
SUBJECT MATTER EXPERT

GRANT REVIEW 501 – CGO TOPICS



GRANT REVIEW SERIES

- 1/21 CGO Topics

BUSINESS CENTER

MISSION STATEMENT

The CAFE Business Center is a support unit dedicated to providing customer service and facilitating financial and human resources activities within the College.

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OVERVIEW

- This is the fifth in a series of grant trainings provided to CAFE departments
- This class will discuss various CGO topics related to competitive grants

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OBJECTIVE

- To provide Business Officers with relevant and timely information regarding managing competitive grants
- Discuss and provide an understanding of areas the CGO can provide assistance to the Investigators.

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ROLES AND RESPONSIBILITIES

- E-1-3 Fiscal Roles and Responsibilities
- Section IV.E – Fiscal Responsibilities of Administrators
 - Departmental business officer shall be knowledgeable, responsible, and accountable for the fiscal transactions of their units or projects. To ensure that strong internal controls are in place.

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ACRONYMS AND ABBREVIATIONS

- **ADR** – Associate Dean for Research; provides administrative oversight and support for a wide range of research activities
- **BO** – Business Officer; responsible for a department’s financial management, business operations, and human resource administration functions
- **BUDRULE** – Budget Rules; used when addressing sponsored projects. Examples are budrule4 for federal or federal flow through funding projects, budrule5 for state, foundation, or other restrictively funded projects, and budrule9 pertaining to industry, clinical trials and other less restrictively funded projects
- **BW** – Business Warehouse; A data warehousing product. Utilized to generate reports
- **CAS Items** – Cost Accounting Standards Items; Standards to ensure uniformity and consistency in the measurement, assignment and allocation of costs; for financial and oversight purposes these are GL’s that are generally unallowable on a sponsored project
- **CGO** – College Grants Officer; College Grant Officers assist with a multitude of duties from the proposal period through the grant management period and along with your departmental Business Analyst should be considered as the first contacts for any and all grant related questions and issues for your department
- **Expected Account** – Also referred to as an E-account, an expected account is created by the Office of Sponsored Projects Administration upon request for sponsored projects awaiting the receipt of a final award document
- **eIAF** – Electronic Internal Approval Form; The eIAF is an internal approval form used by OSPA to gather various information before a proposal may be submitted to apply for a grant

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ACRONYMS AND ABBREVIATIONS

- **F&A** – Facilities and Administrative Costs; F&A costs are real expenses incurred by the university in support of sponsored projects, but which by federal regulation cannot be charged directly to a specific grant, contract, or other sponsored agreement. F&A costs stem from the institutional need to maintain a shared infrastructure that supports the research and scholarly activities of all investigators. F&A costs are divided into facilities costs (e.g. building depreciation, operation and maintenance, utilities) and administrative costs (e.g. sponsored projects administration, purchasing, accounting, legal services)
- **FA** – Financial Administrator; RFS employee that serves as a liaison between sponsors, department personnel and principal investigators and provide accurate real-time invoicing, reporting, and financial guidance
- **FES** – Faculty Effort System; Used for the entry of payroll distribution for regular and full-time faculty
- **FI** – Financial Module
- **FPR** – Fixed Price Residual; Unrestricted cost center to be used in support of the enrichment of academic and research programs. An FPR will be established under the PI. Fund Balance will automatically carry forward at the end of each fiscal year.
- **GL** – General Ledger; A set of numbered accounts used to keep track of financial transactions
- **HR** – Human Resources

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ACRONYMS AND ABBREVIATIONS

- **IP** – Intellectual Property; Intellectual property (IP) is the tangible or intangible results of research, development, teaching, or other intellectual activity. IP is any innovation or discovery conceived or developed by faculty, staff or students using University resources
- **JV** – Journal Voucher; SAP document used to record an internal transaction between funds, cost centers, WBS elements or internal orders
- **OSPA** – Office of Sponsored Projects Administration; OSPA administers extramural grants and contracts awarded through the University of Kentucky Research Foundation. Services available to University faculty and staff include: advice and assistance with budget preparation and other administrative requirements of proposals; review, negotiation and acceptance of awards; information regarding sponsor policies and regulations; preparation of subcontract documents.
- **PADR** – Project Account Data Record; When a PI receives an award for a sponsored project from a source outside of UK, OSPA will set up an account against which a PI and his/her department staff will post project expenses. OSPA generates a "PADR," or Project Account Data Record, for the initial account setup. Each time OSPA changes the account, the Research Administrator generates a new PADR. They are numbered sequentially. All PADRs are distributed to the Principal Investigator (PI), any co-Investigators (co-Is) and Business Officer.
- **PI** – Principal Investigator; A PI is the primary individual responsible for the preparation, conduct, and administration of a research grant, cooperative agreement, training or public service project, contract, or other sponsored project in compliance with applicable laws and regulations and institutional policy governing the conduct of sponsored research. The PI has primary Stewardship of Research Data on behalf of the University and bears primary responsibility for the overall conduct of the Sponsored Research or scholarly activity.

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ACRONYMS AND ABBREVIATIONS

- **RA** – Research Administrator; An OSPA employee that performs various administrative, maintenance, compliance, review, and oversight tasks for a sponsored program
- **RFS** – Research Financial Services; used to be known as SPA. Oversees the financial reporting and compliance requirements of all externally sponsored projects. The primary goal of RFS is to facilitate the management of funds provided to the university by outside entities, in compliance with relevant guidelines, for the purpose of continuing research. Serves as liaison between sponsors, department personnel and PIs and provide accurate real-time invoicing, reporting, and financial guidance.
- **SAP** – Systems, Applications and Products Software; The University's current business application software
- **UKRF** – University of Kentucky Research Foundation; UKRF serves as the university's agent in the receipt of all external grants and contracts, intellectual property income and other designated income; oversees the protection, development, and commercialization of intellectual properties; and manages special cooperative agreements
- **VPR** – Vice President of Research; The VPR provides programs and services to support UK faculty, staff and students in grant development and submission, compliance and regulatory affairs, development of intellectual property and in highlighting their research achievements. This includes oversight and guidance of 13 multidisciplinary research centers and seven service core facilities.
- **WBS (element)** – Work Breakdown Structure Cost Object; These cost objects begin with "2", "3", or "4" and consist of a total of 10 digits. A WBS element reflects budgets, revenues, expenditures, recharges and transfers for land grants, grants and capital projects respectively.

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CONTENT

- Internal Approval Form
- E-Account
- Budget Revision
- Subawards
- No-Cost Extension

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INTERNAL APPROVAL FORM (IAF)

- Online process for external funds coming into UK
 - Industry
 - Federal
 - State Contracts
- Instructions are located at:
<https://www.research.uky.edu/uploads/instructions-completing-eiaf-myuk>

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IAF CONTINUED

- All investigators must have a complete IAF on file prior to an account set-up
 - Investigator means the project director or principal investigator/program director, co-investigator, collaborator, senior/key personnel, faculty associate, and any other person, regardless of title or position, who is responsible for the design, conduct, reporting, or proposing of research or other activity that is sponsored by an extramural agency. Postdoctoral scholars and postdoctoral fellows are considered investigators. Graduate and undergraduate students are not considered investigators.
<https://www.uky.edu/regis/sites/www.uky.edu/regis/files/files/ar/ar7-2.pdf>

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IAF CONTINUED

- Must complete routing per University policy to stay compliant with federal regulations
- Attachments required:
 - Detailed Budget
 - Budget Justification
 - Abstract
 - Sponsor Guidelines

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E-ACCOUNT

- To set-up an awarded project prior to receiving the fully executed contract or notice of award.
- Must have communication from Sponsor confirming upcoming award.
- Will only be set-up with an initial 3-month timeline and budget.
- Action/Revision form with budget will need to be submitted with PI and Chair signature.
 - Justification required to state that the department will accept financial responsibility for any expenditures not allowed by the project.
 - Justification should include the benefit to the project.
 - <https://www.research.uky.edu/uploads/actionrevision-form>
- If IRB included in the project it must be approved prior to account set-up.

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BUDGET REVISION

- Action/Revision form required with PI signature (typically)
 - <https://www.research.uky.edu/uploads/actionrevision-form>
- Chair signature and sponsor approval required for CAS items
- Justification must include benefit to the project.
- Prior approval from the sponsor may be required per terms and conditions of the agreement.
- Budget breakdown should note any F&A adjustment required.

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SUBAWARDS

- A subaward is needed when the project will have research with expenses at another location outside of UK
- Must be requested by PI to be established.
- Attachments required for request:
 - Detailed Budget
 - Budget Justification
 - Scope of Work
- Payment is through Workflow and PI must process the invoice.
- All departments are to have a SIR (Subaward Invoice Reviewer) to confirm available budget.

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NO-COST EXTENSION

- Required if project can't be completed within the dates of the project
- Requires sponsor approval.
 - Letter signed by AOR
 - Email
- Must include budget and benefits to the project

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QUESTIONS?



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BUSINESS CENTER CONTACTS

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