept for at least three years after the submission of all final reports. Documentation should include the following, as necessary and appropriate:

- The appropriate effort certification report should be used to document time spent on grants and departmental activities (*see page 8*). This form is available on the R&G web site at [http://www.emporia.edu/research/forms/](http://www.emporia.edu/research/forms/).
- Payroll funding sheets for other personnel costs contributed to the project
- Payment vouchers for purchases of supplies and equipment
- Travel vouchers
- Monthly billings for postage, telephone, printing services, state car, or other campus services
- Equivalent documentation of above from a third-party entity

E. Purchasing equipment

Unless specifically provided for in the approved project budget, the purchase of general equipment frequently requires prior written approval from the funding agency. All purchase orders for equipment must be submitted through the Research and Grants Center. General equipment costing $5,000 or more will receive a university inventory control number and will be listed on the department’s inventory listing. Computer equipment, including peripherals, costing less than $5,000 will also receive an inventory control number. All equipment is the responsibility of the principal investigator and his/her department.

F. Modification of award

Modification of an award in terms of project scope or budget may occasionally be necessary. Such modifications generally require prior approval from the funding agency, and each agency has specific requirements for obtaining approval. Consult the award documentation for details.

Proposed changes in project scope or budget must be processed through the Research and Grants Center.
Likewise, any subsequent correspondence or documents in regard to such changes must be sent to the Research and Grants Center. If budget revisions increase the amount of university commitment, the revisions must be routed through the same approval process as the original proposal.

G. Encumbrances near to and after termination date

All supplies, services, and equipment must be received and used during the project period. Items received after the award period cannot be of benefit to the project and auditors routinely disallow charges for such items even if they were legitimate charges at the time the order was placed. **Place all orders for supplies and equipment sixty days in advance of the grant/contract expiration date to ensure delivery and use prior to expiration.**

If additional time is needed to complete reports or to acquire supplies, contact the Research and Grants Center about a no-cost extension or to make other arrangements.

H. Reports and records retention

Generally, awards require some type of report at varying periods during the project and a final performance and financial report at the end of the project period. The Research and Grants Center will prepare and submit required financial reports.

The principal investigator is responsible for all performance and/or technical reports pertinent to a project.

A performance/technical report generally requires a summary of accomplishments, an evaluation of the project, and explanation of any problems that have hindered the progress of the project. The required number of copies should be sent to the funding agency, and one copy should be sent to the Research and Grants Center. Although the Center is responsible for submitting required financial reports, the principal investigator needs to cooperate with the Center in regards to any outstanding orders/invoices and should plan to end all expenditures, except those absolutely necessary, at least one month before the end of the project.

All records must be maintained at least three years after the submission of final reports unless otherwise specified by the funding agency. All records pertaining to performance of the project must be kept by the principal investigator and made available to the funding agency if that agency should decide to audit the award. The Center will maintain all financial records.

I. Where to go for information

The current Research and Grants Policies and Procedures Guide is available on the R&G website, at:

http://www.emporia.edu/research/policies.html
The University Policy Manual is available at:

The following information is also available on the R&G Center web site:

Animal Care and Use Committee’s Policy on the Use of Vertebrate Animals in Research

Boilerplate information for proposals

Effort Reporting and Certification

Faculty Research and Creativity Committee Program Announcement

Financial assistance for scholarly exhibition and page charges

Financial Conflict of Interests

Graduate School and Research Bulletin

Institutional F&A (indirect) cost rate

Institutional Review Board for the Treatment of Human Participants guidelines and application form

Link to the Grants Resource Center (contact R&G for username and password)

Proposal Development Resources – Tips and Tutorials

Proposal Transmittal Form

Scientific Misconduct Policy

Stipend and tuition rates for graduate assistants

Student research grants