Internal Grants Seminar
RCAP & FUSE

9/10/2024

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Agenda

- The Office of Research & Creative Activity – OSP & ORI
- FUSE Details
- RCAP Details
- Compliance
- Expenditure info – best practices
  - Hardcode
  - Requisitions for Purchase Orders
  - Travel
  - Payment Authorizations (usually for human subject incentives- gift cards)
  - Contracted services
  - Student Hiring (RCAP)
  - End of fiscal year vs end of project year

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Office of Research & Creative Activity (ORCA)

Office of Sponsored Programs

- **External Grants**
  (NIH, NSF, local contract, agreements, etc.)
  - **Pre-Award Team**
  - **Post Award Team**

Office of Research Integrity

- **Compliance**
  - IACUC (Animal Subjects)
  - IRB (Human Subjects)
  - Conflict of Interest (COI/FCOI)
  - Responsible Conduct of Research (RCR)

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Office of Research & Creative Activity (ORCA)

- ORCA commits budget for FUSE & RCAP

- Indexes for awards are 'housed' in ORCA

- ORCA Staff are the financial managers

- The awards are spent directly out of those indexes (there is not a transfer of budget)

FUSE

Faculty-Undergraduate Student Engagement

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FUSE
Faculty-Undergraduate Student Engagement

Focus: Undergraduate Students (at least sophomore status by award start date)

Cycles: Two cycles awarded per year, Spring and Fall

Award Amount: $3,000 for one student or $4,000 for groups or if project includes international travel.

FUSE
Faculty-Undergraduate Student Engagement

➢ Award Dates (Cycles):
  ➢ Spring: January-May of the next year
  ➢ Fall: August-December of the next year.

➢ Student Stipend: The student receives a $500 stipend at completion of project and final report is submitted.
  ➢ If there are multiple student's, the stipend will be divided.
  ➢ Completed by ORCA staff

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FUSE

Student and Faculty Mentor must review and sign the award contract and spending guidelines (sent via email to the student and faculty mentor).

These guidelines can be found at the link below.

https://www.wku.edu/research/fuse_awardee_info.php

Guidelines for Spending FUSE Funds

- All expenditures associated with a FUSE Award must be consistent with the following:
- **Project-related Expenses:**
  - Up to $3,000 for project-related expenditures (including student travel needed to carry out or present research)
- **$500 Student Award:**
  - Awarded to the student after the successful completion of the project
- The mentor is responsible for managing & monitoring the project-related funds. The mentor should ensure expenses are allowable, and must follow departmental and University spending policies and guidelines.
- Expenses will be charged to the mentor's departmental index or purchasing card and will be reimbursed from the FUSE Grants index once approved by the Office of Research and Creative Activity (ORCA).
- **To Obtain Approval from ORCA:** Please follow the procedures outlined below for making purchases using your FUSE Award funds. If questions arise, email those to fuse@wku.edu.
- *Do not spend out-of-pocket and expect to be reimbursed.* The University does not have a system in place to reimburse out-of-pocket expenses unrelated to travel (e.g., per diem, incidentals, etc.).

PROCEDURES FOR SPENDING FUSE FUNDS
** Please reference the FUSE award number, student, and mentor on all requests**

TRAVEL
*All travel must be consistent with WKU travel policies. For specific questions and policy information please contact the Travel Office.
- FUSE will only reimburse the least expensive method of travel. When possible, pay for up-front travel expenses (such as airline tickets and lodging) using the mentor's department Purchasing Card (Pcard). Once the charges hit JP Morgan Chase, the office support personnel can e-mail fuse@wku.edu to request that the charges be transferred (hardcoded) to the FUSE Index #XXXXX ("HARDCODES" in subject line).
- Out-of-pocket travel expenses (such as food, mileage, taxi fare, etc.) can be reimbursed AFTER you travel by submitting a Travel Voucher.
- After departmental approval, the Travel Voucher must receive approval for use of the FUSE index by the FUSE Administrator. Send the voucher electronically to fuse@wku.edu.
- Mentor travel will only be reimbursed from the FUSE grant if the student is present.

ORDERING MATERIALS AND SUPPLIES
Order materials and supplies using the mentor's Department Purchasing Card. Once the charge appears online (JPMC, etc.), your department's Office Personnel can e-mail fuse@wku.edu to request that the charge be transferred to the FUSE grant index.
- Include invoice/receipt as well as screen shot of the charge from the JPMC website.
- Be sure to mention that WKU is tax-exempt! The tax-exempt number can be found on the Purchasing Card.
- All supplies and materials become property of your department after the FUSE Award has ended.
- **All procurement card and requisition/purchase orders must be complete 30 days prior to the End Date.**

PAYING FOR PERSONNEL / HUMAN SUBJECT PARTICIPANTS
Please follow standard procedures for paying personnel, including paying human subjects participants: http://www.wku.edu/compliance/irb_payments.php. Send all forms to fuse@wku.edu for approval.

FUSE
Important Reminders

➢ Communications about FUSE: fuse@wku.edu

➢ Please refer to the Award Number (example: 24-FA200), student name, and mentor name in all communications.

➢ The mentor MUST monitor students spending and ensure expenses are allowable.

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RCAP
Research & Creative Activities Program

Focus: Faculty Support

Application Cycle: Call for Proposals opens in late November.

Proposals due February to ORCA

Review Committee provides recommendations for awards

Project Cycle: 15 months (Awards begin May 15)

Contact: internal.grants@wku.edu

RCAP

<u>Mechanism Details</u>

Category I: Up to $16,000 'seed' funding to enhance the competitiveness of a subsequent submission for external funding

Category II: Up to $8,000 to support general enhancement of research & scholarly activity

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RCAP

Designed to mirror external awards

- Follow the proposed budget (budget submitted at application)

- Reallocation and Extension request procedures

- Spending procedures

- Final report

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RCAP

Review the award contract and spending guidelines (sent via email to the faculty member, office support staff, and college support person)

https://www.wku.edu/sponsoredprograms/rcap_award-management.php

Each cycle will have Spending Guidelines included with the contract. *Also available on the award management site.*

Faculty & support staff must review & follow the spending guidelines.

RESEARCH & CREATIVE ACTIVITIES PROGRAM (RCAP)
AWARD CONTRACT

Subject: RCAP II
Principal Investigator: Dr. Smith
Co-PI(s):
Amount: $.00 8,000
Start Date: 5/15/2024   End Date: 8/15/2025
Award Number: RCAP 25-8060   Final Report Due: 02/15/2026

I have read the conditions listed below as set forth by the Office of Research and Creative Activity (ORCA) on which basis I have been granted funds for an internal RCAP award.

- This award is active from the Start Date to the End Date listed above. RCAP funds must be expended by the End Date, and all expenditures must follow the University's purchasing guidelines and policies for internal grants. Deviations from the approved project budget must be requested and approved by RCAP administrators prior to spending. No spending can occur prior to the start date. **All procurement card and requisition/purchase orders must be made 30 days prior to the End Date.**
- If the project involves human subjects, animal subjects, export control issues, rDNA/RGZ microbe, or bio-hazards, **appropriate institutional approval(s) must be obtained BEFORE the project begins and BEFORE funds are spent.** Contact the Office of Research Integrity (ori@wku.edu) for further information or visit http://www.wku.edu/compliance/.
- The following deliverables are expected within five months after the project end date:
  - A manuscript for publication and/or paper for presentation at an appropriate professional conference should be submitted, **or** a work of art, exhibit, or performance (as specified in the application) should have occurred before the final report due date.
  - Submission of an extramural funding proposal is expected before the final report due date [mandatory for CATEGORY I awards].
- As a condition of this award, you agree to serve as a reviewer for internal grants during the 2025-2026 and 2026-2027 academic years. ORCA also appreciates awardees' willingness to review beyond the required review service period. Additionally, you may be asked to do other modest service to support the research mission of the University. This may include attending brief meetings, participating in mock review panels for extramural proposals, and/or attending WKU research-related seminars/workshops.
- If an awardee anticipates being unable to complete the project within the listed time frame, a progress report, accompanied by a request for a one-time extension, must be submitted before the End Date. The report should specify which project objectives have been completed, which are still outstanding, and why they are still outstanding. *Please note that no-cost extensions will only be approved in exceptional circumstances. Only one no-cost extension will be approved.*
- By the final report due date, the attached final report form must be submitted to the ORCA (internal.grants@wku.edu) along with appropriate documentation that the expected outcomes of your RCAP project have been achieved. Examples of appropriate documentation may include a copy of an external proposal, copy of manuscript/presentation materials, or a pamphlet noting performance/work of art. Copies of the final report should be provided to your department head and dean.
- Any outcomes produced as a result of this award should be archived in TopSCHOLAR, WKU'S digital repository for research, creative and/or scholarly activities: http://digitalcommons.wku.edu/

I agree to the conditions of the contract, and I understand that my failure to furnish progress reports and/or achieve the expected project outcomes/deliverables, as agreed on here, may obligate me to refund all expenditures to date from my RCAP award. I also agree that upon completion of my project and/or following the end date of this award any unused funds will be returned to RCAP. If I overspend my RCAP funds, I will be responsible for obtaining the funds to reimburse RCAP in the amount of the overage. I understand that failing to adhere to the above-described conditions may result in ineligibility for future internal funding.

IN ORDER TO RECEIVE THE FUNDING FOR THIS AWARD, YOU MUST REPLY TO THE AWARD NOTIFICATION EMAIL STATING YOU AGREE TO THE TERMS/CONDITIONS OF THIS CONTRACT AND THAT YOU HAVE REVIEWED THE "MANAGING A RCAP AWARD" WEBPAGE

RCAP

RESEARCH & CREATIVE ACTIVITIES PROGRAM (RCAP)

AWARD CONTRACT

Subject: RCAP II
Principal Investigator: Dr. Smith
Co-PI(s):
Amount: $.008,000
Start Date: 5/15/2024   End Date: 8/15/2025
Award Number: RCAP 25-8060   Final Report Due: 02/15/2026

I have read the conditions listed below as set forth by the Office of Research and Creative Activity (ORCA) on which basis I have been granted funds for an internal RCAP award.

- This award is active from the Start Date to the End Date listed above. RCAP funds must be expended by

Please refer to the Award Number (25-8060 example) in all communications.

RCAP
Reallocations

➢ "[Managing a RCAP Award](#)" = link to request **form**

➢ Reallocations must align with project objectives (*Allowable, Reasonable, Allocable*).

➢ Refer to the project budget (found in the application) to indicate which categories the funds will move FROM and TO (*account codes not needed*)

   ➢ Example: From: Personnel $2000   To: Supplies $2000.

Communicate changes in services/vendors/personnel if listed on budget, even if not considered a reallocation.

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RCAP
No-Cost Extensions

➤ "[Managing a RCAP Award](#)" page for link to request **form**

➤ Extensions are <u>not</u> granted for the purpose of using an unliquidated balance.

➤ OSP will email the decision to the PI and support staff.

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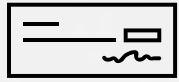
🔍🐛 Compliance

If the project will collect data on:

Human Subjects = IRB Approval or Exemption

Animal Subjects = IACUC Approval or Exemption

The PI (faculty / student) must send the ORI letter to ORCA (via fuse@wku.edu or internal.grants@wku.edu) **before work (or spending) may begin** on the project.

Expenditures

Best Practices & Helpful Hints

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Expenditure Info

University Policies and Procedures are <u>always</u> followed

- ORCA approval does not supersede WKU Policy/Procedure

    <u>SOF Forms Page</u> | <u>Finance Policies</u> | <u>WKU Discretionary spending policy</u>

- No pre-award spending (before start date).

- Spending must stop 30 days prior to end date (student workers on RCAP can be an exception but timing must be monitored closely). (<u>Payroll Schedules</u>)

- Include the award number and PI/student name on all communications.

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⊟ Hardcode (P-card Expenses)

1. Use the department p-card to make the purchase.

2. The expense shows up in JPMC.

3. Enter the appropriate account code & description of the expense (as usual).

4. Send FUSE/RCAP a screenshot of the JPMC (vendor, amount, description) AND a copy of the receipt/invoice.

5. We review against award budget & send forward to the pcard.admin@wku.edu.

6. Pcard Admin office puts the expense on the award index.

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Requisitions for Purchase Orders

1. It is best practice to email us to confirm the expense is approved for the awarded project **prior** to moving forward with the purchase.

2. Enter the requisition (as usual).

3. When checking out, reassign the requisition to Brittany Hix (*manager of RCAP & FUSE Indexes*).

4. We will review and checkout (you will be copied on communications).

5. Inform us when the product arrives so we may "receive it" in Topshop (if applicable)

✈ Travel

1. Make purchases with p-card (as usual) - hardcode to award as needed. *All expenses will be recorded on the Travel Voucher after the travel is complete.*

2. When submitting the Travel Voucher, please send it electronically (pdf) to our office (FUSE /RCAP) for review and approval. (There is not an approval block for grants or "other approvers" but please send to us regardless.)

3. We will send to the Travel Office for final processing.

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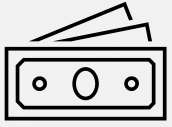
Payment Authorizations

- PAs are typically for human subject incentives (gift cards or cash)

- Not to be used for reimbursement of expenses to the PI / student

- Use the award index on the form as the index that will "pay"

- Include in the text area the expense details and the award information

- Send the PA electronically (pdf) to our office (FUSE / RCAP) for review and approval. (There is not an approval block for grants or "other approvers" but please send to us regardless.)

- We will review /approve & return the form to you for further processing.
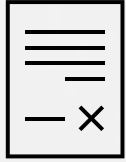
Contracted Services

- For any non-WKU employee doing work for a project

- Three types:
  - Personnel Services Contract
  - Memorandum of Agreement
  - Performance Contracts

- See descriptions and more info on the Purchasing page (bottom on of right-hand of page)

- https://www.wku.edu/strategyopfin/purchasing/index.php
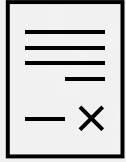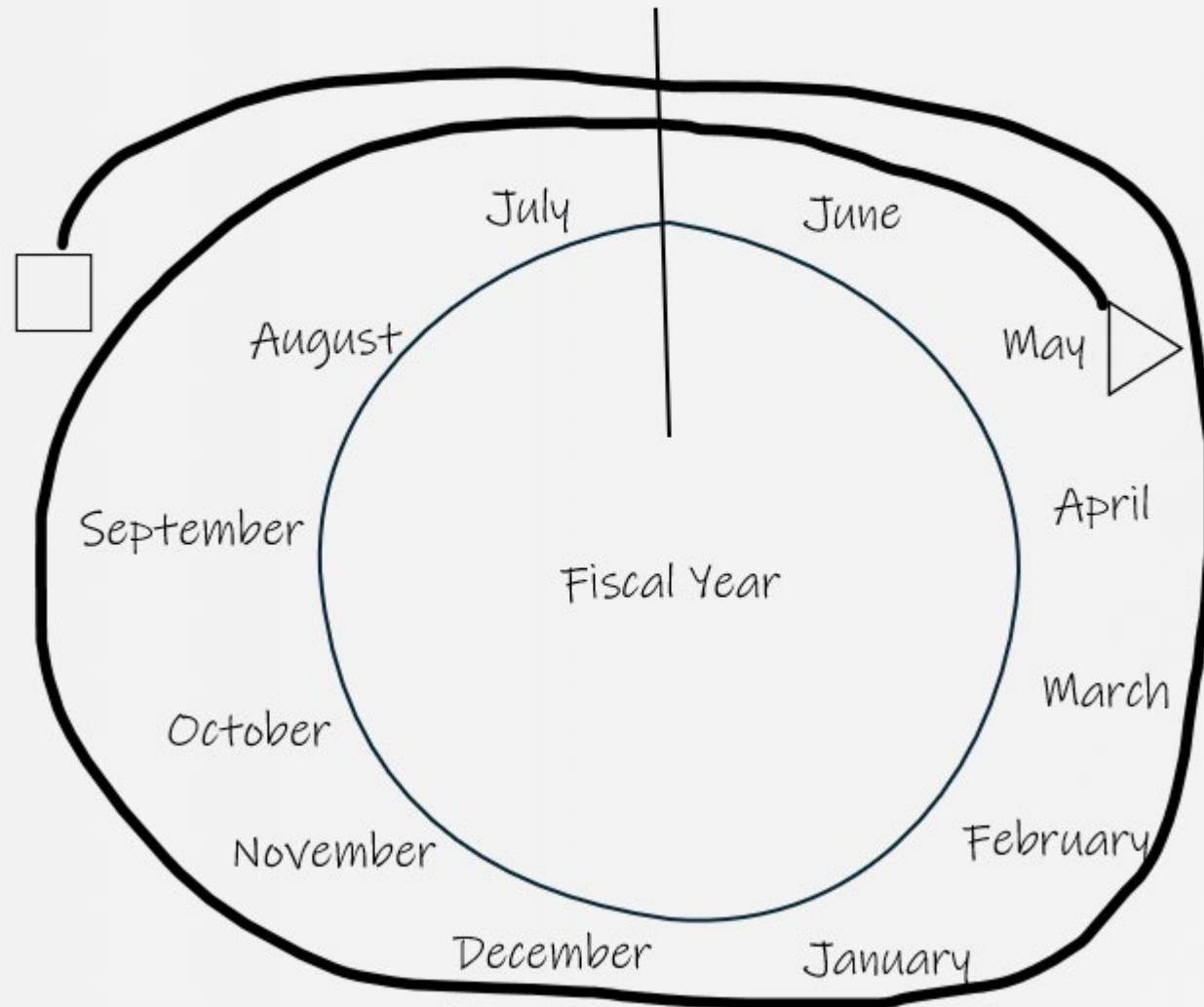
Contracted Services

- Please inform our office before starting the contract process

- **Send ORCA the quote from the contractor**

- ORCA will review the work/contractor against the grant budget and give the "ok"

- Then you may continue to process the forms required to get approval with WKU Purchasing and enter the requisition in Topshop. (See Requisition slide for more info)
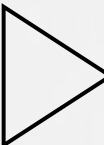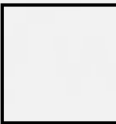
Student Hiring (RCAP Only)

- Submit the request form to ORCA first
  - See [Managing a RCAP Award](#) page for link
- We confirm funds are available for timeperiod noted
- We make record of the student with the project number/PI
- We will reply with the index number to use to hire the student
- You may continue the process of hiring the student

End of Fiscal Year / End of Project Year

July

June

August

May

September

Fiscal Year

April

October

March

November

February

December

January

RCAP Begins May 15

RCAP Ends Aug 15

⧗ End of Fiscal Year / End of Project Year

- Any expenses that may have been posted to your department need to be move within 90 days to the grant index

- Be mindful of end of fiscal year deadlines.

- While the project is still active, the expenditures are subject to EOY deadlines.