

Oral Roberts University  
Sponsored Programs  
Handbook

A Guide to Proposal Creation, Facilitation & Management

Spring 2013



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**SECTION I –  
OFFICE OF SPONSORED PROGRAMS  
STATEMENT OF POLICY**

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## **SECTION I – OFFICE OF SPONSORED PROGRAMS STATEMENT OF POLICY**

- A. Acceptance of any grant award implies complete cooperation and compliance with all approved Oral Roberts University and ORU Office of Sponsored Programs policies and procedures.
- B. The Office of Sponsored Programs will coordinate the pursuit of external funds from foundations, corporations, and government grant sources to avoid duplication of requests and ensure timeliness of proposal submissions.
- C. All post awards management (including expenditures) will be facilitated through the Office of Sponsored Programs.
- D. The Principal Investigator is responsible for locating sources for all cost sharing, cost matching, and in-kind contributions as well as fully documenting said sources, and gaining the appropriate University approvals for these resources prior to submission.
- E. When Indirect Costs are recovered, the funds are distributed as follows:

Central Administration – 50%  
Research Seed Fund -10%  
College – 10%  
Department – 10%  
Project Director – 10%  
Sponsored Programs – 10%

Additional specific information on distribution and appropriate use can be found in Section V.

- F. All additions and/or revisions to the Office of Sponsored Programs Policy and Procedures Handbook must be approved by ORU's Senior Director of Sponsored Programs, Executive Vice President & Chief Financial Officer, Vice President of Academic Affairs and the University Provost.

**SECTION II –  
OFFICE OF SPONSORED PROGRAMS  
GENERAL INFORMATION**

## SECTION II – OFFICE OF SPONSORED PROGRAMS GENERAL INFORMATION

In order to ensure accurate information and avoid duplication among departments, all grant proposals (including letters of inquiry, letters of intent, etc.) must be submitted through the Office of Sponsored Programs. The Office of Sponsored Programs (OSP) is responsible for providing grant facilitation and compliance services to Oral Roberts University's (ORU) faculty and staff. The OSP offers assistance with comprehensive proposal development, financial accountability, fiscal compliance, intellectual property, materials & technology transfer, research agreements and proactive customer service for grant related logistical issues.

This guide is intended to assist faculty and staff members in the preparation of grant proposals, contracts, letters of agreement, letters of support, and memorandums of understanding (referred to collectively as "proposals" in this guide). Information is also presented regarding the correct facilitation of grant awards.

### A. Funding Research Tools

Oral Roberts University's Office of Sponsored Programs will assist faculty in finding sources of support. This support may be provided from foundations and corporations, as well as state and federal government agencies. The Federal government has established a one stop grant database, [www.grants.gov](http://www.grants.gov). Grants.gov is a database of over 1,000 grant programs that provides access to approximately \$400 billion in annual awards. This governmental resource is a searchable database with an online application included. The following governmental links provide detailed lists of open funding opportunities:

Grants.Gov	<a href="http://www.grants.gov/">http://www.grants.gov/</a>
Dept of Ed	<a href="http://www2.ed.gov/fund/landing.jhtml">http://www2.ed.gov/fund/landing.jhtml</a>
NSF	<a href="http://www.nsf.gov/funding/">http://www.nsf.gov/funding/</a>
NIH	<a href="http://grants.nih.gov/grants/guide/">http://grants.nih.gov/grants/guide/</a>
HRSA	<a href="http://www.hrsa.gov/grants/index.html">http://www.hrsa.gov/grants/index.html</a>
OSHRE	<a href="http://www.okhighered.org/grant-ops/">http://www.okhighered.org/grant-ops/</a>
Endowment for the Arts	<a href="http://www.nea.gov/grants/apply/index.html">http://www.nea.gov/grants/apply/index.html</a>
Endowment for Humanities	<a href="http://www.neh.gov/grants/grants.html">http://www.neh.gov/grants/grants.html</a>

Faculty and staff may access Pivot Database to search for funding opportunities and collaborative partnerships. Sponsors include private foundations, public agencies, national and local governments, and corporations. Pivot displays funds available for work in all disciplines including physical sciences, social sciences, life sciences, health and medicine, and arts and humanities. Pivot also provides funding information for many purposes such as research, collaborations, travel, curriculum development, conferences, fellowships, postdoctoral positions, equipment acquisitions, and capital/operating expenses. Pivot may be accessed through any ORU on campus computer. Once a free sign up account is created browsing the database is unlimited. Pivot website is: <http://pivot.cos.com/home/index>

The OSP has access to the FoundationSearch database. This database allows for searching and managing over 125,000 foundations, corporate donors, matching gift programs, in-kind donors and government grant makers. FoundationSearch also provides specific information such as detailed profiles, current foundation news, most recently reported assets, the purpose and interests of the foundation, as well as contact information. Please contact the OSP office for access to FoundationSearch.

The OSP recommends utilizing the internet when researching for funding opportunities. Search engines such as *Google* and *Yahoo* are great places to start.

Another funding source is the Oklahoma Center for the Advancement of Science and Technology's (OCAST). OCAST is Oklahoma's only agency whose sole focus is technology – its development, transfer, and commercialization. The OCAST website, [www.ocast.state.ok.us](http://www.ocast.state.ok.us), provides specific program information, news, eligibility requirements, program purposes and descriptions, matching requirements, and contact information.

Print resources available through the Office of Sponsored Programs are the *National Guide to Funding in Religion; Grants for Religion, Religious Welfare and Religious Education*; Current edition of *Regulation and Compliance: A Compendium of Regulations and Certifications Applicable to Sponsored Programs*; and NCURA's *Guide to Managing Federal Grants for Colleges and Universities*. These print resources contain thousands of listings of grant making sources, rules, regulations, and compliance issues.

## **B. Proposal Assistance**

There is no substitute for the Principal Investigator's (PI) expertise in the subject area of the proposal. **The PI is the creator and author of the proposal.** However, the Office of Sponsored Programs staff at ORU will offer one-on-one assistance with proposal development, formatting, editing, and packaging, in addition to providing information concerning compliance and regulatory issues. The OSP provides supporting advice on the optimal fit with prospective funding agencies, the suitability of project design, and the most effective presentation of the material in the proposal. Consultation is available from OSP staff members at every stage of the proposal development. Individualized support is available for all needs, capabilities, and goals.

The Office of Sponsored Programs offers assistance in editing/proofreading of narrative sections and budget development, and works as an agency liaison. The role of the OSP is to ensure all proposals meet the funding source and institutional guidelines and specifications, as well as regulatory compliance, prior to submission.

## **C. Prior Approvals**

The final proposal packet must include a signature routing sheet that includes acknowledgement of the proposal by the PI and Co-PI's department chair and dean. When considering submission of a grant proposal that includes human subjects or animal research please provide one copy of the IRB or IACUC confirmation. Proposals must receive IRB/IACUC approval prior to funds being released.

## **D. Proposal Review and Approval**

All proposals submitted through ORU will be reviewed for appropriateness, desirability, and consistency with the mission and the strategic plan of the University. The mission and goals are as follows:

*Oral Roberts University, in its commitment to the Christian faith, is to educate the whole person in spirit, mind, and body, thereby preparing its graduates to be professionally competent servant-leaders who are spiritually alive, intellectually alert, physically disciplined, and socially adept. The University seeks to synthesize the best practices of liberal arts, professional, and graduate education with a charismatic emphasis to enable students to go into every person's world with God's message of salvation and healing for the totality of human need.*

In addition, the following items will be considered:

- Commitments of faculty and staff effort and the possible effects of such commitments on teaching and other obligations of the personnel involved.
- Salary arrangements, for example, provisions for summer salary and release time.
- Requirements for equipment, facilities, and other special arrangements.

- Verification of all costs, including employee benefits and indirect costs; that resource needs are realistically estimated and properly stated; that items included are consistent with the policies of the University and the funding source; and that proposed matching funds are available and can be satisfactorily documented.

## **E. Deadlines for Proposals**

To allow for proper review and approval, all proposals are due at least 10 working days prior to the funding deadline. Every effort will be made by the Office of Sponsored Programs to ensure that the proposal is submitted in a timely and professional manner. Without proper lead time, however, the proposal may not be approved for submission. The Office of Sponsored Programs documents all officials' requested changes and proposal approvals via email.

All proposals will be submitted to the Grant Review Committee, consisting of the Senior Director of Sponsored Programs, Executive Vice President & Chief Financial Officer, Vice President of Academic Affairs and the corresponding Chair and/or Dean of the college from which the proposal emanates. All approvals must be obtained prior to submission. Without approval no proposals (including letters of inquiry, letters of intent, etc.) will be submitted. Should a proposal not receive approval, OSP will contact the submitting PI, discuss recommendations of the Committee for resubmission.

## **F. Proposal Submission**

ORU's Office of Sponsored Programs serves as the authorized official to sign proposals and manage electronic or print submissions to all corporate, foundation, and government agencies. The OSP also provides the marketing and public relations materials which accompany the proposals. This is especially helpful when providing out-of-state agencies and organizations a clearer image of Oral Roberts University's vision and mission.

## **G. Award Negotiation and Acceptance**

The Office of Sponsored Programs staff will review the terms and conditions prior to the acceptance of the award to ensure organizational readiness for the award. The OSP also coordinates with other University offices to ensure all awards are negotiated to best benefit the University and minimize potential risk.

## **H. Post Award Management**

The Office of Sponsored Programs provides operational services for all contract and grant proposals. These services include, but are not limited to, the setting up and maintenance of accounts, budgets, subcontracts, facilities and administrative costs, time and effort authorization, the approval of proposed cost share and matching funds, as well as some programmatic compliance oversight.

**SECTION III –  
PRINCIPAL INVESTIGATOR  
RESPONSIBILITIES**

### SECTION III – PRINCIPAL INVESTIGATOR (PI) RESPONSIBILITIES

The PIs' roles and responsibilities are as follows:

- A. **Knowledge of rules and regulations** - PIs must know, understand, and comply with applicable agency and University policies and procedures relative to the conduct of research, training, service learning project and programmatic regulations.
- B. **Ensuring proposal costs reflect University sanctioned costs and rates** - PIs must ensure that the costs reflected in a proposal budget are based on University sanctioned costs and rates. Additionally, costs must represent full recovery to the University for the expenses of the project, unless there is an expressed written agreement to the contrary.
- C. **Allowing sufficient proposal lead time** - PIs must prepare and submit proposals, including cost-sharing commitments and sub-contractor information, with sufficient lead time to permit a meaningful review by the appropriate University officials prior to submission to the funding source. PIs are responsible to ensure that the Office of Sponsored Programs receives the final proposal a minimum of 10 working days ahead of the grant deadline. This allows the OSP to assist with revision or compliance issues before submitting the proposal to ORU's internal Grant Review Committee for approval.
- D. **Ensuring effort does not exceed 95% of Oral Roberts University time** - PIs must ensure that sufficient participant effort is available to honor the effort committed to the project. Maximum effort by any one PI is 95% of their aggregate time spent on ORU activities. If not, ensure that necessary adjustments are made.
- E. **Release/Overload Time**- Prior approval must be received from the Dean of the College and the appropriate Vice President should release time be required for the PI. It is wise to seek approval to be a PI prior to writing the grant, as release/overload time may not always be available. The PI must also receive prior approval from the appropriate Department Chair &/or Dean to employ a faculty or staff member in a grant project.
- F. **No conflict of interest or conflict of commitment** – PIs and other grant funded individuals must ensure that conflict of interest or commitment does not exist between the work associated with the project and any personal holdings or positions within other organizations. Annually, Conflict of Interest must be accurately disclosed as required by University policy. See Appendix for COI Form.
- G. **Completion of grant** - PIs must conduct the work supported by the grant or contract in a timely and professional manner. All technical and/or annual/closing reports must be reviewed by the Office of Sponsored Programs prior to submission.
- H. **Compliance with grant terms and conditions** - PIs must comply with/be aware of:
  - a. The specific terms and conditions of each award as stated in the contract or grant documents. Refer to the Office of Sponsored Programs for the specific compliance issues for your particular grant.
  - b. All administrative requirements as set forth in various sponsoring agency and campus policy statements.

- c. Issues including, but not limited to, conflict of interest, issuance of subcontracts, publication, human subjects, animal subjects, export controls, patents, proprietary data, consultants, equipment, and recombinant DNA or regulated substances.
  - d. Intellectual Property, including but not limited to ownership, rights, right of use, royalties and fees.
  - e. Materials / Technology Transfer issues include, but not limited to all physical materials or technology which is sent to or sent out from ORU which are used in funded and non-funded research. Included items all animals, materials, chemicals and technology received from outside sources or sent to an outside third party.
- I. **Grant expenditures are compliant (See Expenditures Section VII)**- PIs must ensure that:
- a. All expenditures are processed through the Office of Sponsored Programs to ensure proper compliance, accounting practices and documentation is being performed.
  - b. Expenditures during the approved period of the grant or contract do not exceed the total amount of funds awarded.
  - c. Adherence to specific budget category expenditure limits stipulated by the sponsor is maintained.
- J. **Maintenance of budget control** - PIs must maintain budgetary control by consistently reviewing and monitoring the grant's budget as retrieved from the Argos/Banner System. When an expenditure is submitted to the Banner System the PI is responsible to ensure all appropriate and accompanying detail is included. Relevant documentation pertaining to the expenditure may include such as explanation on its pertinence to a grant objective, contracts &/or agreements, toll maps, changes to ticket prices, order form, invoice etc. On occasion a price may vary from the first estimation. PIs are responsible for monitoring prices and notifying the OSP when a price change (up or down) has occurred from the original request.
- K. **External Sub-Contracts** - PIs are required to sign off on invoices received for payment from all external sub-contractors to the grant. This can be achieved by submitting a signed statement of approval to the Banner requisition. Payment to external sub-contractors must be approved by the PI and OSP, ensuring compliance and time & effort reporting before an invoice will be processed.
- L. **Costs are compliant with OMB Circular A-21** - PIs must verify that all costs charged to each contract or grant specifically and proportionately benefit the project and are allowable, allocable, reasonable and treated consistently. This responsibility includes reviewing all vendor invoices for goods and services, reviewing subcontract invoices, travel vouchers and cost transfers, and any other charges to the project.
- M. **Compliance with reporting requirements** - PIs must provide information in a timely manner to the Office of Sponsored Programs to ensure compliance with the reporting requirements of each contract and grant. This includes:
- a. Periodic progress reports.
  - b. Annual reports of project accomplishments.
  - c. Reports of inventions.
  - d. Reports of publications generated.
  - e. Reports of major items of equipment acquired.
  - f. Financial reports.
  - g. Technical reports.
  - h. Personal success and human interest stories
  - i. Other reports detailed by the specific project.



Although ORU's Office of Sponsored Programs and Grant Accounting are responsible for the preparation and submission of reports of expenditures, the PI must assure that all financial transactions are properly recorded in a timely manner so that the reports of expenditures are accurate and can be submitted promptly.

- N. **Budget statement and payroll expense reports** - PIs must review both the grant's budget report as located in the Argos or Banner Systems. PIs must contact the OSP immediately if any adjustments need to be made to ensure that the sponsored project is cleared of any expenses not applicable to the award. Such adjustments may include correcting posting errors, transferring items of expense not allowable under that particular grant or contract, and transferring overdrafts to permissible non-sponsored accounts.
- O. **Sub-contractor compliance** - PIs must ensure that all sub-contractors comply with the terms and conditions of each award as stated in the contract and grant documents. PIs must work closely with the OSP in providing all reports, documentation, and budgetary information to ensure all administrative requirements by the funding source are met.
- P. **Commitments honored** - PIs must ensure that all commitments are honored and fully documented, including commitments of effort, cost sharing, and outcomes.
- Q. **Sponsor Notification** - PIs must identify any substantial changes in the project plan (examples: scope of work, personnel changes, etc.) and notify the Office of Sponsored Programs immediately. Length of short and long term leaves of absence must be reported to OSP.
- R. **Technical Report Preparation** - PIs must notify OSP of all technical reports due as required by the agreement terms and conditions and submit these reports for review to the Office of Sponsored Programs five working days prior to the due date.
- S. **Equipment Inventory Reports** - PIs are required to request and obtain equipment inventory reports from ORU's Information Technology Department.
- T. **Cost Sharing and In-Kind Contributions** - As previously stated in Section 1 of the Office of Sponsored Programs' Policy Statement, the Principal Investigator is responsible for locating and documenting sources for all cost sharing, cost matching, and in-kind contributions as well as gaining the appropriate approvals.

**SECTION IV–  
PREPARING THE PROPOSAL**

## **SECTION IV – PREPARING THE PROPOSAL**

Office of Sponsored Program staff members are well trained in the proposal development process. Before beginning any writing, OSP staff members are available to meet with the interested faculty or staff member, also referred to as the Principal Investigator (PI), to brainstorm project/program ideas, as well as to help focus the goals and needs of the department. Together, the OSP and the PI will agree on a reasonable deadline for the first draft of the proposal. Once a draft has been developed by the PI, the assigned Grant Facilitator & Compliance Specialist will be available for proofing and editing to ensure not only accuracy and a pleasing presentation, but also that the proposal addresses all the requirements set forth by the potential funding source. The PI will pursue all required pre-approvals or references for personal support statements from outside the University. OSP will pursue all required support statements from inside the University, assisting in developing and obtaining written approvals from a Dean, VP &/or the President for project approval and support. The OSP will also assist in obtaining any required supporting documents, e.g. financial statements and organizational information.

### **A. Funder Specific Proposals**

Proposals should be knowledgeably researched, thoughtfully planned, persuasively composed, concisely written, and professionally prepared. While basic requirements such as information requested, application forms, and submission procedures may vary between foundations and federal agencies, the need to address the funding guidelines is absolutely essential.

Some funding agencies, such as the National Science Foundation and the Oklahoma Arts Council, provide very specific forms and instructions for proposals. Many are also moving to an electronic completion and submission format. It is important that guidelines provided from the funding source be followed exactly as requested.

Some guidelines may provide more specific requirements, such as topics to be covered and page limitations or even limitations on numbers of characters allowed in each section. Specific topics may need to be addressed in a given order. The following are examples of various types of proposals.

#### **Preliminary Proposals/Letters of Intent/Letters of Inquiry**

Many major foundations ask potential grant recipients to first submit a one to two-page letter of inquiry. These “preliminary proposals” or “letters of intent” must be approved by the funding source before an invitation is given to submit a full proposal. The letter of inquiry prevents nonprofit organizations from spending an excessive amount of time assembling application material for projects which are unlikely to receive funding from the foundation. This process also allows foundation staff to quickly scan letters for appropriate projects and only request additional information when funding is a strong possibility.

A letter of inquiry should establish a connection between the project's goals and the foundation's philanthropic interests. With only limited text, it is important to focus on detail, clarity, and conciseness while simultaneously conveying passion for the project. When the foundation in question does not specify what information should be included in the letter, there are some basic guidelines which are appropriate: The first paragraph should provide a synopsis of the project and the requested funding amount. Assume that the foundation staff will use this paragraph as the project summary on internal documents. Whenever possible, quantify project services, such as the number of participants who will be served or the number of housing units to be built.

## Cover Letters

Cover letters are normally brief, one page documents to introduce the applicant and summarize the attached proposal. Some foundations separate the cover letter and attachments from the proposal itself during the application review process, so be sure to state the requested grant amount in both the cover letter and the proposal. Some sentences from the full proposal may be repeated in the cover letter.

The first paragraph traditionally indicates why the project is a good match for the funder's guidelines and refers to any relationship with the funder; e.g. meeting the program officer, knowing a board member, or hearing a foundation representative speak at a conference. If applying to a company, indicate how many employees volunteer for your organization or if an executive serves on your board of trustees. The second paragraph should give a summary of the project suitable for the program officer to use in internal documents that list all pending proposals. The “ask amount” can go in either the first or second paragraph. The third paragraph might note your organization's enthusiasm for the project and describe how other funding can be leveraged for this gift. If appropriate based on your funder research, offer to host a site visit or provide additional information, or call the funder in two weeks to check the proposal's status.

## Applications

Many funding sources require that applicants fill out a detailed application in place of writing a general proposal. Application items vary widely from organization to organization, and can range from general to very specific: What is the primary population served by this project? What percentage of your Board donates to your organization? Describe other possible sources of support which have been or will be solicited for the project, including a statement of funds which have been received or pledged as of the date of application. When filling out an application, it is important to answer every question and provide all the requested information. If there is any question about the funders' expectations, or if you encounter difficulty providing some aspect of the information, contact the program officer.

## B. Standard Proposals

When the funding source does not give specific guidelines, it is best to include the following elements: an Introduction, Institutional Overview (information which may be obtained through the Office of Sponsored Programs), Project Description, Improvement Plans or Proposed Enhancement, and a Conclusion.

The Institutional Overview and the Organization Description contain basic information about Oral Roberts University. This information can be reused in each of the grant proposals. The three following “boiler plates” are examples which may be copied and used in a grant proposal. Because this information changes periodically, contact the Office of Sponsored Programs for the latest information (items identified as XX).

1. Oral Roberts University (ORU), located in Tulsa, Oklahoma and founded in 1963, is an accredited Christian liberal arts university that is committed to academic excellence within a Christian environment. ORU is governed by a Board of Trustees which consists of XX members. ORU's fall 200X student body of over XX represented a diverse ethnic and cultural mixture from XX states and over XX countries. Ethnic minorities compose XX% of all students. ORU's XX full time and XX part-time faculty members offer XX majors leading to Bachelor of Arts or Bachelor of Science degree; XX masters programs in business, education, and theology; and two doctoral degrees in education and theology.

2. Oral Roberts University, founded in 1963, is an accredited Christian liberal arts university that is committed to academic excellence within a Christian environment. The fall 20XX student body of over XX represented a diverse ethnic and cultural mixture from 49 states and over 60 foreign countries. Ethnic minorities comprise XX% of all students. ORU offers XX majors leading to the Bachelor of Arts or Bachelor of Science degree; XX masters programs in business, education, and theology; and two doctoral degrees in education and theology. Options available to students include distance learning, modular opportunities, independent study, internships, study abroad, online courses and an honors program. ORU's athletic program competes as an NCAA Division I school in the Southland Conference, sponsoring XX sports (eight each for men and women).
3. The University's workforce is composed of XX full-time and XX part-time faculty members, supported by XX full-time and XX part-time staff members. ORU's award-winning faculty is committed to providing a dynamic learning environment and individualized student instruction.

### **C. Budget Development**

The Office of Sponsored Programs will assist in the development of proposal budgets. The funding source's guidelines and program announcement should always be read thoroughly and followed closely. The guidelines contain valuable budgetary information such as allowable costs, Indirect (F&A) Cost rates, mandatory cost shares, mandatory travel, equipment purchases, salaries, fringe benefit rates, etc. *This will be covered in more detail in section V – Budget Components.*

**SECTION V-  
BUDGET COMPONENTS**

## SECTION V – BUDGET COMPONENTS

### A. Expenditures

Two types of costs may be found in the budget: Direct Costs and Indirect (F&A) Costs.

- Direct Costs: Costs which can be identified specifically with a particular sponsored project or that can be directly assigned to such activities relatively easily with a high degree of accuracy. Examples of direct costs commonly include: salaries and wages, fringe benefits of faculty and workers to carry out the project objectives, travel (related to performance of the project), lab supplies, and equipment (related directly to the project).
- Indirect (Facilities & Administrative) Costs: Costs incurred for common or joint objectives and therefore cannot be identified readily and specifically with a sponsored project. Examples of indirect costs commonly include: University expenditures for departmental administration; building operation and maintenance, e.g., heating, lighting, electricity, and janitorial services; general expenses, e.g., telephone, mail service, office supplies and services of administrative offices such as Purchasing, Accounting, Payroll, and Personnel Offices.

Indirect costs (also known as F&A costs) are costs to the University used to support the sponsored activities. The University may attempt to recover all of these support costs through the inclusion of indirect costs in proposal budgets.

Whenever possible, proposals should request full reimbursement of indirect costs. When a proposal provides for less than full indirect cost reimbursement, the circumstances should be discussed in advance with the Office of Sponsored Programs. The Office of Sponsored Programs is available to determine what the funding source will allow and to help compute the appropriate rate.

Oral Roberts University is currently using a temporary F&A rate until a negotiated rate is established. Many steps are involved in negotiating the F&A rate. Federal funding must be obtained through a federal grant before educational institutions are able to negotiate a rate. Every educational institution has a designated cognizant agency responsible for negotiating and approving the federal administrative activities at the institution as well as the F&A rate. ORU's cognizant agency is the Department of Health and Human Services.

As previously stated in Section 1, Oral Roberts University allocates recovered indirect costs. This applies to all grants reimbursed at an annual indirect cost rate greater than \$1,000. All indirect cost reimbursements of less than \$1,000 per year remain with Central Administration. Funds allocated to a colleges or departments may be spent to cover costs such as office supplies and other miscellaneous expenses at their discretion, but preferably to promote sponsored projects. Funds allocated to the Principal Investigator may be expended at their discretion. When more than one college and/or department is involved with a particular grant, the dean and/or chairs will consult with the Senior Director of Sponsored Programs to determine how to distribute the respective allocation.

	<b>% of Indirect</b>	<b>\$10,000 Example</b>
Central Administration	50%	\$5,000
Research Seed Fund	10%	\$1,500
College	10%	\$500
Department	10%	\$1,000
Principal Investigator	10%	\$1,000
Sponsored Programs	10%	\$1,000
<b>Total</b>	<b>100%</b>	<b>\$10,000</b>

### Expenditure Requirements

The Office of Management and Budget (OMB), a branch of the Executive Office of the President of the United States, works cooperatively with the grant-making agencies and the grantee community. OMB leads the development of government-wide policy to assure that grants are managed properly and that federal dollars are spent in accordance with applicable laws and regulations.

All expenditures must be consistent with the terms and conditions of the award as well as the OMB Circular A-21. The OMB Circular A-21, which is mandated by the Office of Management and Budget, details the cost principles for educational institutions. An expense is allowable on a project if it meets the following criteria:

- Reasonable – A cost is considered reasonable if the nature of the goods or services acquired, and the amount involved, reflect the action that a prudent person would have taken under the circumstances prevailing at the time the decision to incur the cost was made.
  - Example: In order to complete the objects of a project, a special tool must be purchased. The basic \$1,200 tool will meet all of the project’s requirements. Knowing the basic model would be sufficient, purchasing the Deluxe \$4,700 model would be unreasonable. A prudent person would purchase the basic \$1,200 model.
- Allocable – Costs must be assigned to a project or cost objective in proportion to the benefit received. *Costs allocable to a project may not be shifted to another project to eliminate deficits or other reasons of convenience.*
  - Example: A project involves thirty students, and each student needs one lab set. Purchasing thirty lab sets would be allocable, however, purchasing seventy-five lab sets to be used in other classes would result in an un-allocable cost.
- Consistent – Costs must be treated consistently in estimating, accumulating and reporting costs. *Costs must be treated consistently as a Direct Cost or an Indirect (F&A) Cost.*
  - Example: A typical University employee can expect to be reimbursed per the current rate for mileage as established by the University when traveling to and from conferences. A Principal Investigator needing to attend a conference in Dallas budgets \$.75 per mile. This would be considered inconsistent should ORU’s reimbursement rate be lower than \$.75 per mile.
- Allowable – If all three of the above criteria are met and permitted as a direct cost per the terms and conditions of the award and the OMB Circular A-21, Section J, then the cost is considered allowable.



- Example: A Biology professor buys 50 pounds of cheese and charges it as a direct cost. This would normally be considered unallowable, however, if the Biology project involves observing and documenting the molding stages of cheese, this would be considered an allowable cost for this particular Biology project.

## **B. Salary**

Typically, the salary section of the budget should include the names and titles of all personnel who will be working on the project, along with the percentage of time each will devote to the project and the salary (or percentage of salary) requested. The Office of Sponsored Programs will verify all salaries through Payroll as well as fringe benefits and indirect costs. Be advised, Clerical and Administrative employees are disallowed on some state and federal agency budgets. These staff classifications will be part of the Indirect (F&A) cost rate that Oral Roberts University will be negotiating.

## **C. Fringe Benefits**

Fringe benefits must be included in all salary requests for ORU employees. Oral Roberts University has created a standardized fringe benefit rate of 31% (as of 1/2013). You will need to check with the OSP to obtain the most recent fringe benefit rates.

## **D. Stipends**

The definition of a stipend is as follows:

*A stipend is an allowance paid to an individual for participation in a University sponsored educational program or activity. A stipend will be paid to all participants (faculty and teachers included) who attend the program with the sole intent and purpose of being a student. Should a participant be requested to present or lecture during the program, it must be directly related to the learning experience and maintained as a student function.*

Stipends can be paid to participants of a program, workshop, or approved grant activity. Fringe benefits should not be calculated for stipends, and they should not be included in the indirect cost calculations if the negotiated rate is used. If the negotiated rate is not used, stipends should be included in any other indirect cost rate calculation based on a percentage of direct costs. Unless specified in the Request for Proposal (RFP), there is no designated limit on the stipend amount.

A stipend given to a student participant through a grant program must be reported to the Financial Aid Office. All awards must be included in the student's financial aid package. The PI is responsible to provide Financial Aid the names, Z# and amount of the stipend by the drop/add date each semester.

## **E. Honorariums**

The definition of an honorarium is as follows:

*An honorarium is paid to an individual for professional services of a consulting, artistic or entertainment nature. Generally, the individual should be an authority or recognized expert in the field of endeavor for which retained, and the service should be of a **non-recurring nature**. To qualify, the individual must not have been on the University payroll at the time the services are provided.*

Honorariums are given in return for services by those **who are not employees of the University**. Fringe benefits should not be calculated for honorariums and they should not be included in the indirect cost

calculations if the negotiated rate is used. If the negotiated rate is not used, honorariums should be included in any other indirect cost rate calculation based on a percentage of direct costs.

Should an honorarium be required, contact the OSP for the proper accounting documentation, which will include a completed W-9 on behalf of the speaker, and a Banner vendor registration.

## **F. Consultants**

Consultants include any person **who is not an ORU employee** that will work on a sponsored project. Fringe benefits should not be calculated for consultants.

Prior to engagement, a signed consultant agreement must be in place detailing the work to be performed, the rate of reimbursement, qualification as a consultant and proper tax documentation.

*Contractual – A contractual payment is made when the individual:*

- *is engaged to complete a specific item or project,*
- *considers this type of work as their regular business profession,*
- *works for multiple people on a routine basis,*
- *is not a current ORU employee, and*
- *provides the University with an invoice detailing the item(s) or service(s) rendered*

The consultant must submit an invoice which includes his or her full name, address, social security number or Federal Entity Identification Number (EIN), a description of the work performed, the number of days and/or hours worked, the hourly or daily rate of services, and the total amount due. In addition to the invoice, include a memo signed by the PI outlining the work performed by the consultant, how the services rendered benefited the project, and why these services were unavailable within ORU. The invoice will be reviewed and preapproved by the OSP for compliance purposes.

If the consultant was not originally listed in the grant proposal, include justification indicating why this particular external consultant was the best option for this particular service to the grant.

On occasion, an individual from within the University may be both fully competent and the best qualified person to meet the consulting needs. An internal consultant must meet the criteria of serving across college/departmental lines. The consulting arrangements must be specifically provided for in a written agreement and approved in writing by the sponsoring agency, the Senior Director of Sponsored Programs and the Vice President of Academic Affairs.

## **G. Materials and Supplies**

All materials and supplies listed on the budget must be necessary in order to complete the project. This section is not intended for office supplies, which are part of the Indirect Cost rate. During special circumstances, some general office supplies may be required. In this case, the budget justification needs to clearly explain the need for the office supplies as they relate to the project.

## **H. Travel**

The travel budget is used for field work, collaborative/professional meetings, and the presentation of materials at conferences. This section should include mileage, airfare, car rentals, tolls, parking expenses, cab fare, hotel, per diem rates (meals) and registration. *See the following page for more details.*

The following table is a tool to help determine specific travel expenses. All expenses must be explained in detail in the budget justification. When calculating per diem and mileage, use the University approved rate. Check with Office of Sponsored Programs for current rates, as these rates are subject to change.

## **I. Cost Sharing**

As a condition of the award, agencies may require ORU to support a portion of the program costs. This is known as “mandatory cost sharing”. A voluntary contribution is a commitment that is not required by the funding source, but is offered by ORU to be in a favorable position to receive the award.

Cost sharing may be in the form of in-kind matching or cash contributions. In-kind contributions represent the value of non-cash contributions provided by the institution or nonfederal third parties.

- Examples of in-kind contributions are donation of advertising space, meeting facilities, non-employee volunteer labor, or performance of services at a reduced cost. All matching and in-kind contributions must be approved and documented through the Office of Sponsored Programs prior to submission.

Both mandatory and voluntary cost share/matching commitments are considered financial commitments and must be approved by the Office of Sponsored Programs. As previously stated in the Office of Sponsored Programs Policy Statement located in Section 1, the PI is responsible to locate and document sources for all cost sharing, cost matching, and in-kind contributions, as well as to gain the appropriate University approvals.

## Travel Budget

**Purpose of Travel** (conference name – if applicable): \_\_\_\_\_

**Travel Location:** \_\_\_\_\_

**Travel Dates:** \_\_\_\_\_

<b>Description</b>	<b>Calculations</b>	<b>Totals</b>
<b>Registration Fees</b>	Price of Conference Registration: _____ Price per workshop \$ _____ x _____ workshops	
<b>Hotel Costs</b>	\$ _____ per night x _____ night(s)	
<b>Airfare</b>	Roundtrip ticket from and to the Tulsa International Airport	
<b>Cab Fare</b>	\$ _____ per day x _____ day(s)	
<b>Per Diem (meals)</b>	\$XX per day x _____ day(s)	
<b>Mileage</b>	\$.XX per mile x _____ miles Resource to determine mileage from 7777 S. Lewis Ave, Tulsa: www.mapquest.com	
<b>Tolls</b>	Resource to calculate tolls: www.pikepass.com/maps/Toll Calc/	
<b>Parking Fees</b>	\$ _____ per day x _____ day(s)	
<b>Rental Car</b>	\$ _____ per day x _____ day(s)	
<b>Total:</b>		

### J. Equipment

All equipment purchased through the funding of the grant becomes property of Oral Roberts University. In the event that grant-funded equipment is no longer needed, disposal and/or selling must be approved through the Office of Sponsored Programs due to existing federal regulations. Technology equipment must be inventoried by the Information Technology Department. All non-IT equipment or materials must follow ORU's fixed asset or material transfer policy and be inventoried and tagged. A list of the inventoried equipment and all tag numbers must be submitted to the OSP. Once the grant funding ends, the maintenance costs and all other subsequent costs will become the responsibility of the department.

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**SECTION VI –  
GRANTS VS. GIFTS**

## SECTION VI - GRANTS VERSUS GIFTS

Determination of appropriate classification of funds received into the University is very important. Such classification is important for external reporting requirements, IRS regulations, federal and state law abidance, and to provide assurance that the University is in compliance with the donor/sponsor wishes. The checklist below is intended to serve as a guide for this classification and to ensure consistent treatment for incoming University funds.

Incoming funds are to be considered under the following questions:

	Check <b>yes</b> or <b>no</b> based on each of the following criteria: Does receipt of these funds....	YES	NO
1.	...include agreement(s) to return unused funds?		
2.	...require cost sharing by the University?		
3.	...involve a written agreement such as a contract or cooperative agreement specifying terms and conditions?		
4.	...include release of information restrictions, such as the delay in publishing research results, confidentiality, or approval to release information?		
5.	...involve an exchange whereby Oral Roberts University and the sponsor/donor/funder each give or receive something of value (money, services, usefulness, or general worth)?		
6.	...involve intellectual property, animal or human subjects, radioactive materials, recombinant DNA, or proprietary materials?		
7.	...obligate the faculty member or University to provide technical and/or financial/accountability reports to the sponsor/donor/funder?		
8.	...include restrictions on how the funds can be used beyond very general restrictions? (NOTE: general restriction to an endowed chair college, scholarship fund, school, or faculty member is allowable but specific restriction to a project precludes gift treatment)		
9.	...in the form of a cost-reimbursable relationship?		
10.	...require a delivery of specific goods or services by the University (example: technical assistance & training)?		
11.	...include budget restrictions (example: prior approval for re-budgeting and restrictions on certain budget categories, equipment, fringe benefit, etc.)?		
12.	...come from a response to a posted RFP (Grant Request For Proposals) or published guidelines or through a competitive application process?		
13.	...come for the purposes of research, model project, program development/operation, curriculum development, training, community service, planning or some other specific activity?		
14.	...involve payment of employees (from sponsor funds) through the payroll system?		
15.	...include penalization to the University for nonperformance?		

Results: If the answer is “yes” to any of the above questions, then the funds must be treated as a sponsored project, and therefore must abide by the established Office of Sponsored Programs Policies and Procedures guide.

When there is any doubt as to the classification, contact the Office of Sponsored Programs (ext.6928) for further guidance. Keep in mind that the funder/sponsor description of incoming funds as being a gift, donation, sponsored project, or other terminology has no bearing on the University’s determination of its being a gift or grant.



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**SECTION VII  
MANAGING GRANT FUNDS  
(POST AWARD)**

## SECTION VII – MANAGING GRANT FUNDS

After the project receives funding, the Office of Sponsored Programs will assist in the facilitation of grant management responsibilities. These responsibilities include administering the grant and assisting the Principal Investigator with the expenditures, reporting, close out, and all other post- award issues. Other services include but are not limited to setting up and maintenance of the accounts, budgets, subcontracts, facilities and administrative costs, as well as the tracking of cost share and matching funds. The OSP also provides reports for funding agencies as well as various departments at ORU.

*For a quick overview of the pre-award procedures, please see appendix 16: Post Award Procedure Chart.*

The Office of Sponsored Programs post award functions utilize many different forms to properly document and oversee grant activities. These post award forms include the following:

- Time and Effort Report: Tracking and documenting time and effort of a grant supported employee—Appendix
- Request for Award Transfer or Relinquishment by ORU: This form is used when a Principal Investigator wishes to leave ORU and relinquish the award and responsibilities or wishes to transfer the award to another university—Appendix
- Cost Transfer Request Form: Overseeing and documenting expenditures from one project to another—Appendix
- Orientation Calendar: Calendar used during orientation meeting to document important dates such as meetings, reports, evaluations, travel, expenditures, etc.—Appendix
- Grants Management Checklist: Checklist used during orientation meeting to ensure all policies and procedures are discussed—Appendix

### A. Award Negotiation and Acceptance

When the grant proposal has been approved for funding by the funding source, ORU will receive an official award notification. If the award notification is received by the Principal Investigator, the Office of Sponsored Programs should be notified immediately. *It is important to forward the entire award notification package to the Office of Sponsored Programs including any payments received, acceptance letters to be returned to the funding source, etc.* All award contracts are to be signed by the Executive Vice President & Chief Financial Officer. These items will be processed appropriately through established OSP procedures, including but not limited to the establishment of cost centers, Public Relations notification, and initial post-award instruction.

### B. Budget Revision and Negotiations

The Office of Sponsored Programs will analyze the budget information in all awards and will work with the department and the agencies to clarify any discrepancies. Occasionally, a funding source determines that it would like to fund a proposal, but at an amount different from what was requested in the proposal. In such cases, the funding source will often contact the applicant and request a revised budget. ORU's Office of Sponsored Programs will assist in revising budgets and negotiating the additional and/or new terms and conditions.

## C. Orientation Meeting

After a project receives funding, the Principal Investigator will receive an official notification of award letter from the Office of Sponsored Programs. An orientation meeting will be set between the Principal Investigator, any other relevant grant-related staff, and the OSP. At this time, the team will review the Office of Sponsored Programs' *Orientation Calendar* which details important dates to be remembered such as meetings, report deadlines, expenditure timelines, and travel.

During this meeting, the Principal Investigator will be trained in proper documentation procedures through the submission of forms such as the Time & Effort Form (Appendix A) and ORU's Banner System for Expenditures.

This meeting will also review procedures, funding source regulations, restrictions, guidelines, and documentation processes. To ensure all policies and procedures are reviewed during the meeting, the *Sponsored Programs Orientation Checklist* will be reviewed and signed by the Principal Investigator, OSP, and any other relevant grant-related staff attending the meeting. See Appendix I: *Grants Management Checklist*.

Within the first quarter of the award the PI and other funded individuals will complete the on-line video training located on the OSP intranet site. Should the sponsoring agency require Responsible Conduct of Research training then all the appropriate funded individuals will also complete the RCR training as required by the agency.

## D. Expenditures

The Office of Sponsored Programs will collaborate with the Accounting Department to create a appropriate Banner funds for approved sponsored programs. These funds are time-sensitive, reportable, and subject to audits. The Accounting Department will assign a fund, org, program and account numbers to each restricted grant fund.

In order to properly track all funds and document all activities, each grant may be set on a one year term (unless stated differently in the award letter). On most multi-year grant awards, a new cost center number may be established to track the new year's funds. It is expected that all grant funds will be spent in their entirety throughout the one year term. This may be successfully accomplished by tracking the grant's burn rate. A grant's burn rate is the speed at which grant funds are used throughout the grant's time period.

The fund representing the award is established in accordance with the approved budget and sponsor terms and conditions. The approved budget is then created using account codes defined by ORU. The Principal Investigator and OSP will be notified by Grant Accounting once the account is established and accessed to review the appropriate Banner fund.

To ensure compliance and accountability, all grant expenditures need to be approved by the Office of Sponsored Programs prior to any expenditure of grant funds. All expenditures will be processed through ORU's Banner System. Any expenses incurred before receiving full approval will be charged to the PI's department.

The Banner requisition requires a brief explanation describing how the item to be purchased relates to a specific budget category within the grant. This may be accomplished by uploading the statement as a separate document, or using the document text box in the req form. This section is used to provide justification for charging the expense to the grant and to assist with providing a clear explanation of the expenditure to the funder.

Departmental credit cards are not to be used for grant expenses unless prior approval is granted by the EVP/ CFO's office via the Office of Sponsored Programs.

As soon as OSP receives and reviews the Banner RQ, a determination will be made to approve the expenditure or ask for further justification. Upon assuring grant compliance, OSP will approve the request. OSP will not be able to approve any request until all needed documentation and support has been submitted and approved.

It is the responsibility of the PI and the recipient department to ensure that expenditures are allowable and appropriate; however, the OSP will confirm that the expense is consistent with the terms and conditions of the award as well as the OMB Circulars. All appropriate documentation and justification of the expenditure will be filed by the OSP.

**All expenditure requests must be made no later than 15 working days prior to the grant ending.** Expenditures occurring after the project end date cannot be charged to the project unless a continuation and renewal process has been approved by both the funder and OSP. If approval is not received, expenditures will be charged to the department.

## **E. Travel**

Several items must be considered and reviewed when traveling on sponsored projects. This is especially true for federal funds. For example, United States flag air carriers must be used for travel on federal awards without consideration of cost, convenience, or personal preference. Coach or economy class must be used in all cases.

Another item to consider is foreign travel. Depending on the sponsor and/or type of award (grant vs. contract), foreign travel or changes to approved foreign travel may be required. The terms and conditions of the award should be reviewed before agreeing to foreign travel, as they require review by the OSP for compliance and approval from the Office of the President.

Travel is considered an expense and must go through the proper expenditure request procedures. All travel expenses must be pre-approved through the Travel Office as well as the Office of Sponsored Programs. Using *ORU's Banner Travel and Expense Management* system, complete the step-by-step procedure for completing a Travel Authorization (TA) request.

To ensure proper documentation, justification, and reimbursement, all original receipts will need to be submitted via ORU'S Banner Travel and Expense Management system, complete the step-by-step procedure for a Travel Expense Report (TR) The TR and receipts will be reviewed and compared to the grant's terms and budget. Once OSP has reviewed the final expense calculation, should no other additional information be required the TR will be approved for payment to the individual's direct deposit account. Copies will be filed in the OSP.

## **F. Salaries / Effort Reporting**

Effort Reporting is an accounting for the effort of an employee, whose normal salary was paid in any part by grant funds, or cost shared on a sponsored account. One of the major subjects addressed by the regulations found in the OMB Circular A-21, mandated by the Office of Management and Budget, is verification that the salaries charged are consistent with the effort expended. The OMB Circular A-21 requires measuring in "percentage of effort," with 100% effort being paid by "regular base salary."

The OMB Circular A-21 requires that salaries paid to nine-month faculty members for summer work must not exceed their regular monthly academic year salary. A faculty member may only request up to three months of salary during the summer (equal to three-ninths of his or her regular base salary) on any sponsored project. The National Science Foundation is the only Federal agency that limits summer salary for faculty members on academic-year appointments to no more than two-ninths of their regular academic year salary, for example, only two months at 100% effort. Wages for non-faculty must be dispersed to projects based on the actual percentage of effort committed to the project. Wages must be paid as part of the base salary, not as overtime, unless an employee is nonexempt. Paying exempt employees overtime from sponsored projects violates section J.10.d of the OMB Circular A-21. Please contact the OSP for assistance with determining salaries.

### **Oral Roberts University Time and Effort Reports**

All grant-funded personnel must thoroughly document all time and effort reported. All project staff being paid or reimbursed for his or her time must submit a monthly *Oral Roberts University Time and Effort Report* to the Office of Sponsored Programs. See Appendix A: *Oral Roberts University Time and Effort Report*.

Time & Effort reports must be completed and sent to the OSP by the 10<sup>th</sup> of each month. Time and effort recorded in one month will be submitted in the following month's report, e.g., work done in January will be reported by February 10th. Time and Effort reports are different from time sheets, Kronos, etc, but are required documentation for grant compliance. The grant supported employee and the Principal Investigator will be required to sign the hard copy of the completed report before submitting it to the Office of Sponsored Programs. The PI's supervisor will be required to sign the PI's Time & Effort Report prior to submission. Time and Effort reports must be submitted within the given deadlines in order to ensure timely disbursement of indirect costs. Failure to submit these reports by the 10<sup>th</sup> of the month and become overdue by more than thirty days may result in an Administrative Financial Hold being placed on the grant fund.

### **G. Change in Scope of Work and Principal Investigator Status**

Once a project is funded, a change to the scope of work usually requires the funding source's approval. The Principal Investigator should contact the Office of Sponsored Programs as soon as possible once the changes in the scope of work for the project are determined. The OSP will work closely with the Principal Investigator to prepare the appropriate documents and submit the documents to the funding source on his or her behalf.

Once the Office of Sponsored Programs has received notification from the funding source that the change has been accepted, a copy of the notification will be forwarded to the Principal Investigator. The Principal Investigator is not allowed to implement any changes to the project until official approval has been received.

When a Principal Investigator or key staff/faculty plans to take a sabbatical, a leave of absence, or terminates his or her employment with Oral Roberts University, the Office of Sponsored Programs must be notified immediately. The OSP will take appropriate actions to immediately notify the funding source of the changes, per agency requirements. Funding source notification and approval is required to retain the award and appoint a new Principal Investigator.

## H. Award Transfers or Relinquishments

All awards belong to Oral Roberts University. Should a Principal Investigator wish to relinquish their responsibilities they must notify OSP immediately. If a PI leaves the institution the sponsored award and corresponding equipment and materials remains with ORU. It will be at the sole discretion of ORU to determine whether to keep or transfer the award to another institution. If a transfer is determined appropriate, the *Request for Award Transfer by ORU* form must be submitted to the Office of Sponsored Programs immediately. The transfer form, the award's terms and conditions and all budgetary information will be thoroughly reviewed by University Administration.

Submitting the form does not automatically approve the transfer; the final decision is at the discretion of the Grant Review Committee which is comprised of the EVP/CFO, the VPAA and the Senior Director of Sponsored Programs. The committee may decide not to permit relinquishment of either a proposal or an award and instead decide that it is in the best interest of ORU to propose an alternative Principal Investigator to the funding source for the project.

The Office of Sponsored Programs will assist in transferring grants from other institutions to ORU as well as transferring grants from ORU to other institutions. The OSP will also assist in the relinquishment of awards and responsibilities from the Principal Investigator if the PI is leaving ORU. In all cases, it is recommended that a PI and his or her departmental administrator consult with the OSP at least 90 days prior to the beginning of the spending needs at the new location.

If an award is to be transferred to another university, sponsors generally expect the equipment purchased under an existing award to be transferred with the award to the Principal Investigator's new institution. This expectation extends only to items meeting ORU's capital equipment threshold (\$2,000 or more per item, useful life of 1 year or more) as well as items which were fully-funded by the sponsor on the current award. Items purchased on the project that do not meet the definition of "equipment" (example: many computers, small pieces of equipment), or are co-funded by ORU, or were purchased on earlier projects are retained by ORU.

## I. Cost Transfers

A cost transfer is a transfer of expenditures from one project fund to another project fund. **All cost transfer requests must be submitted on an *ORU Cost Transfer Request Form* (with the original signatures) and routed through the Office of Sponsored Programs for prior approval.** The cost transfer must be accompanied by a detailed justification that explains the reason for the transfer of costs, as well as a copy of the original documentation for each charge. An explanation of "to correct error" or "to transfer to correct project" will not be sufficient. All cost transfers should be made within 90 days of discovery of the original charge error. *The transfer of a cost from one project to another is often the subject of federal audit scrutiny and, therefore, should be kept to a minimum and processed in a timely manner.*

To reinforce ORU's commitment to compliance with federal guidelines, cost transfers between fiscal years will not be allowed on contract and grant accounts without adequate documentation to support such transfers for audit purposes. Cost transfers will not be approved for charges made after the end of a grant. See Appendix G: *ORU Cost Transfer Request Form*. This form is also available online.

## **J. Budget Transfers**

In some instances, it may be necessary to reallocate funds within a budget. This does not allow for moving money from one project to another. These transfers occur within a budget from one object segment to another.

- Example: A budget allows for \$5,000 in equipment, \$3,000 in operating expenses, and \$2,000 in travel. The award's terms state that the funding source will allow up to a 25% total budget amount for transfers. The PI needs to move \$200 from operating expenses to equipment. In most cases, this would be allowable and performed once approved through the Office of Sponsored Programs.

When a budget transfer is necessary, the Office of Sponsored Programs must be notified. The OSP will work with the PI to review the budget, expenditures, and the award's terms and conditions. If approved, the PI will submit a budget transfer request through Banner for review and processing.

## **K. Reports and Invoices**

ORU receives contract and grant funds from both federal and non-federal agencies. Specific reports, claims, and billings are required by each funding source and are defined in the award agreement.

Grant reports may include both narrative and budget components and serve the purpose of informing the grant-maker of progress toward the goals and objectives outlined in the proposal. Reports can also serve as a formative evaluation tool to help the Principal Investigator make adjustments to project methodology or program activities.

Reporting consistently and in a timely manner is vital in establishing credibility and attracting future support. Non-compliance with federal regulations and delinquency in submitting federal grant reports jeopardizes the University's ability to compete for future funds and can lead to severe penalties such as fines, criminal charges, and time spent in prison.

The Office of Sponsored Programs works closely with the entire grant team as well as the funding source to ensure that consistent and timely reporting is accomplished. Principal Investigators may be required to submit narrative reports to the funding agency. These narrative reports should be sent to the OSP no later than two weeks prior to the funding source's deadline. Once reviewed and documented, the report will be submitted to the awarding source.

## **Finances**

The Office of Sponsored Programs will assist in billing/invoicing agencies as well as collecting funds once the agencies have been billed. After an invoice has aged for 90 days, the Office of Sponsored Programs will assist in contacting the funding source regarding the delinquent payment. Contacts including letters, duplicate billings, phone calls, and faxes may be made until the account is paid.

## **L. Sub-Recipients**

Subaward, subcontract, subgrant, and consortium agreement all indicate a partnership. Contractual service, vendor agreements, and procurement contracts all indicate a buyer-seller relationship.



According to the Federal OMB Circular A-133, all entities receiving federal grants or contracts are required to be monitored. If ORU issues a sub-recipient agreement under a federal award, ORU is required to monitor the sub-recipient to assure compliance with federal regulations. State Board of Accounts auditors, as part of the Circular A-133 review, will annually test ORU's compliance with federal laws requiring monitoring of sub-recipients.

Once a subaward is issued, several parties share the monitoring responsibility. The sub-recipient submits invoices directly to ORU's Office of Sponsored Programs. After an initial review, the OSP forwards the invoice to the Principal Investigator/Department for approval and entry into the Banner system for payment. Invoices should only be approved if the work is satisfactory to the Principal Investigator. If the Principal Investigator approves the charges on the invoice, a signature is required with the invoice.

Before the invoice is approved by the Principal Investigator, it should be reviewed to ensure that charges are correct and allowable for the billing period in question. The invoice must also be accompanied by a Time & Effort Report. If the Principal Investigator does not agree with any of the charges, the invoice should not be approved and the sub-recipient should be notified.

Invoicing will be done at the frequency and direction of the funder. If the funder does not indicate a preference, OSP will invoice on a quarterly basis.

## **M. Salary Recovery Funds**

It is not uncommon for a funded project to provide salary and benefit funding for faculty/staff involved in the project. Money included in the department's budget to remunerate the supported faculty/staff prior to the grant award is deemed 'salary recovery' funds. Use and distribution of salary recovery funds depends upon the need generated by the funded project.

Federally funded projects may require release time according to the percentage of time specified in the grant contract in order to ensure the scope of the project is completed. Should the project provide funding for the supported faculty/staff's release time, other faculty/staff may be required to perform the release time work. Salary recovery funds are used to pay the faculty/staff that have been hired to perform the duties of the grant funded individual. At the conclusion of the funded project, pay received from salary recovery funds due to taking on someone else's release time work will be terminated.

In situations where a faculty/staff are asked to add temporary tasks to their workload, salary recovery funds may be used to supplement their salary or wage for the funded work performed and only the duration of the funded project. PIs are encouraged to identify existing faculty/staff within the University that currently have less than a 100% work load to pick up release time work or take on additional responsibilities. On the occasions when a grant supported faculty/staff is less than 100% and no release is required, the recovered salary is distributed per Salary Recovery Fund Distribution. At the conclusion of the funded project the extra pay received by taking on additional responsibilities will be terminated.

### **Salary Recovery Fund Distribution**

At the end of each budgeted grant period, the Office of Sponsored Programs will calculate the amount of salary recovery funds received by the University remaining to be distributed. This determination will be made within 90 days from the last day of the budgeted grant period. Remaining salary recovery funds may be petitioned for use within 90 days from the last day of the grant period by the department from which they were recovered. The EVP/CFO, the VPAA and the Senior Director of Sponsored Programs reviews the petition and distributes salary recovery funds as appropriate.

Remaining undistributed funds will be distributed to the Intramural Faculty Seed Research Fund and the University's operating accounts.

## **N. Grant Consideration Pay**

In the event that a faculty/staff/dean/administrator at ORU constructs a grant proposal that is funded, there is a possibility that they will be eligible to receive "grant consideration pay" as a reward for their efforts. In order to qualify for this extra pay, the following must be true:

- The funded grant must contain the payment of indirect costs to the University
- OR
- The funded grant must contain actual salary recovery funds for at least a one year period

In no circumstance will federal funds be used to pay extra compensation, stipends or grant consideration pay. Provided that qualifications are met, the Principal Investigator may be eligible to receive grant consideration pay. This payment will be determined on a per case basis based on the stated outcomes, effort, results and compliance. Upon the recommendation of the Grant Review Committee the PI will be awarded grant consideration pay from the indirect cost allotment. On occasion, grant consideration pay may be paid from salary recovery funds. In the event there are two or more PIs/Co-PIs on an approved grant, any grant consideration pay will be divided by the number of PI/CoPIs. Occasionally, additional faculty/staff that are working on a funded project may be eligible for grant consideration pay.

Grant consideration pay will be reviewed for approval and disbursement within 90 days of the financial closure of the grant. No grant consideration pay will be distributed to an individual not currently employed by the University. If approved, payment will be distributed with the regular employee paychecks.

## **SECTION VII- CLOSE OUT PROCEDURES**

## **SECTION VII-CLOSE OUT PROCEDURES**

### **A. No Cost Extension**

Some projects may require a no-cost time extension (NCE) to be requested by the University. A no-cost extension is when a funding source gives additional time beyond the expiration date to the principal investigator to finish a project.

The Principal Investigator should review his or her program at 90 days prior to the end date of the final project period to assess if a no-cost extension will be required to complete the project objectives. If the end of an award is approaching and additional time is needed to complete the project, the Office of Sponsored Programs should be notified for assistance. Agencies will often approve a no-cost extension for 6 or 12 months as long as the written request is placed 10 days prior to the end of the grant period. However, federal agencies have differing requirements for one-time extensions. Some agencies request electronic filing while others prefer mailed requests. Requests should state the reason for additional time on the project and the desired date of completion. All extension requests are to be countersigned by the PI and the Senior Director of Sponsored Programs before submission.

When a response is received from the funding source, OSP will assist the PI to develop the NCE budget.

### **B. Timeline**

It is imperative that the Office of Sponsored Programs submit all final reports within the allowable time frame following the grant expiration to ensure the timely collection of funds due to ORU under the terms of the award. The OSP strives to close each account as quickly as possible following final receipt of funds from the agency to reduce the likelihood of further expenses being charged to the grant. While many agencies will allow up to 90 days from the expiration date to close out an account, some agencies require the submission of final claims within 5 to 60 days after expiration.

#### **Ninety Days Prior**

Ninety days prior to the closing of the grant, the Office of Sponsored Programs will send the Principal Investigator a *Notification of Close-Out Letter* which will include the most recent Burn Rate Report.

#### **Sixty Days Prior**

Sixty days prior to the closing of the grant, the Office of Sponsored Programs will review the remaining budget, expenses, inventory purchased, and the project itself. All final cost transfers should be made at this time. The Office of Sponsored Programs will also review the encumbrances such as payroll, purchasing, travel, etc. and take action to ensure that charges can be made against the account no later than 30 days after the expiration of the grant. Indirect Costs will be evaluated at this time as well. During this time, departmental inventory reports and IT inventory reports must be submitted to the Office of Sponsored Programs for review and filing.

#### **Thirty Days**

Thirty days prior to the closing of the grant, a meeting will be held between the Office of Sponsored Programs and the Principal Investigator. The purpose of this meeting is to compare and sign off on all financial and narrative reports. The Grants Management Checklist, a checklist given to the Principal

Investigator during the Orientation Meeting which details deadlines, reports, and funding source requirements, will be reviewed and signed. Cost Sharing and Effort Reports will be verified as well.

The Principal Investigator is required to submit all narrative reports which may include project evaluations, products produced, publications, and deliverables which may be required in the final report. Final reports may be submitted after the close of the grant, yet prior to submission to the funding agency.

Any grant expenses charged after the expiration of the grant project period and not included in the final report/billing must be covered by departmental funds. The Principal Investigator's department is responsible for any overdraft incurred on the contract or grant account. The Office of Sponsored Programs will notify the department of any overdrafts through a final invoice.

### **Fifteen Days**

All Requisitions must be entered into the system. Any outstanding requests after the end of the grant will be charged to the departmental budget. With prior, written approval from the EVP/CFO, an exception may be granted. However, this mainly applies to project work that is being completed up to the last day of the grant.

### **Submitting IT Inventory and Tagging Reports**

The inventory process is performed through ORU's Information Technology (IT) Department. When technological equipment is delivered to ORU, the IT Department must be notified immediately to ensure proper tagging and inventory procedures are followed. The IT Department gives the equipment a bar code and then keys the information into the IT inventory system.

The IT Department's inventory system houses the following information for each piece of equipment that was purchased through the grant:

- Bar code number assigned to the equipment
- Status of the equipment (new or used)
- Individual assigned to the equipment
- Location of the equipment (Room XXX)
- Department assigned to the equipment
- Model number
- Model type (e.g.: computer, monitor, copier, printer, etc.)
- Personnel (who will be using the equipment – faculty, staff, students, etc.)
- Manufacturer (e.g.: Dell, HP, Hitachi, etc.)
- Serial number
- Date the equipment was received
- Description – equipment is to be used for XXXX
- Placement Date – the day the equipment was placed in Room XXX

The IT Department is able to print reports through the inventory system. An inventory report of all equipment purchased through grant funds must be performed and submitted to the Office of Sponsored Programs at the end of the grant or every two years based on the longevity of the grant.

Sixty days prior to the closing of the grant, the Principal Investigator is required to obtain reports from the IT Department which detail the tagging and inventory of all equipment purchased through the funding of the grant.

All equipment purchased through the funding of the grant becomes property of the University. Maintenance costs and all other subsequent costs will become the responsibility of the department.

### **Within Ninety Days Following the Grant's End Date**

Many sponsors will not remit final payment until the final narrative and financial reports have been received and accepted. The Office of Sponsored Programs will review final narrative reports for all grants to ensure that they meet funding source requirements. Faculty are expected to address the objectives of the original proposal and to report the results of the project evaluation in the final report. The Office of Sponsored Programs will review all reports and deliverables submitted by the Principal Investigator before submitting to the funding source.

Once the final payment has been received and posted, the account should be zero. The total income received should match the total expenditures. At this time, the Office of Sponsored Programs will request the account be marked as "closed" to ensure that no further transactions can be applied. All files will be archived for a period of seven years.

**SECTION VIII-**  
**FINANCIAL CONFLICT OF INTEREST**

## SECTION VIII-FINANCIAL CONFLICT OF INTEREST

The term conflict of interest... refers to situations in which financial or other personal considerations may compromise, or have the appearance of compromising, an investigator's professional judgment in conducting or reporting research. Conflicts become detrimental when the potential rewards, financial or otherwise, cause deviation from absolute objectivity in the design, interpretation, operation and publication of research activities or in other academic and professional decisions.

A Financial Conflict of Interest (FCOI) is completed prior to any planned, proposed, or achieved externally sponsored projects at Oral Roberts University. In addition to making a FCOI Disclosure at the time of application, PIs must renew this statement a) within 30 days of identification of a new conflicting interest, and b) annually for previously identified FCOI.

The PI and any other person, regardless of title or position, who is responsible for the design, conduct or reporting or program which may include for example collaborators or consultants are required to disclose any Significant Financial Interests (and those of his/her spouse and dependent children).

### *Significant Financial Interest (SFI)*

A **significant financial interest** consists of interests that reasonably appear to be related to the investigator's institutional responsibilities:

- with regard to any *publicly traded entity*, a SFI exists if the remuneration received in the 12 months preceding the disclosure, and the value of any equity interest as of the date of disclosure, exceeds \$5,000. "Remuneration" includes (i) salary, and any payments for services such as consulting fees or honoraria, paid authorship, reimbursed or sponsored travel and (ii) equity interest includes any stock, stock option, or other ownership interest.
- with regard to any *non-publicly traded entity*, a SFI exists if the value of any remuneration received in the 12 months preceding the disclosure, and the value of any equity interest as of the date of disclosure, exceeds \$5,000, or when the investigator holds *any* equity interest.
- intellectual property rights and interests such as patents or copyrights, upon receipt of income related to such rights and interests.

A PI must disclose to the University all "significant financial interests" on his or her part and/or the part of his/her immediate family that include:

- at least \$5,000 of payments from and/or equity interests in publicly-traded entities, or
- any equity interest in non-publicly traded entities, or
- reimbursed or sponsored travel such as a conference trip paid for by an external sponsor.

On occasion a financial interest or benefit to the PI or immediate family may occur that does not reach the SFI level. However in an interest to ensure transparency and support objectivity the FCOI must be disclosed.

### **Actionable Financial Interest in Research (AFiR)**

Should an actionable financial conflict of interest exist the Office of Sponsored Programs will work with you to develop a FCOI management plan. It may be possible to develop and execute a resolution to manage, reduce or eliminate any actual or potential FCOI.

Contact the Office of Sponsored Programs for further detail.



**SECTION IX-**  
**MATERIALS TRANSFER**

## SECTION IX-MATERIALS TRANSFER

A Material Transfer Agreement (MTA) is a contract that governs the transfer of tangible research materials between two organizations, when the recipient intends to use it for his or her own research purposes. An MTA defines the rights of the provider and the recipient with respect to the materials and any derivatives. Biological materials, such as reagents, cell lines, plasmids, and vectors, are the most frequently transferred materials, but MTAs may also be used for other types of materials, such as chemical compounds, durable goods, equipment and even some types of software. There are three common types of MTA at the University, each requiring a different set of terms and conditions:

- transfer between academic or research institutions
- transfer from academia to industry
- transfer from industry to academia.

### A. Material transfer to ORU from another institution/industry (IN)

Exchange of materials between academic (or not-for-profit) institutions is relatively straightforward. The MTA/IN is used for many transfers of material into ORU.

### B. Material transfer from another institution to ORU (OUT)

The MTA/OUT is used for when ORU sends materials to or back to another institution/organization.

### C. Material transfer from industry to ORU

Researchers often use materials provided by industry. For transfer of materials from industry, the University is usually required to use the agreement written by the company providing the materials. An industrial MTA usually carries more restrictions than the basic MTA. Industrial MTAs often contain language that conflicts with basic academic rights or that places unnecessary restrictions on investigators. Companies may ask to own all rights to inventions arising from use of the material or ask for exclusive rights to future inventions.

For these reasons, OSP reviews, negotiates, and approves all MTAs from industry. Each industrial MTA is different and must be negotiated separately on a case-by-case basis, depending on the terms used in the agreement, the investigator's obligations to the sponsor(s) of the research, and the use the investigator plans for the material.

### D. Potential Issues in MTAs

**Confidentiality:** When confidential information is exchanged along with the material, the company may request that such information not be further disclosed. If the information is necessary for interpretation of the research results obtained using the material, that same information may also be required for publication of those results. Having agreed to hold the information confidential could prohibit an investigator from ever publishing the results of work using the company's material.

**Delay in publication:** In order to protect potentially patentable inventions, companies often demand a review period for the investigator's manuscripts, abstracts or hard-copies of presentation materials. This demand may jeopardize the timeliness of publication.

**Use of materials in sponsored research projects:** Many industry MTAs contain language that prohibits the use of the material in research that is subject to licensing or consulting obligations to any third party, including the sponsor of the research project.

**Definition of material:** The industry provider may propose a definition of material that includes not only the original material, but also modifications or derivatives made from the material that incorporate the investigator's original ideas or concepts. If the provider also claimed ownership of the modified material, the provider could own the results of the investigator's research. The investigator could be prevented from using research results in further research, transferring them to other organizations, meeting obligations to research sponsors, or ensuring that the results are made public.

**Loss of control of intellectual property:** If MTAs preempt ownership rights, investigators may be restricted in their ability to interact with a future sponsor or may have conflicts with obligations to

current sponsors. Intellectual property restrictions may prevent the institution from obtaining or conveying rights to future licensees.

**Conflicts with existing agreements:** Industrial MTAs may contain obligations that conflict with obligations in a preexisting agreement. Also, the material may be used in conjunction with a separate material received under another MTA. These situations could result in granting two or more parties conflicting rights to the same invention.

When MTAs are used in conjunction with federally funded research, the federal government has certain rights to resulting inventions (Bayh-Dole Act). Please contact OSP for details as related to federal funded research.

#### **E. MTA Compliance issues**

MTAs are legally binding contracts between ORU and the other party. A fully signed MTA requires that the Principal Investigator, students and all others involved in the project follow the terms and conditions as stated in the agreement. Breach of these terms could significantly affect the Principal Investigator's research and the ability to publish.

The Principal Investigator should understand that they will not own the incoming material. Ownership will most likely remain with the Provider Institution.

MTAs for human tissue must have protocol(s) reviewed by the IRB.

MTAs for hazardous materials and/or select agents must follow OSHA compliance procedures.

MTAs where the decision to undertake the research is based on receiving access to the material(s) from a nongovernmental provider must follow Conflict of Interest Committee requirements for financial disclosure.

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**SECTION X-  
RESEARCH AGREEMENTS**

## **SECTION X-RESEARCH AGREEMENTS**

ORU conducts research supported by federal, state governments, industry, non-profit organizations as well as in conjunction with other educational institutions. These projects are governed by agreements between the parties. OSP assists in reviewing and negotiating ORU's sponsored research agreements. Sponsored research is generally considered "cost reimbursable" and should include conditions as: detailed budgets, requirements for prior approvals for particular expenditures, a specified period of performance, typically defined with "start" and "stop" dates, a requirement to return any unexpended funds at the end of that period, regular financial reporting and audit.

### **A. Who can sign a research contract?**

ORU's President and Executive Vice President & Chief Financial Officer are designated as the signer of contracts on behalf of the University. This includes MTAs and other non financial agreements which relate to research.

### **B. Should a PI or department staff member negotiate their own contract?**

Never. The President and the Executive Vice President & Chief Financial Officer are the only officials authorized to accept binding terms in research contracts on behalf of the University. The PI and department are certainly permitted (and are encouraged) to discuss the scope of work and the budget with a sponsor. It is important for the PI to read the terms of all research agreements before transmitting it for University signature. OSP assumes that a PI who submits a contract for signing has read and agrees to conform to those terms.

A Research Agreement may include:

### **C. Sponsored Research Agreement (SRA)**

An SRA is a contract between ORU and a non-federal sponsor for the purposes of funding and conducting research at ORU.

Sponsored Research Agreements include terms governing the following:

- Scope of work to be conducted
- Budget for the research
- Payment obligations and timing
- Management and staffing of the research project
- Schedules and deliverables
- Publication of the research results
- Options to license the intellectual property arising from the research
- Care of data and confidential information exchanged during the research
- Transfer of materials (when needed)
- Compliance with export control and other laws and regulations
- Use of ORU's name
- Rights and procedures to terminate the project
- Taxes, insurance, warranties, liability, governing law, and other items necessary for contracts

The process for developing an SRA for a non-federal sponsor may be brief or lengthy, depending on

the complexity of the program to be sponsored and what the sponsor expects to obtain for its support.

If you believe that your sponsored research project includes an outside entity you will need a SRA. Please contact OSP for further detail on the process.

### **D. Consortium Agreement**

A Consortium Agreement is a contract that enables multiple sponsors (usually non-federal organizations) to participate together in supporting research at ORU and to equally share the

outcomes of the research. Having more than one sponsor does not automatically convert a sponsored research program into a consortium. Consortium Agreements are similar to Sponsored Research Agreements (SRAs) involving a single sponsor, except that Consortium Agreements provide for the sharing of obligations, rights, and benefits among all consortium members.

Consortium Agreements include terms governing the following:

- A general description of research to be conducted under the Consortium's funding (Some, but not all, consortia provide options for the member to fund sole-sponsor projects)
- Cost of membership, with payment obligations and schedule
- Management of the consortium and members' role in governance
- Publication of the consortium's research results
- Members' options to license intellectual property arising from the consortium's research
- Compliance with export control and other laws and regulations
- Use of ORU's name
- Rights and procedures to terminate the consortium or membership
- Taxes, insurance, warranties, liability, governing law, and other items necessary for contracts

In general, the terms of a Consortium Agreement are developed by ORU when the consortium is first organized, through discussions with initial prospective members. A Consortium Agreement's terms become fixed when the first members join. Future changes to some terms may require written approval of ORU and all members. Consequently, changing a Consortium Agreement is difficult once the consortium activities are under way, and exceptions to a Consortium Agreement generally cannot be allowed for new organizations wishing to join an existing consortium.

#### **E. Subaward Agreement**

Subaward Agreements (subcontracts) are contracts between ORU and a subcontractor selected by ORU to conduct tasks assigned by ORU as part of a research program sponsored by another organization, such as a federal agency, company, or foundation. Subawards must often apply ("flow through") some of the terms of the prime research agreement that is sponsoring the research. Subawardees must be pre-approved as compliance assurances need to be agreed upon.

#### **F. Collaborative Research Agreement**

Collaborative Research Agreements (CRAs) are contracts between ORU and one or more organizations that are cooperating in the conduct of a research program. These agreements are nearly always requested by outside parties and are only rarely initiated by ORU.

In these agreements, there is generally no transfer of funds between organizations (referred to as a "No Cost Collaboration"). Instead, the agreement describes the actions that each organization has agreed to undertake, and defines the obligations each party has to the others participating in the collaborative research effort.

#### **G. Memorandum of Understanding (MOU)**

A Memorandum of Understanding is a non-binding memorandum between ORU and one or more organizations planning to create a new cooperative research and/or education program. MOUs attempt to outline the type of relationship that will be created, the objectives for the relationship, and the actions that each party plans to take to bring the program into existence. The planned activity may or may not come to fruition as described in the ORU. There is no fixed form or content for MOUs; their content is determined by their objectives. Therefore, requests for MOUs must be approved and signed by the President or the Executive Vice President & Chief Finance Officer. If you or a sponsor wish to request an MOU, please contact OSP.

#### **H. "Work for Hire" or Consulting agreements**

Work-for-Hire contracts reflect a commercial type of purchasing agreement. Key identifying factors are that the sponsor outright owns all the data, reports, drawings, and materials and inventions

developed under the agreement. Publication is often prohibited. The work is often warranted. The University does not provide commercial services and cannot sign these types of agreements without substantial modification designed to reflect the fact that we conduct academic research. OSP is happy to try to work with sponsors to find an appropriate form of agreement to use in a work-for-hire situation.



**SECTION XI-  
INTELLECTUAL PROPERTY**

## **SECTION XI-INTELLECTUAL PROPERTY**

ORU recognizes and encourages the publication of scholarly works and advancement of technology and engineering as an integral part of its educational mission. ORU Intellectual Property Policy is design to encourage creation of artistic work, for the disclosure of discoveries and inventions, and in order to reward such activity.

When dealing with IP issues, all individuals holding any form of employment or appointment at ORU (with or without compensation), any person who has student status, or any person or entity using or employing ORU facilities or resources (excluding libraries) will be considered a 'covered person'. Covered Persons include faculty, professional and non- professional staff, fellows, undergraduate and graduate students, persons with adjunct appointments, and visiting professors. Covered Persons shall execute any and all documents ORU deems reasonably necessary to evidence such ownership, meet its legal obligations and effect Intellectual Property protection. ORU administrators are encouraged to take appropriate measures to inform all individuals associated with ORU of this IP Policy and its provisions.

Intellectual Property agreements executed by or on behalf of ORU shall be governed by the IP Policy in existence as of the effective date of the agreement.

Contact OSP for the complete IP policy.

**SECTION XII-  
INTRAMURAL SEED GRANT PROGRAM**

## **SECTION XII-INTRAMURAL FACULTY SEED RESEARCH FUND**

The Oral Roberts University Intramural Seed Grant Program, funded by the Office of Sponsored Programs, supports projects for principal investigator(s) which may lead to future external funding opportunities. Research that is already supported by other sources will not be approved for funding. Gap funding to bridge support will only be considered with verified documentation of existing funds. The principal investigator must clearly and convincingly demonstrate that the proposed project represents a project that is likely to generate extramural funding. Thus, the proposal must not overlap with any existing grants. Seed funding under this program is to be used to successfully compete for extramural funds to support the project in the long term.

Preference will be given to proposals that:

1. Have a high potential for extramural funding
2. Have significant scientific merit
3. Represent a new direction for the PI
4. Build or strengthen cross-disciplinary research partnerships

Applicants must be full-time faculty members on continuing appointments. Call for proposals occur in the fall, pending available funding.

Contact the Office of Sponsored Programs for more details and an application packet.

**SECTION XIII-  
CONCLUSION**

### **SECTION XIII-CONCLUSION**

Seeking grant money can be time-consuming and sometimes frustrating. Major elements involved in successful grant writing include solid advance planning and preparation. It takes time to coordinate the planning and research, organize, write and package the proposal, submit the proposal to the funder, and follow-up. From start to finish, the Office of Sponsored Programs is available to help with all areas of the grant process.

Providing resources, guidance, training, and expertise in proposal development and grant management is an everyday goal for the Office of Sponsored Programs. The OSP's staff is dedicated to ORU's faculty, staff, and students. The staff is trained to find solutions to unusual problems, answer questions, and work with Principal Investigators to follow existing University policies and procedures that apply to sponsored project activities.

**Please contact the Office of Sponsored Programs for further assistance at  
918-495-6928.**

# **SECTION XIV- GLOSSARY**

## SECTION XIV – SPONSORED PROGRAMS GLOSSARY

Many of the following terms are commonly used during the grant writing and grant administration processes.

**A-21 Cost Principles for Educational Institutions:** A circular published by the federal Office of Management and Budget (OMB) that establishes the principles for determining the costs applicable to grants, contracts, and other government agreements with educational institutions (also known as Sponsored Projects).

**AAALAC:** American Association for the Accreditation of Lab Animal Care

**AFOSR:** Air Force Office of Scientific Research (DOD)

**AHA:** American Heart Association

**AID:** Agency for International Development

**Allocable Costs:** Those allowable costs that actually benefit the grant or contract to which they are being charged.

**Allowable Costs:** Those categories of costs that can be charged to a grant, such as salaries and equipment. Certain types of costs, such as the cost of alcoholic beverages are not allowable and may not be charged to a contract or grant.

**AMA:** American Medical Association

**ASPR:** Armed Services Procurement Regulations

**Audit:** A formal examination of an organization's or individual's accounts or financial situation. An audit may also include examination of compliance with applicable terms, laws, and regulations.

**AUTM:** Association of University Technology Managers

**Award:** Funds that have been obligated by a funding agency for a particular project.

**Broad Agency Announcement (BAA):** An announcement of a federal agency's general research interests that invites proposals and specifies the general terms and conditions under which an award may be made.

**Budget:** The detailed statement outlining estimated project costs to support work under a grant or contract. (See also rebudget.)

**Budget Adjustment:** The act of amending the budget by moving funds from one category or line item to another.



**Budget Period:** The interval of time, usually twelve months, into which the project period is divided for budgetary and funding purposes.

**Burn Rate:** The rate at which the grant funds are spent throughout the budget period.

**CAS:** Cost Accounting Standards

**CDC:** Centers for Disease Control and Prevention

**CFDA:** Catalog of Federal Domestic Assistance

**CFR:** Code of Federal Regulations

**Challenge Grant:** A grant that provides monies in response to monies from other sources, usually according to a formula. A challenge grant may, for example, offer two dollars for every one that is obtained from a fund drive. The grant usually has a fixed upper limit, and may have a challenge minimum below which no grant will be made. This form of grant is fairly common in the arts, humanities, and some other fields, but is less common in the sciences. A challenge grant differs from a matching grant in at least one important aspect: the amount of money that the recipient organization realizes from a challenge grant may vary widely, depending upon how successful that organization is in meeting the challenge. Matching grants usually award a clearly defined amount and require that a specified sum be obtained before any award is made.

**Close Out:** The act of completing all internal procedures and sponsor requirements to terminate or complete a research project.

**COGR:** Council on Governmental Relations

**Competing Proposals:** Proposals that are submitted for the first time or unfunded proposals that are resubmitted; either must compete for research funds. Ongoing projects must compete again if the term of the original award has expired.

**Consortium Agreement:** Group of collaborative investigators/institutions; arrangements can be formalized with specified terms and conditions.

**Continuation Project (Non-Competing):** Applicable to grants and cooperative agreements only. A project approved for multiple-year funding, although funds are typically committed only one year at a time. At the end of the initial budget period, progress on the project is assessed. If satisfactory, an award is made for the next budget period, subject to the availability of funds. Continuation projects do not compete with new project proposals and are not subjected to peer review beyond the initial project approval.

**Contract:** A mechanism for procurement of a product or service with specific obligations for both sponsor and recipient. Typically, a research topic and the methods for conducting the research are specified in detail by the sponsor, although some sponsors award contracts in response to unsolicited proposals.

**Contract/Grant Officer:** A sponsor's designated individual who is officially responsible for the business management aspects of a particular grant, cooperative agreement, or contract. Serving as the counterpart to the business officer of the grantee/contractor organization, the grant/contract officer is responsible for all business management matters associated with the review, negotiation, award, and administration of a grant or contract and interprets the associated administration policies, regulations, and provisions. (For definition of scientific officer, see Program/Project Officer.)

**Cooperative Agreement:** An award in which the sponsor's staff may be actively involved in proposal preparation, and anticipates having substantial involvement in research activities once the award has been made.

**Cost Accounting Standards (CAS):** Federally mandated accounting standards intended to ensure uniformity in budgeting and spending funds.

**Cost-Reimbursement Type Contract/Grant:** A contract/grant for which the sponsor pays for the full costs incurred in the conduct of the work up to an agreed-upon amount.

**Cost-Sharing:** A general term, used as a noun or adjective, that can describe virtually any type of arrangement in which more than one party supports research, equipment acquisition, demonstration projects, programs, and/or institutions. Example: A university receives a grant for a project estimated to have a total cost of \$100,000. The sponsor agrees to pay 75% (\$75,000) and the university agrees to pay 25% (\$25,000). The \$25,000 is the cost-sharing component.

**CRADA or CRDA:** Cooperative Research and Development Agreement

**CSR:** Center for Scientific Review (National Institutes of Health)

**DAR:** Defense Acquisition Regulations. The source regulations for research projects sponsored by the Department of Defense.

**DARPA:** Defense Advanced Research Projects Agency (DOD)

**DCAA:** Defense Contract Audit Agency

**Defense Acquisition Regulations (DAR):** The source regulations for research projects sponsored by the Department of Defense.

**Deficit:** Expenditures exceed funds available.

**DFARS:** Defense Federal Acquisition Regulation Supplement

**DHHS:** Department of Health and Human Services

**Direct Costs:** Clearly identifiable costs related to a specific project. General categories of direct costs include, but are not limited to, salaries and wages, fringe benefits, supplies, contractual services, travel and communication, equipment, and computer use.

**DOD:** Department of Defense (includes Air Force, Army, ARPA, and Navy)

**DOE:** Department of Energy

**DOED:** Department of Education

**DOI:** Department of Interior

**DOT:** Department of Transportation

**EDISON:** Interagency Extramural Invention Information Management System

**Electronic Research Administration (ERA):** Conducting research administration by utilizing electronic resources such as the Internet, the World Wide Web, form templates, databases, and other electronic tools. (For more information, link to NCURA.)

**Encumbrance:** Funds that have been set aside or "claimed" for projected expenses pending actual expenditure of the funds.

**Endowment:** A fund usually in the form of an income-generating investment, established to provide long-term support for faculty/research positions (e.g., endowed chair).

**EPA:** Environmental Protection Agency

**Expiration Date:** The date signifying the end of the performance period, as indicated on the Notice of Grant Award.

**Extension:** An additional period of time given by the sponsor to an organization for the completion of work on an approved grant or contract. An extension allows previously allocated funds to be spent after the original expiration date.

**FAA:** Federal Aviation Administration

**Facilities and Administrative (F&A) Costs:** Costs that are incurred for common or joint objectives and, therefore, cannot be identified readily and specifically with a particular sponsored project, an instructional activity, or any other institutional activity. F&A costs are synonymous with Indirect Costs.

**FAR:** Federal Acquisition Regulations

**FDA:** Food and Drug Administration

**FDP:** Federal Demonstration Partnership

**Federal Financial Assistance Management Improvement Act (FFAMIA):** Enacted in 1999, this federal law is intended to make it easier for state, local, and tribal governments and nonprofit organizations to apply for and report on financial assistance. The Act requires federal agencies to create a common system (Federal Commons) for electronic processing of all grant programs.

**Final Report:** The final technical or financial report required by the sponsor to complete a research project.

**Fiscal Year (FY):** Any twelve-month period for which annual accounts are kept (at ORU, May 1 through April 30).

**Fixed-Price (FP) Contract/Grant:** A contract/grant for which one party pays the other party a predetermined price, regardless of actual costs, for services rendered. Quite often this is a fee-for-service agreement.

**FOIA:** Freedom of Information Act

**Fringe Benefits:** Employee benefits paid by the employer (e.g., FICA, Worker's Compensation, Withholding Tax, Insurance, etc.).

**Funding Cycle:** Range of time during which proposals are accepted, reviewed, and funds are awarded. If a sponsor has standing proposal review committees (or boards) that meet at specified times during the year, application deadlines are set to correspond with those meetings. Some sponsors hold late proposals to be considered in the next funding cycle (e.g. National Science Foundation's Target Dates).

**GPG:** Grant Proposal Guide for the National Science Foundation.

**Grant:** A type of financial assistance awarded to an organization for the conduct of research or other program as specified in an approved proposal. A grant, as opposed to a cooperative agreement, is used whenever the awarding office anticipates no substantial programmatic involvement with the recipient during the performance of the activities.

**Grant/Contract Officer:** A sponsor's designated individual who is officially responsible for the business management aspects of a particular grant, cooperative agreement, or contract. Serving as the counterpart to the business officer of the grantee/contractor organization, the grant/contract officer is responsible for all business management matters associated with the review, negotiation, award, and administration of a grant or contract and interprets the associated administration policies, regulations, and provisions. (For definition of scientific officer, see Program/Project Officer.)

**GSA:** General Services Administration

**IFB:** Invitation for Bid

**In-Kind:** Contributions or assistance in a form other than money. Equipment, materials, or services of recognized value that are offered in lieu of cash.

**Incremental Funding:** A method of funding contracts that provides specific spending limits below the total estimated costs. These limits may be exceeded only at the contractor's own risk. Each increment is, in essence, a funding action.

**Indirect Cost Rate:** The rate, expressed as a percentage of a base amount (MTDC), established by negotiation with the cognizant federal agency on the basis of the institution's projected costs for the year and distributed as prescribed in OMB Circular A-21.

**Indirect Costs (IDC):** Costs related to expenses incurred in conducting or supporting research or other externally-funded activities but not directly attributable to a specific project. General categories of indirect costs include general administration (accounting, payroll, purchasing, etc.), sponsored project administration, plant operation and maintenance, library expenses, departmental administration expenses, depreciation or use allowance for buildings and equipment, and student administration and services. (See also Facilities and Administrative Costs.)

**Investigator-Initiated Proposal:** A proposal submitted to a sponsor that is not in response to an RFP, RFA, or a specific program announcement.

**Invitation for Bid (IFB):** A solicitation issued to prospective bidders. An IFB describes what is required and how the bidders will be evaluated. Award is based on the lowest bid. Negotiations are not conducted.

**ISRC:** Independent Substantive Review Committee

**Key Personnel:** The personnel considered to be of primary importance to the successful conduct of a research project. The term usually applies to the senior members of the project staff.

**Limitation of Cost (LOC):** A mandatory clause for cost-reimbursement type contracts. Under the clause, the sponsor is not obligated to reimburse the contractor for costs in excess of the stated amount. The contractor, however, is not obligated to continue performance once expenses reach the stated amount.

**Matching Grant:** A grant that requires a specified portion of the cost of a supported item of equipment or project be obtained from other sources. The required match may be more or less than the amount of the grant. Some matching grants require that the additional funds be obtained from sources outside the recipient organization. Many matching grants are paid in installments, the payments coinciding with the attainment of pre-specified levels of additional funding. Matching grants are very common in the sciences, especially for equipment. They are standard practice in some government agencies.

**Misconduct in Science:** Fabrication, plagiarism, or other practices that seriously deviate from those that are commonly accepted within the scientific community for proposing, conducting, or reporting research. It does not include honest errors or honest differences in interpretations or judgments of data.

**Mission:** A sponsor's stated purpose, which is designed to address a specified set of problems. Almost all federal research agencies are designated as mission agencies.

**Modification:** An award document that modifies any aspect of an existing award. Example: Carryover approvals, adding or deleting special terms and conditions, changes in funding levels (including NSF's Research Experience for Undergraduates, NIH's Minority Supplement, DOD's ASSERT Programs), administrative changes initiated by the agency, extensions that include changes in terms, change of principal investigator, etc.

**NACUBO:** National Association of College and University Business Officers

**NAS:** National Academy of Sciences

**NASA:** National Aeronautics and Space Administration

**NCI:** National Cancer Institute (NIH)

**NCRR:** National Center for Research Resources (NIH)

**NCURA:** National Council of University Research Administrators

**NEA:** National Endowment for the Arts

**NEH:** National Endowment for the Humanities

**NEI:** National Eye Institute (NIH)

**New and Competing Proposals:** Proposals that are submitted for the first time or ongoing projects that must re-compete for funding prior to expiration of the original award.

**New Award:** An award not previously awarded or a renewal or continuation award treated as a new award by the sponsor and given a new agency number.

**NHGRI:** National Human Genome Research Institute (NIH)

**NHLBI:** National Heart, Lung, and Blood Institute (NIH)

**NIA:** National Institute on Aging (NIH)

**NIAAA:** National Institute on Alcohol Abuse and Alcoholism (NIH)

**NIAID:** National Institute of Allergy and Infectious Diseases (NIH)

**NIAMS:** National Institute of Arthritis and Musculoskeletal and Skin Diseases (NIH)

**NICHD:** National Institute of Child Health and Human Development (NIH)

**NIDA:** National Institute on Drug Abuse (NIH)

**NIDCD:** National Institute on Deafness and other Communication Disorders (NIH)

**NIDDK:** National Institute of Diabetes and Digestive and Kidney Diseases (NIH)

**NIDR:** National Institute of Dental Research (NIH)

**NIEHS:** National Institute of Environmental Health Sciences (NIH)

**NIGMS:** National Institute of General Medical Sciences (NIH)

**NIH:** National Institutes of Health

**NIMH:** National Institute of Mental Health (NIH)

**NINDS:** National Institute of Neurological Disorders and Stroke (NIH)

**NINR:** National Institute for Nursing Research (NIH)

**NLM:** National Library of Medicine

**No Cost Time Extension (NCE):** An extension of the period of performance beyond the expiration date to allow the principal investigator to finish a project. Usually, no additional costs are provided.

**Notice of Grant Award (NOGA):** The legally binding document that serves as a notification to the recipient and others that a grant or cooperative agreement has been made; contains or references all terms of the award; and documents the obligation of funds.

**NSF:** National Science Foundation

**OFPP:** Office of Federal Procurement Policy

**OMB:** Office of Management and Budget

**OMB Circulars:** Regulatory circulars issued by the Office of Management & Budget (OMB).

**ONR:** Office of Naval Research

**OPRR:** Office for Protection from Research Risks (DHHS)

**PHS:** Public Health Service

**PI:** Principal Investigator

**PRDA:** Program Research and Development Announcement

**Pre-Proposal:** A brief description, usually 2-10 pages, of research plans and an estimated budget that is sometimes submitted to determine the interest of a particular sponsor prior to submission of a formal proposal. Also termed Preliminary Proposal.

**Principal Investigator:** The individual responsible for the conduct of research or other activity described in a proposal for an award.

**Prior Approval:** The requirement for written documentation of permission to use project funds for purposes not in the approved budget, or to change aspects of the program from those originally planned and approve.

**Priority Score:** A score derived from the rating given a research proposal by each member on a review committee. It is used to help determine which approved proposals will be granted awards, based on funds available.

**Program Announcement:** Describes existence of a research opportunity. It may describe new or expanded interest in a particular extramural program or be a reminder of a continuing interest in an extramural program.

**Program/Project Officer:** A sponsor's designated individual officially responsible for the technical, scientific, or programmatic aspects of a particular grant, cooperative agreement, or contract. Serving as the counterpart to the principal investigator/project director of the grantee/contractor organization, the program/project officer deals with the grantee/contractor organization staff to assure programmatic progress. (For definition of business officer, see Grant/Contract Officer.)

**Progress Report:** Periodic, scheduled reports required by the sponsor summarizing research progress to date. Technical, fiscal, and invention reports may be included.

**Project Period (PP):** The total time for which support of a project has been programmatically approved. A project period may consist of one or more budget periods. (See also Budget Period.)

**Proposal:** An application for funding that contains all information necessary to describe project plans, staff capabilities, and funds requested. Formal proposals are officially approved and submitted by an organization in the name of a principal investigator.

**Rebudget:** The act of amending the budget by moving funds from one category or line item to another. (See also Budget Adjustment.)

**Regulations or Regs:** The contractual rules and procedures governing sponsored research projects.

**Renewal:** Applicable to grants and cooperative agreements only. A competitively reviewed proposal requesting additional funds extending the scope of work beyond the current project period.

**Request for Applications (RFA):** Announcements that indicate the availability of funds for a topic of specific interest to a sponsor. Proposals submitted in response to RFAs generally result in the award of a grant. Specific grant announcements may be published in the Federal Register and/or specific sponsor publications. (See also Broad Agency Announcements.)

**Request for Proposals (RFP):** Announcements that specify a topic of research, methods to be used, product to be delivered, and appropriate applicants sought. Proposals submitted in response to RFPs generally result in the award of a contract. Notices of federal RFPs are published in the Commerce Business Daily.

**Request for Quotations (RFQ):** A formal request from TAMRF to vendors for a price quotation on equipment or supplies to be purchased.

**Revision:** A modified and resubmitted request for funding for a project that previously was not funded either because it was denied by the sponsor or withdrawn by the principal investigator.

**Salaries and Wages (S&W):** Payments made to employees of the institution for work performed.

**SBA:** Small Business Administration

**SBIR:** Small Business Innovative Research

**Scope of Work:** The description of the work to be performed and completed on a research project.

**Senior Personnel:** Professional personnel who are responsible for the scientific or technical direction of project.

**Small Business Innovative Research (SBIR):** Agency administered programs supported by ear- marked federal funds, making grants to small business entities.



**Small Business Technology Transfer (STTR):** Grant applications and/or programs to fund small businesses "teamed" with research institutions.

**Small Grant:** A special type of award, often limited to a first-time researcher. Typically, such an award may be obtained for one year only.

**Sponsor:** The organization that funds a research project.

**SRA:** Society of Research Administrators

**SSA:** Social Security Administration

**Stipend:** A payment made to an individual under a fellowship or training grant in accordance with pre-established levels to provide for the individual's living expenses during the period of training.

**STTR:** Small Business Technology Transfer

**Subcontract, Subgrant, or Subagreement:** A document written under the authority of, and consistent with the terms and conditions of an award (a grant, contract or cooperative agreement), that transfers a portion of the research or substantive effort of the prime award to another institution or organization.

**Subs:** Short for "subcontractors".

**Supplemental (Rebudgeting or Modification) Proposal:** A request to the sponsor for additional funds for an ongoing project during the previously approved performance period. A supplemental proposal may result from increased costs, modifications in design, or a desire to add a closely related component to the ongoing project.

**Task Order Agreement (TOA):** A legally binding document authorizing work and appropriating funds as a supplement to a basic contract.

**Teaming Agreement:** An agreement between two or more parties to participate in a research project or teaching activity.

**Technical Data:** Recorded information, regardless of form or characteristic, of a scientific or technical nature. Often referred to as the "science" of a proposal.

**Templates:** Facsimiles of agency forms created with common software (MS Word, Excel, WordPerfect, etc.) that enable the user to fill out agency forms with their computer.

**Terms of Award:** All legal requirements imposed on an agreement by the sponsor, whether by statute, regulation(s), or terms in the award document. The terms of an agreement may include both standard and special provisions that are considered necessary to protect the sponsor's interests.

**Total Direct Costs (TDC):** The total of all direct costs of a project.

**Total Project Costs:** The total allowable direct and indirect costs incurred by the institution to carry out an approved project or activity.

**Unilateral Award:** An award made by a sponsor to an organization without considering competitive proposals. Unilateral awards are most often made when unsolicited proposals receive favorable treatment.

**Unrestricted Funds:** Monies with no requirements or restrictions as to use or disposition. Grants, contracts, and cooperative agreements are considered to be restricted funds, while gifts are usually considered unrestricted funds.

**Unsolicited Proposals:** Proposals submitted to a sponsor that are not in response to an RFP, RFA, or program announcement. (See also Investigator-Initiated Proposal.)

**USDA:** United States Department of Agriculture

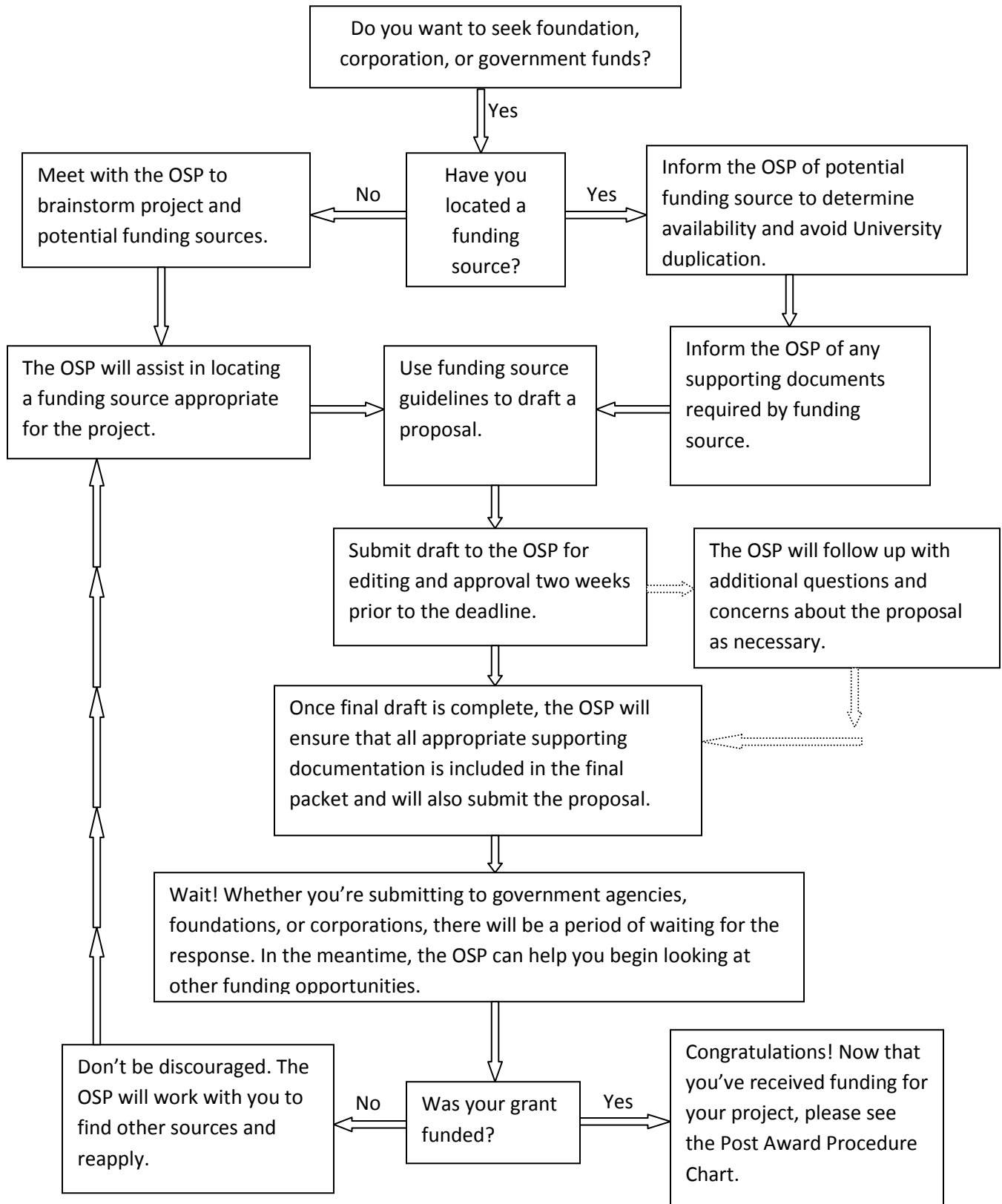
**VA:** Veterans Administration

**VAH:** Veterans Administration Hospital

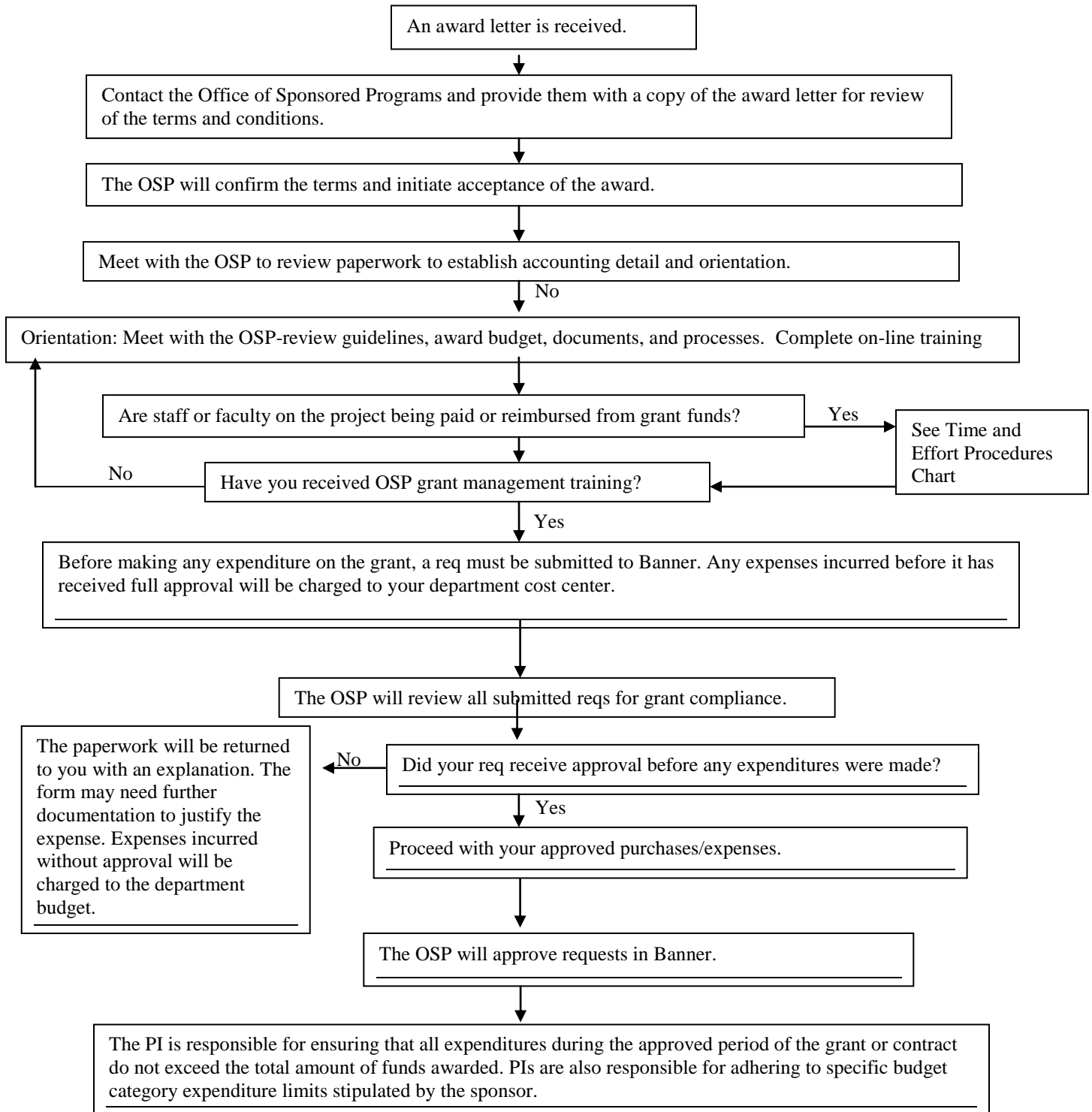
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**SECTION XV-  
APPENDIX**

**Oral Roberts University  
Grant Seeking (Pre Award) Procedure Chart**



**Oral Roberts University  
Grant Expenditures (Post Award) Procedure Chart**





Office of Sponsored Programs

Financial Conflict of Interest Assurance and Disclosure

For OSP Use Only

Date Received:

OSP #:

This form is used to report any new or updated financial relationships with entities involved in or related to planned, proposed, or achieve externally sponsored projects at Oral Roberts University. Complete and submit this form to the Office of Sponsored Programs (OSP). If you are applying to an NSF or NIH/PHS/HHS funded program, each investigator must complete a copy of this form to be submitted to OSP. Your prompt completion of this form will enable the University to comply with state and federal laws governing externally sponsored projects.

A. INVESTIGATOR INFORMATION

Employee Name: \_\_\_\_\_

Department and College: \_\_\_\_\_

Project Title: \_\_\_\_\_

Project Sponsor: [ ] NSF [ ] NIH/PHS [ ] Other Federal [ ] State [ ] Corporate [ ] Non-Profit [ ] Other: \_\_\_\_\_

Investigator's Role in the Project: [ ] PI [ ] Co-PI [ ] Other: \_\_\_\_\_

B. DISCLOSURE

Aside from your salary or royalties that would be earned from possible inventions resulting from this project, will you or a family member derive any other economic gains or non financial benefits from the project?

[ ] No [ ] Yes, Explain: \_\_\_\_\_

Do you and/or a family member have the following substantial financial interests related to an entity or vendor involved with the above named active, proposed, or planned externally sponsored project?

- Are you or a family member a director, officer, partner, trustee, or employee of the entity? Yes No
Do you and/or a family member have a combined investment of \$10,000 or more in the entity? Yes No
Do you and/or a family member hold a combined equity position of 5% or more in the entity? Yes No
Do you or a family member have a controlling interest in the entity (25% or more interest)? Yes No

If you answered Yes to any of the above questions, please provide the following:

Name of Entity: \_\_\_\_\_

Address of Entity: \_\_\_\_\_

Principal Type of Business/Activity: \_\_\_\_\_

Entity relation to named project: [ ] Subcontractor [ ] Funding Agency [ ] Third Party Contributor [ ] Prime Grantee/Contractor Other: \_\_\_\_\_

C. ASSURANCE

All investigators completing this form must read and sign this section. Once signed, please return the form to OSP.

- \* I agree to update this disclosure either on an annual basis, or as new reportable financial interests are obtained.
\* I agree to cooperate in the development of a resolution plan to address any actual or potential conflicts of interest regarding this project that may be identified in this disclosure statement or that may arise in the future.
\* I agree to comply with any reasonable conditions or restrictions imposed by Oral Roberts University to manage, reduce, or eliminate actual or potential conflicts of interest, including forfeiture of the award if deemed necessary.
\* I understand that actual or potential financial conflicts of interest may be reported to funding agencies if required by state or federal regulations or by the funding agency guidelines.

Investigator Signature: \_\_\_\_\_ Date: \_\_\_\_\_

Based on the information provided above, I believe that no substantial conflict of financial interest exists, or, if one does exist, that it is possible to develop and execute a resolution plan to manage, reduce, or eliminate any actual or potential conflict of interest.

OSP Compliance Signature: \_\_\_\_\_ Date: \_\_\_\_\_



Office of Sponsored Programs
Financial Conflict of Interest
Management Plan

For OSP Use Only

Date Received:

COI #:

To manage financial conflict of interest an individual may have as related to a planned, proposed, or achieve externally sponsored projects at Oral Roberts University.

A. INVESTIGATOR INFORMATION

Employee Name:

Department and College:

Project Title:

Role in the Project Impacted: [ ] PI [ ] Co-PI [ ] Other:

B. DISCLOSED CONFLICT

Describe the conflict, including name of company, % equity, if any, consulting fees, related Intellectual Property or discoverie and any executive role if a company is involved:

[Empty text box for conflict description]

Estimated Value of the COI:

[ ] AFiR\* Amount [ ] \$0 - \$4,999 [ ] \$5,000 - \$9,999 [ ] \$10,000 - \$19,999

[ ] Amounts between \$20,000 - \$100,000 by increments of \$20,000

[ ] Amounts above \$100,000 by increments of \$50,000

[ ] Other: A statement that the interest is one whose value cannot be readily determined through reference to public prices or other reasonable fair market value.

[Empty text box for other value statement]

\* Actionable Financial Interest in Research (AFiR) - when a financial interest requires action to ensure transparency and support objectivity but the effect of the interest does not reach the 'direct and significant' level

C. PROPOSED PLAN

[ ] Will Staff or students be involved? [ ] No [ ] Yes If yes, please attach a signed staff/student certification form

[ ] Does your conflict involve human subjects or clinical research? [ ] No [ ] Yes If yes, please attach IRB detail

[ ] Describe how details of the plan, and the steps in place to safeguard objectivity and manage or resolve the conflict.

[Empty text box for proposed plan details]



Individual(s) that will serve to review the FCOI Plan. Individual(s) should have no relationship to the project.

Name: \_\_\_\_\_  
Dept: \_\_\_\_\_  
Title: \_\_\_\_\_

Name: \_\_\_\_\_  
Dept: \_\_\_\_\_  
Title: \_\_\_\_\_  
Email: \_\_\_\_\_

**D. ASSURANCE**

All investigators completing this form must read and sign this section. Once signed, please return the form to OSP.

- \* I agree to disclose my financial interest in any presentation or publication resulting from this project.
- \* I will provide the COI oversight group copies of any presentations/publications that are impacted by my FCOI prior to release.
- \* If the FCOI results from an association with a company I will perform only the work described in the agreement. Company activities will be maintained separately and will not use University resources.
- \* If I participate in a Federal Public Health funded project, I will submit an updated FCOI Disclosure within 30 days of identify

Employee Signature \_\_\_\_\_ Date: \_\_\_\_\_

Based on the information provided above:

- This is a AFiR. The plan addresses appropriate disclosure. No further action is needed.
- The plan fully addresses any FCOI issues. Maintain annual report

\_\_\_\_\_  
**Senior Director of Sponsored Programs** Date: \_\_\_\_\_

\_\_\_\_\_  
**Vice President for Academic Affairs** Date: \_\_\_\_\_

\_\_\_\_\_  
**Executive Vice President & Chief Financial Officer** Date: \_\_\_\_\_

## Request for Award Transfer or Relinquishment By Oral Roberts University

Submit this completed form to the Office of Sponsored Programs when the Principal Investigator (PI) plans to do one of the following:

- Transfer and award from a federal or non-profit funding agency or another institution
- Leave Oral Roberts University before the normal end of a grant, contract, or cooperative agreement.

<b>Principal Investigator:</b>	<b>Agency and Award Name:</b>
<b>Name of Award:</b>	<b>Cost Center Number:</b>
<b>PI's Phone Number:</b>	<b>Administering Department:</b>

**Award Transfer/Relinquishment Information**

- a) Date PI will leave Oral Roberts University (ORU): \_\_\_\_\_
- b) Date the award will be relinquished from ORU: \_\_\_\_\_
- c) Name of the new institution: \_\_\_\_\_
- d) Does this award involve the use of:
- Human Subject?  Yes  No      Animal Subject?  Yes  No
- e) Does this award involve cost sharing?  Yes  No
- f) Does this award involve one or more subcontracts?  Yes  No
- Name of the subcontractor: \_\_\_\_\_
- If yes, has the PI/Department notified the subcontractor/s of the pending transfer?  Yes  No
- g) Will any award acquired be transferred to the new institution?  Yes  No
- If yes, please specify: \_\_\_\_\_
- h) Will any portion of this project need to be subcontracted back to ORU by the new institution (example: to fund graduate students completing degrees, to cover work that will not be transferred)?  Yes  No
- i) Have any inventions been disclosed under the award, or does the award involve the use of patented materials?  Yes  No

Comments:

<b>Signatures Designating Approval for the Transfer/Relinquishments</b>	
<b>Principal Investigator relinquishing or transferring award</b>	<b>Director of the Office of Sponsored Programs</b>
<b>Department Chair</b>	<b>Other</b>
<b>Dean</b>	<b>Other</b>

**Oral Roberts University  
Cost Transfer Request Form**

Person Requesting Transfer: \_\_\_\_\_

Title: \_\_\_\_\_

Contact Phone Number: \_\_\_\_\_

Email: \_\_\_\_\_ Date: \_\_\_\_\_

Original Account (Transfer From)		New Account (Transfer To)		Date of Charge *must be within 60 days	Description	Amount of Transfer
Cost Center Number	Object Code	Cost Center Number	Object Code			

**Explanation:** Please provide a detailed explanation for the requested transfer. Please explain why the expenditure was posted originally to a different account and why it should be reallocated to this specific account or grant. If more space is needed, please continue on a separate sheet of paper and attach to this form.

\_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

**Approval Signatures**

**Note: By signing below, you agree to the following statement:** "I certify that the requested cost transfer is an appropriate and allowable expenditure for the grant charged and that the expenditure complies with the terms and restrictions governing the sponsored grant."

**Principal Investigator's Name:** \_\_\_\_\_ **Signature:** \_\_\_\_\_ **Date:** \_\_\_\_\_

Sponsored Programs Office Name: _____ Signature: _____ Date: _____	Dean/Department Chair Name: _____ Signature: _____ Date: _____	Finance Office Name: _____ Signature: _____ Date: _____
---	---	--

**\*If the Office of Sponsored Programs or Finance Office finds that the charges(s) is/are unallowable by ORU or government policies, this form will be returned and the request will not be processed.  Unallowable Reason:** \_\_\_\_\_

**Director of Sponsored Programs Signature:** \_\_\_\_\_ **Date:** \_\_\_\_\_

**Oral Roberts University  
Orientation Calendar**

Grant Name: \_\_\_\_\_

Principal Investigator: \_\_\_\_\_

Grant Start Date: \_\_\_\_\_ End Date: \_\_\_\_\_

Restricted Cost Center #: \_\_\_\_\_

<b>January</b>	<b>February</b>	<b>March</b>	<b>April</b>	<b>May</b>	<b>June</b>
<b>July</b>	<b>August</b>	<b>September</b>	<b>October</b>	<b>November</b>	<b>December</b>

Notes: \_\_\_\_\_

\_\_\_\_\_

## Oral Roberts University Grants Management Checklist

Grant Name: \_\_\_\_\_

Date: \_\_\_\_\_

_____ Copy of Grant _____ Copy of the Line Item Budget _____ Copy of the Grant Approval Letter	_____ Copy of Grant's Awards and Terms _____ Review the Grant's Awards and Terms _____ Review a timeline for the grant's funds and review deadlines with the PI
--	---

\_\_\_\_\_ Train on the use of the Expenditure Request Forms (for basic purchases and I-Purchasing). **All expenses (including travel expenses) must be pre-approved through the Office of Sponsored Programs (OSP).**

\_\_\_\_\_ Train on ORU's Time and Effort Reporting Procedures.

\_\_\_\_\_ Receive a monthly financial statement (Cost Center Management Reports) created by the accounting department to be reviewed and compared to your records.

\_\_\_\_\_ Obtain pre-approval from the OSP for all fund transfers between restricted grant accounts

\_\_\_\_\_ Notify PI by email once funds have been received and been made available.

### \_\_\_\_\_ Closing Procedures

#### 90 Days Prior to Close

\_\_\_\_\_ Receive *Notification of Close-out Letter* from the OSP

\_\_\_\_\_ Contact the OSP if more time is needed to complete the project and/or spend grant funds

#### 60 Days Prior to Close

\_\_\_\_\_ Collect inventory and tagging list from your department as well as the IT department. All lists must be submitted to OSP at this time.

\_\_\_\_\_ Set a date for the 30 Day Meeting to be held within the OSP. Date: \_\_\_\_\_

#### 30 Days Prior to Close

\_\_\_\_\_ Submit all narrative reports to the OSP for review. These reports should include:

- The results of the project evaluation
- Level of success in meeting the original proposal objectives
- Products, publications, and deliverables created through the project

\_\_\_\_\_ Attend 30 Day Meeting with the OSP. During the meeting, prepare to complete the following:

- Review the project's results, cost sharing, and time and effort reports with the OSP
- Compare and sign all financial and narrative reports

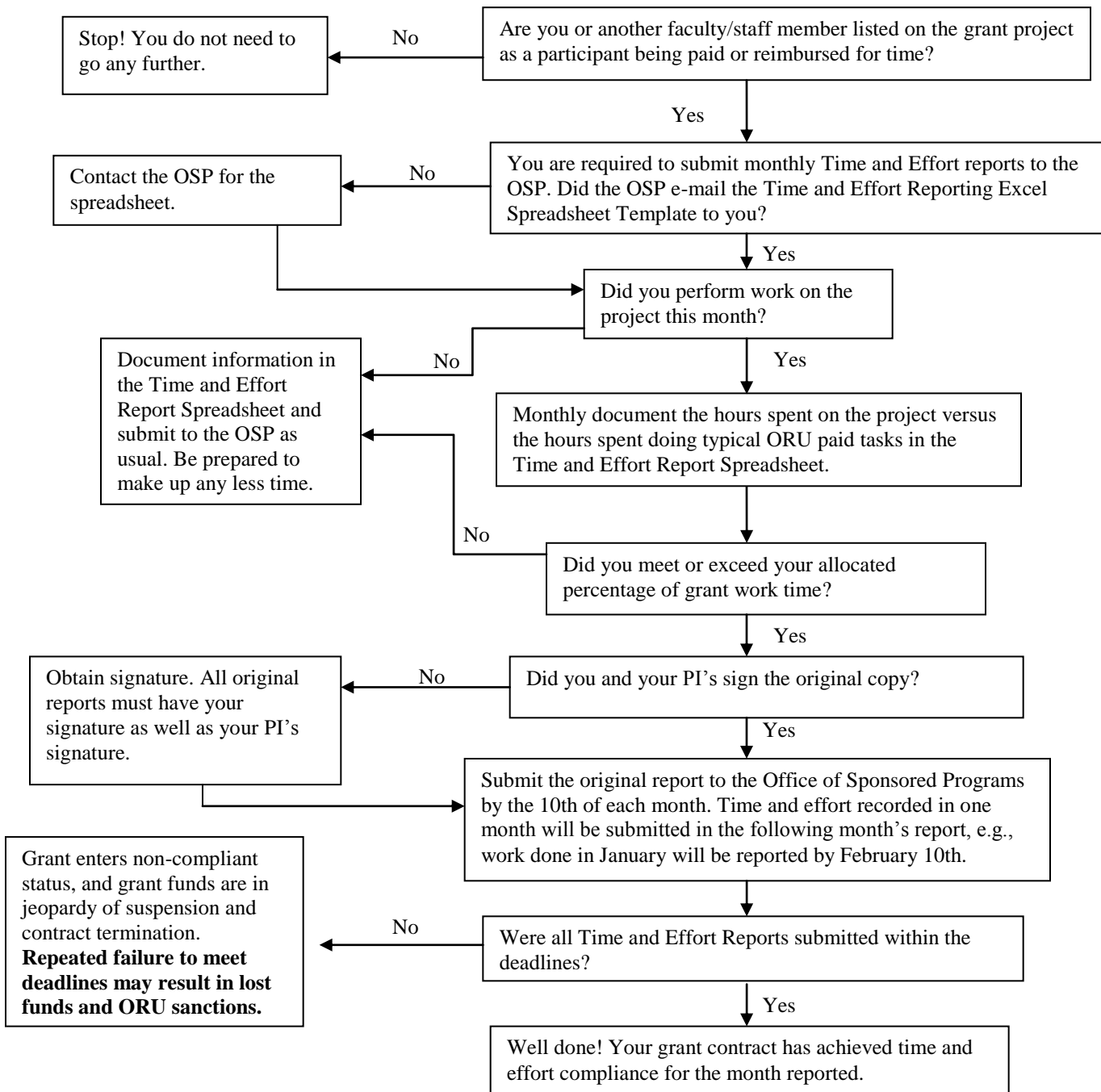
\_\_\_\_\_  
Principal Investigator's Signature

\_\_\_\_\_  
Date

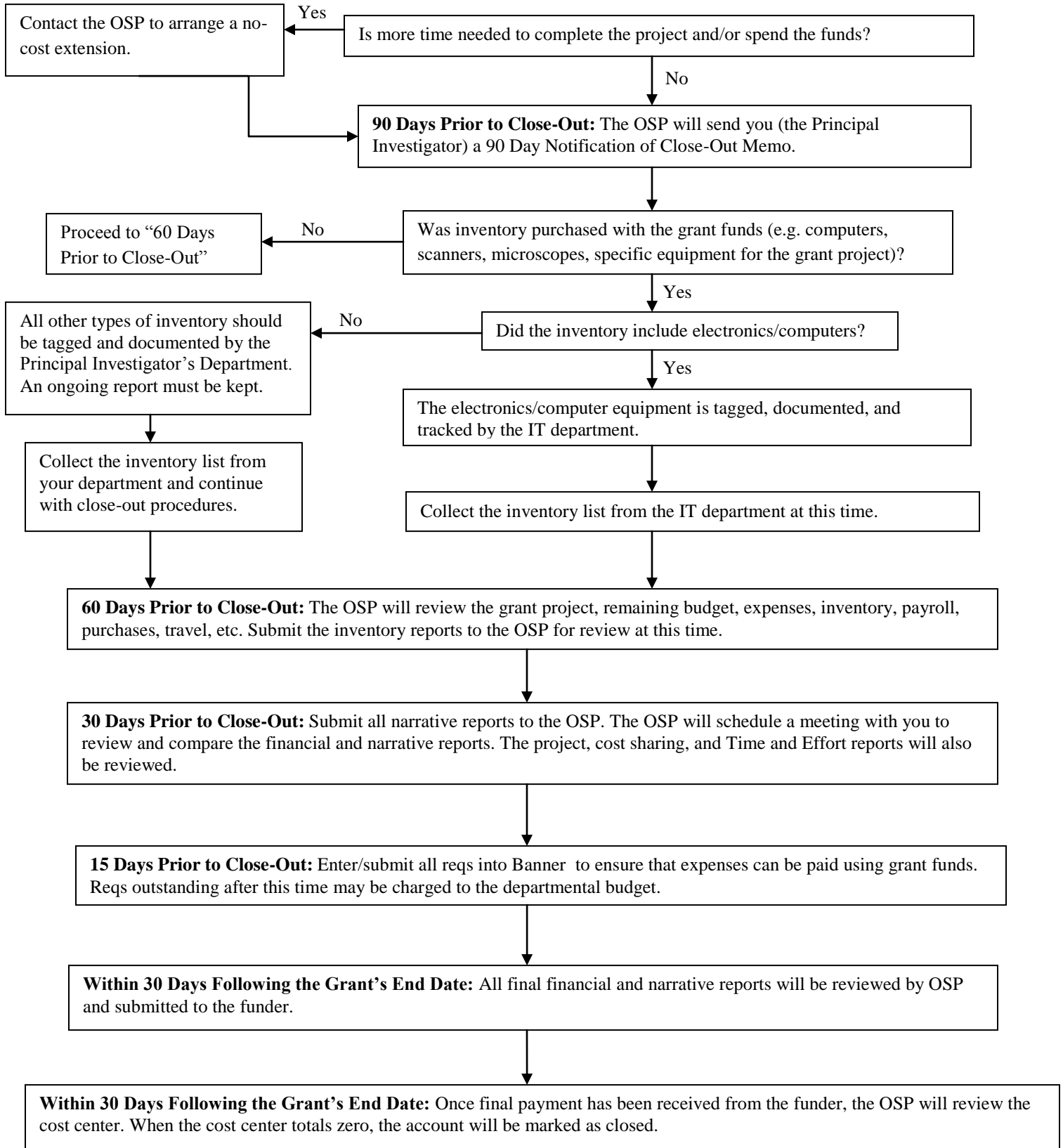
\_\_\_\_\_  
Office of Sponsored Programs

\_\_\_\_\_  
Date

**Oral Roberts University  
Time & Effort Report Procedure Chart**



**Oral Roberts University  
Grant Close-Out (Post Award) Procedure Chart**



**For complete detail, see Closeout Section of the OSP Handbook.**

**Oral Roberts University  
Material Transfer Agreement Checklist**

<b>General Information</b>	
<u>Source of the Material</u> <i>(Company Name and Address):</i>	
<u>Identify the Material</u> <i>(Product Name and brief plain-English description of what it is):</i>	
<u>Medium</u> <i>(i.e., powder, liquid):</i>	
<u>Quantity</u> <i>(# of vials, pieces, etc.):</i>	
<u>Intended Use of the Material:</u>	
<b>Compliance Considerations</b>	
1. Does the material constitute/contain: <ul style="list-style-type: none"> <li>•an infectious substance (bacteria, toxin, etc.)? Category A      <input type="checkbox"/> Yes      <input type="checkbox"/> No      Special Shipping A</li> <li>•a biological substance? Category B      <input type="checkbox"/> Yes      <input type="checkbox"/> No      Special Shipping B</li> <li>•an exempt human or animal specimen Category C      <input type="checkbox"/> Yes      <input type="checkbox"/> No      Special Shipping C</li> </ul> If you answered "yes" to any of the above, please provide specifics: _____ _____ _____	
2a. If you answered "yes" to any of the above, has the material been cleared by the appropriate ORU oversight committee? <input type="checkbox"/> Yes <input type="checkbox"/> No	
2b. Have the appropriate licenses/certifications been obtained? <input type="checkbox"/> Yes <input type="checkbox"/> No	
3. Will the material be used anywhere other than the PI's own laboratory? <input type="checkbox"/> Yes <input type="checkbox"/> No If "yes," where? _____	
4. Will individuals other than the PI work with or have access to the material? <input type="checkbox"/> Yes <input type="checkbox"/> No If so, please identify said individuals (co-investigators, assistants, students, etc.): _____ _____	
5. Is the material being used: <ul style="list-style-type: none"> <li>• on a currently funded project?      <input type="checkbox"/> Yes      <input type="checkbox"/> No                If so, please identify the project: funding agency/organization, project title, etc.): _____                _____</li> <li>• to gather data for future grant applications?      <input type="checkbox"/> Yes      <input type="checkbox"/> No</li> <li>• for a class or student project?      <input type="checkbox"/> Yes      <input type="checkbox"/> No</li> </ul>	



## Intellectual Property Considerations

6. Is the material going to be used with any invention disclosures you have already made or plan to make to the Office of Sponsored Programs?  Yes  No

If so, please provide a brief explanation: \_\_\_\_\_  
\_\_\_\_\_

7. Is the material going to be used with any materials provided by a third party?

Yes  No

If so, please identify the materials and from whom they were obtained: \_\_\_\_\_  
\_\_\_\_\_

8. Do you expect any intellectual property to result from your work with the material?

Yes  No

If "yes," please provide a brief explanation of what you expect to be developed: \_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

9. Do you intend to publish the results of your work with the material?

Yes  No

10. If students are working with the material, will this work be part of their senior project?

Yes  No

## Material Transfer Agreement (IN)

**Oral Roberts University** and its investigator(s) <<Insert name of the recipient scientist>> (hereinafter collectively referred to as "Recipient"), in consideration of the receipt of research materials from <<Insert name of the provider scientist >> of <<Insert name of other party>> (hereinafter "Provider"), hereby agree to the following terms and conditions:

1. The research materials to be provided to Recipient are <<Insert description of the material to be provided>>. The term Materials, as used herein, includes the above referenced research materials plus any progeny, unmodified derivatives and any accompanying know-how or data provided to Recipient by Provider (collectively, "Materials").
2. Recipient will use the Materials solely and exclusively for non-commercial research, specifically, <<Insert description of the Recipient's intended research with the Materials>> ("Research"). The Materials will be used solely by the above-named investigator and those under his or her direct supervision. Recipient will not use the Materials in human subjects or for diagnostic purposes. Recipient's use of the Materials will be in compliance with all applicable laws and regulations.
3. Recipient will not use the Materials for any profit-making or commercial purposes. Commercial purposes mean the sale, lease, license, or other transfer of the Materials or modifications or derivatives to a for-profit organization. Commercial purposes also includes uses of the Materials or modifications or derivatives by any organization, including Recipient, to perform contract research, to screen compound libraries, to produce or manufacture products for general sale, or to conduct research activities that result in any sale, lease, license or transfer of the Materials or modifications or derivatives to a for-profit organization. Industrially sponsored academic research will not be considered a commercial purpose, unless any of the above conditions of this definition are met.
4. The Materials are the property of Provider. The transfer of Materials to Recipient under this Agreement constitutes a non-exclusive license to use the Materials solely for the Research. Recipient will not sell, transfer, or otherwise provide the Materials to a third party for any purpose, and will refer any third party request for the Materials to Provider.
5. Recipient will notify Provider of any Modifications ("Modifications"). "Modifications" means substances created by Recipient that contain or incorporate all or any part of the Materials. Upon written request, Recipient will provide Provider's providing scientist a sample of Modifications for research purposes within thirty (30) days of such request.
6. Recipient will promptly notify Provider of any inventions or discoveries arising from the Research. Ownership will follow inventorship, which will be determined by the relative contributions of the Parties and applicable law.
7. Recipient will acknowledge Provider as the source of the Materials in all publications of results involving the Materials. Neither Party will use the name of, or imply endorsement of, the other or any of such other Party's personnel in connection with any commercial or promotional activities.

If this item is checked, Recipient will also provide the Research results to Provider, including a preview copy of any publication.

8. Recipient will return or dispose of all unused Materials whenever the Research discontinues or is terminated. In the event the recipient investigator transfers to another institution, a new Material Transfer Agreement needs to be executed.
9. THE MATERIALS ARE EXPERIMENTAL IN NATURE, AND ARE PROVIDED WITHOUT ANY WARRANTIES, EXPRESS OR IMPLIED, INCLUDING, WITHOUT LIMITATION, WARRANTIES OF MERCHANTABILITY AND FITNESS FOR A PARTICULAR PURPOSE. OSU MAKES NO REPRESENTATIONS AND NO WARRANTIES THAT THE USE OF THE MATERIALS WILL NOT INFRINGE ANY PATENT OR OTHER PROPRIETARY RIGHT.
10. To the extent allowable by law, Recipient assumes all liability for damages arising from its use, storage or disposal of the Materials. Provider will not be liable to Recipient for any loss, claim or demand made by Recipient, or made against Recipient by any other party, due to or arising from the use of the Materials by Recipient, except to the extent permitted by law when caused by the gross negligence or willful misconduct of Provider.
11. This Agreement supersedes any previous agreements or preliminary representations or understandings related to the subject matter hereof, and may be amended only in writing signed by both parties. If any provision herein is found to be unenforceable, such provision may be modified to render such provision enforceable. An invalidation or waiver of any term or condition of this Agreement will not be deemed or construed to be a waiver or invalidation of such term or condition for the future, or of any subsequent breach thereof. This agreement is not assignable.

The Parties have caused this Agreement to be signed as of <<Insert date>> by their duly authorized representatives, and warrant the authority of such representative to legally bind such Party. A facsimile or electronically scanned signature will be deemed sufficient evidence of a Party's execution of this Agreement.

**ORAL ROBERTS UNIVERSITY**

Name: \_\_\_\_\_  
 Title: Principle Investigator  
 Date: \_\_\_\_\_  
 Signature: \_\_\_\_\_

Name: \_\_\_\_\_  
 Title: Authorized Representative  
 Date: \_\_\_\_\_  
 Signature: \_\_\_\_\_

**<<INSERT OTHER PARTY NAME>>**

Name: \_\_\_\_\_  
 Title: \_\_\_\_\_  
 Date: \_\_\_\_\_  
 Signature: \_\_\_\_\_

## Material Transfer Agreement (OUT)

<<Insert name of other party>> and its investigator(s) <<Insert name of the recipient scientist>> (hereinafter collectively referred to as "Recipient"), in consideration of the receipt of research materials from <<Insert name of ORU's Principal Investigator>> of Oral Roberts University (hereinafter "ORU"), hereby agree to the following terms and conditions:

1. The research materials to be provided to Recipient are <<Insert description of the material to be provided>>. The term Materials, as used herein, includes the above referenced research materials plus any progeny, unmodified derivatives and any accompanying know-how or data provided by ORU (collectively, "Materials").
2. Recipient will use the Materials solely and exclusively for non-commercial research, specifically, <<Insert description of the Recipient's intended research with the Materials>> ("Research"). The Materials will be used solely by the above-named investigator and those under his or her direct supervision. Recipient will not use the Materials in human subjects or for diagnostic purposes. Recipient's use of the Materials will be in compliance with all applicable laws and regulations.
3. Recipient will not use the Materials for any profit-making or commercial purposes. Commercial purposes mean the sale, lease, license, or other transfer of the Materials or modifications or derivatives to a for-profit organization. Commercial purposes also includes uses of the Materials or modifications or derivatives by any organization, including Recipient, to perform contract research, to screen compound libraries, to produce or manufacture products for general sale, or to conduct research activities that result in any sale, lease, license or transfer of the Materials or modifications or derivatives to a for-profit organization. Industrially sponsored academic research will not be considered a commercial purpose, unless any of the above conditions of this definition are met.
4. The Materials are the property of ORU. The transfer of Materials to Recipient under this Agreement constitutes a non-exclusive license to use the Materials solely for the Research. Recipient will not sell, transfer, or otherwise provide the Materials to a third party for any purpose, and will refer any third party request for the Materials to ORU.
5. Recipient will notify ORU of any Modifications ("Modifications"). "Modifications" means substances created by Recipient that contain or incorporate all or any part of the Materials. Upon request, Recipient will provide ORU's providing scientist a sample of Modifications for research purposes within thirty (30) days of such request.
6. Under an agreement at least as protective of ORU's rights as this Agreement, Recipient may distribute Modifications solely to nonprofit organizations for research purposes only.
7. Recipient will promptly notify ORU of any inventions or discoveries arising from the Research. Ownership will follow inventorship, which will be determined by the relative contributions of the Parties and applicable law.
8. Recipient will acknowledge ORU as the source of the Materials in all publications of results involving the Materials. Recipient will also include the following citation: <<Insert citation as given in the questionnaire or insert N/A>>. However, Recipient will not use the name of, nor imply endorsement of, ORU or any ORU personnel in connection with any commercial or promotional activities.

\_\_\_\_ If this item is checked, Recipient will also provide the Research results to ORU's providing scientist, including a preview copy of any publication.

9. Recipient will return or destroy (and certify such destruction in writing) any remaining Materials and all copies of Materials within one (1) year of the effective date of this Agreement, unless:
  - a) this deadline is extended by ORU in writing; or
  - b) Recipient has indicated to ORU in writing its desire to obtain a commercial license to Materials and negotiations to that end have begun.
10. In the event the recipient investigator transfers to another institution, a new Material Transfer Agreement needs to be executed.
11. THE MATERIALS ARE EXPERIMENTAL IN NATURE, AND ARE PROVIDED WITHOUT ANY WARRANTIES, EXPRESS OR IMPLIED, INCLUDING, WITHOUT LIMITATION, WARRANTIES OF MERCHANTABILITY AND FITNESS FOR A PARTICULAR PURPOSE. ORU MAKES NO REPRESENTATIONS AND NO WARRANTIES THAT THE USE OF THE MATERIALS WILL NOT INFRINGE ANY PATENT OR OTHER PROPRIETARY RIGHT.
12. To the extent allowable by law, Recipient assumes all liability for damages arising from its use, storage or disposal of the Materials. ORU will not be liable to Recipient for any loss, claim or demand made by Recipient, or made against Recipient by any other party, due to or arising from the use of the Materials by Recipient, except to the extent permitted by law when caused by the gross negligence or willful misconduct of ORU.
13. This Agreement supersedes any previous agreements or preliminary representations or understandings related to the subject matter hereof, and may be amended only in writing signed by both parties. If any provision herein is found to be unenforceable, such provision may be modified to render such provision enforceable. An invalidation or waiver of any term or condition of this Agreement will not be deemed or construed to be a waiver or invalidation of such term or condition for the future, or of any subsequent breach thereof. This agreement is not assignable.
14. RECIPIENT will pay ORU (\$<<Insert amount in US dollars>>) to reimburse ORU for its preparation and distribution costs.

The Parties have caused this Agreement to be signed as of <<Insert date>> by their duly authorized representatives, and warrant the authority of such representative to legally bind such Party. A facsimile or electronically scanned signature will be deemed sufficient evidence of a Party's execution of this Agreement.

**ORAL ROBERTS UNIVERSITY**

**<<INSERT OTHER PARTY NAME>>**

Name: \_\_\_\_\_  
Title: Principle Investigator  
Date: \_\_\_\_\_  
Signature: \_\_\_\_\_

Name: \_\_\_\_\_  
Title: \_\_\_\_\_  
Date: \_\_\_\_\_  
Signature: \_\_\_\_\_

Name: \_\_\_\_\_  
Title: Authorized Representative  
Date: \_\_\_\_\_  
Signature: \_\_\_\_\_



### Intellectual Property Disclosure Form

The purpose of this form is to allow a person(s) to announce projects and claim a level of ownership. The form need only be filled out if the individual(s) listed wish to negotiate an ownership agreement with the University that differs from the standards set forth in the University’s Intellectual Property Policy and the Faculty/Staff Handbook.

Individual(s) who create intellectual property without completing this form agree by default to accept all the standards set forth in the University’s Intellectual Property Policy and the Faculty/Staff Handbook. Authors may also want to complete this form simply to have a record of starting a project, acknowledge those who are part of the project, and/or percentage of work performed in said project.

1. Title of Research Project: \_\_\_\_\_

2. Researcher(s) / Author(s) / Inventor(s) / Artist(s) / Participants (*Hereafter known as “Researcher(s)”*)

Name: \_\_\_\_\_

Name: \_\_\_\_\_

Dept: \_\_\_\_\_

Dept: \_\_\_\_\_

Email: \_\_\_\_\_

Email: \_\_\_\_\_

Phone: \_\_\_\_\_

Phone: \_\_\_\_\_

% of Contribution: \_\_\_\_\_

% of Contribution: \_\_\_\_\_

Name: \_\_\_\_\_

Name: \_\_\_\_\_

Dept: \_\_\_\_\_

Dept: \_\_\_\_\_

Email: \_\_\_\_\_

Email: \_\_\_\_\_

Phone: \_\_\_\_\_

Phone: \_\_\_\_\_

% of Contribution: \_\_\_\_\_

% of Contribution: \_\_\_\_\_

Name: \_\_\_\_\_

Name: \_\_\_\_\_

Dept: \_\_\_\_\_

Dept: \_\_\_\_\_

Email: \_\_\_\_\_

Email: \_\_\_\_\_

Phone: \_\_\_\_\_

Phone: \_\_\_\_\_

% of Contribution: \_\_\_\_\_

% of Contribution: \_\_\_\_\_

3. Give a narrative description of this project. (*Attach additional pages if necessary*)

4. Where &/or how will this idea be used/implemented? (*Attach additional pages if necessary*)

5. What is the total budget for this project? \_\_\_\_\_ Actual Projected

6. What outside entities are assisting with the funding this project and what is the level of support?

Funding Source:  Federal- \_\_\_\_\_ % / \$ \_\_\_\_\_  State- \_\_\_\_\_ % / \$ \_\_\_\_\_  
 Corporate- \_\_\_\_\_ % / \$ \_\_\_\_\_  Foundation- \_\_\_\_\_ % / \$ \_\_\_\_\_  
 Other- \_\_\_\_\_ % / \$ \_\_\_\_\_

7. What University financial resources are to be used for this project? (Check all that apply)

ORU Operating Funds- \_\_\_\_\_ % / \$ \_\_\_\_\_ Fund # \_\_\_\_\_  
 ORU Restricted Funds- \_\_\_\_\_ % / \$ \_\_\_\_\_ Fund # \_\_\_\_\_  
 ORU Seed Grant Funds- \_\_\_\_\_ % / \$ \_\_\_\_\_  
 ORU Growth Fund- \_\_\_\_\_ % / \$ \_\_\_\_\_  
 ORU Other - \_\_\_\_\_ % / \$ \_\_\_\_\_ Fund # \_\_\_\_\_

8. What University material resources are to be used for this project? (Attach additional pages if necessary)

Equipment: \_\_\_\_\_  
Supplies: \_\_\_\_\_  
Materials: \_\_\_\_\_  
Space: \_\_\_\_\_  
Other: \_\_\_\_\_

9. How would you like the Intellectual Property aspect of this project to be handled?

- a. Researcher(s) agree to Oral Roberts University's Intellectual Property policy and agree to abide by it fully.
- b. Researcher(s) do not agree with Oral Roberts University's Intellectual Property policy and wish to have this project brought before the Intellectual Property Committee.
- c. Please explain the concerns/suggestions the research(s) would like to bring before the committee. (Attach additional pages if necessary)

**10. Please sign below to state that all information, to the best of your knowledge, is true. By signing you are also affirming that you have been made aware of, and understand, ORU's Intellectual Property standards as set forth in the University's Intellectual Property Policy and the Faculty/Staff Handbook.**

Researcher: \_\_\_\_\_ Date: \_\_\_\_\_  
Researcher: \_\_\_\_\_ Date: \_\_\_\_\_  
Researcher: \_\_\_\_\_ Date: \_\_\_\_\_  
Researcher: \_\_\_\_\_ Date: \_\_\_\_\_  
Researcher: \_\_\_\_\_ Date: \_\_\_\_\_  
Researcher: \_\_\_\_\_ Date: \_\_\_\_\_  
Department Head as Witness\*: \_\_\_\_\_ Date: \_\_\_\_\_

*\*If research(s) span departments, only one department head signature is required to act as a witness.*

**For further assistance with grant issues  
please contact the  
Office of Sponsored Programs  
at extension #6928**

**Visit us on the ORU intranet at:**

**[http://www.oru.edu/faculty\\_and\\_staff/sponsored\\_programs/](http://www.oru.edu/faculty_and_staff/sponsored_programs/)**