Contract Team Update

Presented by Connie Motoki

January 15, 2008
**Incremental Funding Summary of Terms and Conditions**

**Research Office Campus Box 1054/ Fax: 935-5862**

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**CFDA #:**

**PDS #:**

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1. **Sponsor:**
   - [Blank]

2. **Principal Investigator:**
   - [Blank]

3. **Title:**
   - [Blank]

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4. **Max. Allowable Cost Period from**
   - [Blank]
   - [Blank]

5. **Prior Increments Period from**
   - [Blank]
   - [Blank]

6. **This Increment Period from**
   - [Blank]
   - [Blank]

7. **Tot. this Budget Period Period from**
   - [Blank]
   - [Blank]

8. **Total to date Period from**
   - [Blank]
   - [Blank]

9. **Comments:**
   - [Blank]

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10. **Schedule of Payments:**
    - Invoice monthly, must include subaward number, to Financial Contact address in Alt. 3.
    - (ref. Pg 1, item 2)

11. **Fiscal Reporting Requirements:**
    - Final statement, marked FINAL, due NLT 50 days after end date to Financial contact.
    - (ref. Pg 1 item 3)

12. **Agreement Type:**
    - Cost-Remunerable

13. **Cost Sharing:**
    - None

14. **Indirect Cost:**
    - Deviation from Rate Agreement (CPS xx/xx/xx)

15. **IP Reporting & Publication Requirements:**
    - Progress reports as required to Project Director address in Attachment 3.
    - (ref. Attach 4)
    - Invention disclosure notification to Admin Contact per Attach 3 within two months. Use form DDR2.
    - (ref. Attachment 4)

16. **Equipment Title:**
    - Washington University as Collaborator (ref. Attach 2, GT&C, item 6)

17. **Prior Approval Items:**
    - NCE require prior approval (ref. Pg 1, item 6).
    - IAW NIH GPS (ref Alt 2, GT&C, item 3)

18. **Specific Requirements:**

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**SUMMARY PREPARED BY:**

(Contract Manager)(Contract Mgr Phone #) Rev. 5/10/2005

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**DISTRIBUTION DATE:**

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[Checkmarks and comments]

- Dept: Verify that the profile has been done.
- R/O/SPA: Review, record fund # (if needed) distribute internally.
- Pt: Retain this copy for your records.

**HT Public Affairs/Box 1070**

**Via administrator**
STC Form

- **Summary of Terms & Conditions**
- **A Contract Manager initiates the STC.**
- **STC is required for:**
  - New incoming subagreements & contracts
  - Amendments to the existing agreement
- **Grants Team profiler cannot add money or date extension to fund without an STC.**
- **OTM (Office of Technology Management) prepares STCs for industry-sponsored research to WU for funds that do not involved federal flow down dollars.**
- **Over 500 issued by RO Contracts Team in FY07**
  - 100+ Danforth
  - 400+ School of Medicine
1. Sponsor
   The contracting entity that is providing funds to WU.
   Please provide this info to Contract Mgr. on inquiries.

2. Principal Investigator (PI)

3. Title
   Title of project as listed on contract; this title should match PDS document.
### 6. This Increment
Dollars allotted in this action. Can be additions, reductions, or zero if action is an NCE or other change in Terms & Conditions (e.g., change in PI).

<table>
<thead>
<tr>
<th>Max. Allowable Cost</th>
<th>Period from</th>
<th>to</th>
</tr>
</thead>
<tbody>
<tr>
<td>Total Prior Increments</td>
<td>Period from</td>
<td>to</td>
</tr>
<tr>
<td>This Increment</td>
<td>Period from</td>
<td>to</td>
</tr>
<tr>
<td>Tot. this Budget Period</td>
<td>Period from</td>
<td>to</td>
</tr>
<tr>
<td>Alotted to date</td>
<td>Period from</td>
<td>to</td>
</tr>
</tbody>
</table>

### 9. Comments
This will state the increments of funding (or action designated) and performance period. It should match number 6 above!
<p>| | |</p>
<table>
<thead>
<tr>
<th></th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td>10. Schedule of Payments:</td>
<td>Invoice monthly, must include subaward number, to Financial Contact address in Att. 3. (ref. Pg 1, item 2)</td>
</tr>
<tr>
<td>11. Fiscal Reporting Requirements:</td>
<td>Final statement, marked FINAL, due NLT 60 days after end date to Financial contact. (ref. Pg.1 item 3.)</td>
</tr>
<tr>
<td>12. Agreement Type:</td>
<td>Cost-Reimbursable</td>
</tr>
<tr>
<td>13. Cost Sharing:</td>
<td>None</td>
</tr>
<tr>
<td>14. Indirect Cost:</td>
<td>Deviation from Rate Agreement: Progress reports as required to Project Director address in Attachment 3. (ref. Attach.4)</td>
</tr>
<tr>
<td>15. PI Reporting &amp; Publication Requirements:</td>
<td>Invention disclosure notification to Admin Contact per Attach.3 within two months. Use form DD882. (ref. Attachment 4)</td>
</tr>
<tr>
<td>16. Equipment Title:</td>
<td>Washington University as Collaborator (ref. Attach. 2, GT&amp;C, item 6)</td>
</tr>
<tr>
<td>17. Prior Approval Items:</td>
<td>NCE require prior approval (ref. Pg.1, item 9). IAW NIH GPS (ref Att.2, GT&amp;C, item 3)</td>
</tr>
<tr>
<td>18. Specific Requirements:</td>
<td></td>
</tr>
</tbody>
</table>

**14. Indirect Cost (IDC):**
RO Grants Team determines IDC rate at time of proposal.

**13. Cost Sharing:**
Choice of “none”, “voluntary” or “required”. If required, amount will be stated.

**12. Agreement Type:**
Choice of “cost reimbursable” or “fixed price”
15. PI Reporting & Publications
Reqs.: Dept. PI should note these reqts. and due dates.

16. Equipment Title:
If WU does not retain title, Dept. should review contract instructions. T&C reference will be included.

17. Prior Approval Items:
Usually change of PI, NCE, or carry-forward.

18. Specific Requirements:
Sponsor- or agency-specific requirements, or FARs requiring action by Dept. It is important for Dept. to note this.

10. Schedule of Payments: Invoice monthly, must include subaward number, to Financial Contact address in Att. 3. (ref. Pg 1, item 2)
11. Fiscal Reporting Requirements:
Final statement, marked FINAL, due NLT 60 days after end date to Financial contact. (ref. Pg. 1 item 3)
12. Agreement Type:
Cost-Reimbursable
13. Cost Sharing:
None
14. Indirect Cost:
Deviation from Rate Agreement: (CPS xx/xx/xx)
15. PI Reporting & Publication Requirements:
Progress reports as required to Project Director address in Attachment 3. (ref. Attach.4)
Invention disclosure notification to Admin Contact per Attach.3 within two months. Use form DD882. (ref. Attachment 4)
16. Equipment Title:
Washington University as Collaborator (ref. Attach. 2, GT&C, item 8)
17. Prior Approval Items:
NCE require prior approval (ref. Pg.1, item 9). IAW NIH GPS (ref Att.2, GT&C, item 3)
Distribution Date:
Distributed to all listed, at the same time.

Summary Prepared By:
Contact phone number for Contract Mgr. who prepared STC.

SUMMARY PREPARED BY: (Contract Manager)/(Contract Mgr Phone #)  Rev. 8/10/2005

DISTRIBUTION DATE:

Dept: Verify that the profile has been done.
RO/SPA: Review, record fund # (if needed) distribute internally.
PI: Retain this copy for your records.

HT Public Affairs/Box 1070

PI:
This copy usually sent to Dept. for providing to PI.

RO/SPA
Profiler will be named. Fund status inquiries should be directed to Profiler.

Dept
Will be named, along with Campus Box No.
HT Public Affairs
Public Affairs (Jessica Daues) gets notice of new awards only, for announcement in WU Record.
Additional Notes

• **Cumulative funds**: Rarely does the contract state cumulative status of an award, even when NoA may allow carry-forward. Cumulative is solely at determination of sponsor.

• **Scope of Work required**: The more descriptive, the better to protect our faculty and the University.

• **Terms and Conditions** vary in requirements by PI and department administrator. Reminder: Please read Item 18: Specific Requirements.

• Financial Contact is often listed in Attachment 3 (for payment inquiries).

• PIs/Deans are not authorized institutional signatories on behalf of the University for sponsored research agreements.
Contract Team Contacts

Vicki Ferrari, Senior Contract Manager  935-5808
Connie Motoki, Contract Manager       935-9443
Bonnie Dee, Contract Specialist       935-8698

Campus Box 1054
276 N. Skinker Building
wuro.wustl.edu
Cost Sharing Account Request
(“Allocation” Form)
Welcome!

The Research Office supports the Washington University Danforth campus in obtaining and administering external funds in support of faculty interests. University-wide, we assist in identifying funding opportunities as well as in managing the negotiation and administration of contracts and subcontracts.

Today’s research environment demands current information, electronic tools, and effective communication. We are committed to helping faculty, staff, and administrators seek and manage sponsored funds.

We hope you find our web site useful for facts, forms, and guidance. Please contact us for assistance.
Cost Sharing Account Request
("Allocation" Form)
# Exhibit II

**Allocation Request**

**Washington University in St. Louis**

**Research Office**

### Requested Allocation

- **Allocate Funds**: Establish an allocation and/or transfer funds from source account to destination account.

#### Source Account

- **Dept. #**
- **Fund #**
- **Investigator:**
- **Title/Purpose:**

#### Destination Account

- **Dept. #**
- **Fund #**
- **Investigator:**
- **Title/Purpose:**

### Cost Sharing

- **Dept. #**
- **Fund #**
- **Account #:**

#### Direct Costs

- **Between Cost Sharing and F&A**
- **Mandatory Cost Sharing**

<table>
<thead>
<tr>
<th></th>
<th>Direct Costs</th>
<th>50</th>
</tr>
</thead>
<tbody>
<tr>
<td>F&amp;A Costs</td>
<td></td>
<td>50</td>
</tr>
<tr>
<td>TOTAL</td>
<td></td>
<td>50</td>
</tr>
</tbody>
</table>

1. If external funds exist or cost sharing is budgeted into the project, it is recommended to use the same budgeting code in the primary account.

### Purpose

- **Describe the purpose for this fund allocation or cost sharing (attach additional sheets if necessary):**

### Approvals

- **Principal Investigator**
  - Signature
  - Date
- **Department Chair**
  - Signature
  - Date

### Comments

- **ADMINISTRATION**
  - [Add comments or additional information here]
INSTRUCTIONS FOR ALLOCATION REQUEST FORM

HEADING INFORMATION

Date: Enter the date that the form is completed and sent for signatures.
Prime Dept/Fund #: Enter the main department fund number where the fund originates.
Principal Investigator: Enter the PI to whom the award was made.
Sponsor / Prime Agency: Enter the agency granting the award and the prime agency if this is a subaward.
Agency #: Enter the agency’s tracking number for the award.

REQUESTED ACTION

Auxiliary Funds: Unless you want to transfer funds to an auxiliary, if the auxiliary that you want to use does not exist, a new one will be created based on the information in the destination account column.

Source Account: The source account is the fund number from which funds will be transferred.
Dept / Fund #: Enter the department and fund number where the fund will be taken from.
Investigator: Enter the investigator responsible for this particular fund transfer.
Title/Purpose: Enter the title or purpose of the fund. If appropriate, you may enter a PRIME.
DUOB / Account: List the budget object codes and corresponding amounts where you want funds budgeted.

Destination Account: The destination account is the fund number to which funds will be transferred. If this allocation account does not already exist, it will be created.
Dept / Fund #: Enter the department and fund number where the fund will be budgeted.
Investigator: Enter the investigator responsible for this particular fund number.
Title/Purpose: Enter the title or purpose of the fund.
DUOB / Account: List the budget object codes and corresponding amounts where you want funds budgeted.

Cost Sharing: Check here if you want to transfer or add funds to a cost sharing allocation. If the cost sharing was shown on the PC Form at proposal time, you do not need to fill out this form. Contact the Research Office and ask them to budget the cost sharing funds.
Dept / Fund #: Enter the department and fund number to which the cost sharing allocation will be associated. This may not be the same as the prime department fund number.

Voluntary Cost Sharing: If the sponsor does not require the cost sharing, then it is voluntary.
Mandatory Cost Sharing: If the sponsor requires cost sharing, then it is mandatory. You will need to note why this cost sharing was not on the PC Form at proposal time.

Debit Account #: Note the account from which the cost sharing funds will be taken.
Direct Costs: List the budget object codes and corresponding amounts of direct costs. If you already used the unassigned budget code (UN) and list the entire amount of direct costs. In this situation, the Research Office will open the Budget Code but are open in the prime account.
Equipment: List all cost sharing amounts for equipment separate from direct costs.
F&A Costs: List the total F&A costs associated with the direct costs.

JUSTIFICATION

Describe the purpose... Provide the reason for this request. The description does not need to be long, but should sufficiently capture the need or desire for the request.

APPROVALS

Principal Investigator: The PI must approve with their signature all requests.
Department Chair: The Department Chair must approve all cost sharing requests. They must also approve allocation requests where funds will be allocated to a different department.
Dean: The Dean must approve all cost sharing requests. They must also approve allocation requests where funds will be allocated to a different school.
Other: This approval is for additional personnel that may need to approve the request, such as a fellow, collaborating investigator, or another department chair. The PTO will verify additional approvals are necessary.

SUBMITTING THE ALLOCATION REQUEST FORM

The Research Office requires the request with the original signatures for their files. A faxed or other copied form will suffice in emergency situations, but the original must follow in campus mail.
Campus Box 864 - Fax 314-935-5662 - Email: resoffice@wustl.edu
Grant Team Contacts

Carolyn Crowell, Grant Specialist 935-6622
Stephanie Bemberg, Grant Specialist 935-5820
Norma Pena, Grant Specialist 935-8278
Vicki Carlson, Grant Assistant 935-6950

Campus Box 1054
276 N. Skinker Building
wuro.wustl.edu
NSF Update
Danforth Campus RA Forum
January 2008

Presented by:
Natalie Goodwin-Frank
Funding Resources Coordinator, Research Office
NSF IDs to Replace SSNs as Unique Identifier in FastLane

- After December 15, an NSF ID was assigned to replace your SSN. When you log into FastLane with your SSN, an intermediary page will display your NSF ID.
- **For a limited time**, you will have the option to use your SSN for login.

New Funding Opportunity: Innovation through Institutional Integration (I3) track

- Directorate for Education and Human Resources (EHR)
- Six EHR programs that advance I3 goals: CREST, ITEST, MSP, Noyce, RDE, and TCUP.
- An institution may submit only one proposal to the I3 competition in only one program. See [http://internalcompetitions.wustl.edu/research/grants.nsf/Current?OpenView](http://internalcompetitions.wustl.edu/research/grants.nsf/Current?OpenView)

➤ **Have you seen this web site?**  
Thank you!

Any questions?