

WKU Approvers' Guide to SPIRIT

PROJECT DETAIL

Proposal information at the top of each screen.	
Primary Type:	External – the funding is from an external to WKU source.
Proposal #:	Internal number created by OSP.
Index #:	Account number assigned to award.
Cost Share Index #:	Account number used for Cost Share.
Status:	The status of the proposal as it goes through development, submission, and decline/award notification.
Date Closed:	Notes the date the award was closed.
PHS/DHHS Agency:	Indicates whether the sponsor is a PHS or DHHS Agency.
Principle Investigator:	Name of PI. <i>(automatically filled)</i>

PROJECT TAB

General Information	
Proposal Deadline:	The proposal due date. OSP may revise to adjust for holidays or workload.
Deadline Type:	Receipt – hard deadline, Sponsor driven. Target – flexible deadline, Sponsor indicates proposals are accepted anytime or PI provided deadline.
Submission Type:	<p>Indicates the type of proposal being submitted.</p> <p>Backwards Award – A Notification of Award is received to a proposal that does NOT have a SPIRIT record nor internal approvals.</p> <p>Continuation – WKU has an existing award for which an updated annual budget is submitted, but all proposed funds were captured in the original proposal record. PI to provide Index #.</p> <p>New – A proposal for any funding new to WKU, regardless of how the proposal was submitted.</p> <p>Pre-Proposal - Abbreviated proposals that include a budget which are submitted at the request or requirement of the sponsor in order to select projects to be submitted as full proposals for competitive review and funding.</p> <p>Renewal – An application requesting additional funding for a new project period subsequent to that provided by a current award.</p> <p>Resubmission – A proposal that has been previously submitted, but was not funded, and is being resubmitted for new consideration to the same program or solicitation. Previous SPIRIT number helpful.</p> <p>Supplement - A proposal for additional funding to an existing award.</p>

Project Comments (Public):	Additional information provided to clarify atypical aspects of the proposal that is viewable by all individuals with access to the record.
Sponsor	
Secondary Sponsor Name:	The organization that will be distributing the funds, if applicable.
Prime Sponsor Name:	The original source of funds. (required)
Program:	Name of the specific program, if applicable.
Project Information	
Project Title:	Title of project identified by the PI.
Begin/End:	The period of performance from the start of the project to the end of the project. Typically indicated by sponsor.
Amount Requested:	Total Project Costs Requested from the Sponsor.
F&A Requested:	Amount Requested that is specifically for F&A.
F&A Rate:	The F&A percentage used for proposal budget. WKU's Negotiated Indirect Cost Rate Agreement or sponsor provided restrictions.
F&A Rate Base:	<p>The type of F&A rate used to calculate base costs.</p> <p>MTDC (Modified Total Direct Costs) - Total Direct Cost base excludes equipment over \$5,000, tuition, participant support, and subawards over \$25,000</p> <p>TDC (Total Direct Costs) - Total Direct Cost base does not have exclusions, typically a rate lower than our Negotiated Rate.</p> <p>TFFA (Total Federal Funds Awarded) - Indirect Costs are restricted to the organization's MTDC or the restricted rate (TDC) whichever is less. (typically, USDA)</p> <p>Other - Some sponsors will include rate restrictions as well as their own exclusions to the Total Direct Cost base.</p>
Unrecovered F&A Cost-Shared:	The amount of unused F&A provided as Cost Share.
F&A Cost Share:	The amount of F&A used for Cost Shared line items.
Student Involvement:	The quantity of Graduate Assistant, Graduate Students, and Undergraduate Students working on the project in the budget.
Principle Investigator, Co-Principal Investigator, and WKU Personnel	
Role:	PI, Co-I, or Key Personnel on the project. Personnel listed in the proposal submission may be categorized differently due to sponsor instructions.
Department/College:	Name of Department and College.
Subawards	
Institution Name:	Name of Subawardee Organization.
Institution Total Amount:	Total Amount Requested by Subaward Organization. Sponsor instructions flow to Subaward Organization.

Attachments	
RFP:	Sponsors announce RFPs under specified topics. Includes eligibility, proposal development instructions, restrictions, and submission information.
Budget:	Costs required to complete proposed project, both direct and indirect costs. Follows federal regulations, sponsor instructions, and WKU policies.
Budget Justification:	Categorical and itemized description of proposed costs and cost calculations to explain why the costs are necessary to accomplish the project objectives. Aligns with Sponsor budget categories.
Project Description (aka SOW):	A detailed description of the work proposed for the project.
Final Submission:	After submission, a copy of the full proposal submitted.

CHART OF ACCOUNTS TAB

Cost Share	
% Cost Share Required:	Sponsor cost share calculation as percentage or ratio.
Cash:	Amount of cash costs shared.
In-Kind:	Amount of in-kind costs shared.
3rd Party:	Amount of funds provided by a 3 rd party for cost share purposes.
Type:	Detailed cost share funds are divided into type. Cash - Funds committed from specific accounts. (department, college or institution) In-Kind – Goods/services provided instead of cash funds to a sponsored project. 3rd Party – An external organization contribution to the project.
Description:	Brief detail of cost share line item.
Account #:	Account code where the cost share funds will come from.
Index #:	Department/College/Institutional index number.
Fiscal Year Amount:	The WKU Fiscal Year in which the cost share line item will take place.

EFFORT TAB

Investigator Effort	
Percentage of Effort (Sponsor):	The percentage of effort that is being requested from the Sponsor.
Person-Month Effort (Sponsor):	The number of person months (cumulative time) being requested from the Sponsor.
Percentage of Effort (WKU):	The percentage of effort that WKU is providing for the particular personnel for this project.
Person-Month Effort (WKU):	The number of person months (cumulative time) that WKU is providing for this particular project.

Contract Year (Calendar)	Personnel effort for those who are on a 12 month appointment.
Contract Year (Academic)	Effort for those who have a 9, 10, or 11 month appointment for the Academic Year.
Off-Contract Year (Summer)	Summer effort for those who have a 9, 10, or 11 month appointment for the Academic Year.
Off-Contract Year (Other)	Other off-contract effort (such as internal consulting) – rarely allowed.
Total Person-Month Effort per Year:	Auto calculated in the system, represents total person month effort.

Effort Notes

Notes in this section will detail variations in effort per year or details not previously captured.

COMPLIANCE TAB

Investigator Section	
Project Type:	<p>Instruction – The instruction category includes expenditures for all activities that are related to an institution's instruction program.</p> <p>Applied Research - Research conducted to gain the knowledge or understanding to meet a specific, recognized need.</p> <p>Basic Research - Research undertaken primarily to acquire new knowledge without any particular application or use in mind.</p> <p>Development - The systematic use of the knowledge or understanding gained from research directed toward the production of useful materials, devices, systems, or methods, including the design and development of prototypes and processes.</p> <p>Public Service – The public service category includes funds expended for activities established primarily to provide non-instructional services beneficial to individuals and groups external to the institution.</p> <p>Equipment/Instrumentation Acquisition -</p> <p>Equipment/Instrumentation Development -</p> <p>Student Services - The student services category includes funds expended with the primary purpose of contributing to students' emotional and physical well being and intellectual, cultural, and social development outside the context of the formal instruction program.</p>
Collaborative:	Collaborative proposals with other academic institutions involve two or more higher education institutions, where each institution receives funding directly from the prime source, excluding subrecipient awards—for example, awards for which your

	institution was a subrecipient of funds or passed funds through to another institution.
Interdisciplinary:	Teams or individuals that integrate information, data, techniques, tools, perspectives, concepts, and/or theories from two or more disciplines or bodies of specialized knowledge to advance fundamental understanding or to solve problems whose solutions are beyond the scope of a single discipline or area of R&D
International Component:	A project involving international collaboration/collaborators, students, travel, or direct/indirect international reach.
International Travel:	Indicates if the International Component involves travel.
International Travel Countries:	Indicates the countries of international travel (the “enter” button must be hit after each country to capture).
Project Keywords:	A list of terms that describe the project (the “enter” button must be hit after each word/words to capture).
Compliance	
Export Controls:	Export control laws restrict certain types of information, technologies, and commodities that can be transmitted overseas to individuals, including U.S. citizens, or made available to foreign nationals on U.S. soil.
rDNA/RGZ Microbe:	Research involving recombinant deoxyribonucleic acid (rDNA) molecules and the use of microorganisms for biological research.
Bio-hazards:	Research involving working with, storing, or disposing of bio-hazards or select agents.
Human Subjects:	All research that involves the use of humans (e.g., survey, experimental, evaluation, biomedical research).
Animal Subjects:	The use of animals for instructional, demonstration or research purposes.
Proprietary Information:	Intellectual property encompasses patents, copyrights, trademarks and trade secrets. Patents protect new and useful inventions; copyrights protect creative expressions; trademarks identify the source of commercial goods or services; and trade secrets protect valuable, “secret” information.

APPROVALS TAB

Approvers	
Principle Investigator:	Name of PI on the project.
PI Questions:	<p>Conflict of Interest Policy – Confirmation that the PI had read and understands the policy.</p> <p>Responsibilities/Accountability – A “Yes” response approves this grant proposal submission to an external agency, including the budget, any applicable cost share, and the contents of the proposal’s scope of work. If awarded, you agree to the post-award responsibilities and accountability terms</p> <p>Public Health Service Agency – Confirms that the funding is derived from a PHS agency either directly or via subaward.</p>

	<p>Financial Conflicts – Certification that that neither I, nor any member of my household or any persons receiving funding from this grant, received remuneration from the sponsor in the twelve months preceding the disclosure, and the value of any equity I may have a stake in as of the date of disclosure, when aggregated, does not exceed \$5,000. I also certify that neither I, nor any member of my household or any persons receiving funding from this grant, are affiliated with the above sponsors in any way that will hinder the ability to fulfill obligations to WKU students, faculty and staff.</p> <p>Limited English Proficiency – The PI/PD agrees to provide meaningful language assistance measures free of charge to program or service applicants or recipients with Limited English Proficiency.</p> <p>Approved for Submission – Confirmation that the PI approves the proposal for submission.</p>
Department Head:	Name of Department Head entered by PI.
Department Head Questions:	<p>Responsibilities/Accountability – – A “Yes” response approves this grant proposal submission to an external agency, including the budget, any applicable cost share, and the contents of the proposal’s scope of work. If awarded, you agree to the post-award responsibilities and accountability terms</p> <p>Approved for Submission – Confirmation that the Department Head approves the proposal for submission. If “No” is selected, a refusal comment must be provided, and the proposal will be re-routed back to the PI. Please only use “No” for significant issues that would potentially stop a proposal from being submitted. All other issues should be discussed with the PI or OSP, as appropriate.</p>
College Approver:	Name of College Approver entered by PI.
College Approver Questions:	<p>Responsibilities/Accountability – – A “Yes” response approves this grant proposal submission to an external agency, including the budget, any applicable cost share, and the contents of the proposal’s scope of work. If awarded, you agree to the post-award responsibilities and accountability terms</p> <p>Approved for Submission – Confirmation that the College approves the proposal for submission. If “No” is selected, a refusal comment must be provided, and the proposal will be re-routed back to the PI. Please only use “No” for significant issues that would potentially stop a proposal from being submitted. All other issues should be discussed with the PI or OSP, as appropriate.</p>