

WEST VIRGINIA STATE UNIVERSITY BOARD OF GOVERNORS
BOG Policy

Title: Administration of Sponsored Programs and Projects

SECTION 1. GENERAL

1.1. Scope

This policy establishes the authority, responsibilities, and procedures of the West Virginia State University Office of Sponsored Programs (“OSP”) for the development, review, submission, acceptance, administration, monitoring, and closeout of sponsored projects involving West Virginia State University (“WVSU” or “University”).

OSP coordinates sponsored-program activities involving the West Virginia State University Research and Development Corporation (“WVSURDC”) and the West Virginia State University Foundation (“WVSUF”), as applicable and consistent with the respective legal authority, governing documents, agreements, and policies of each entity.

This policy applies to all University administrators, faculty, staff, employees, and students participating in or seeking funding for a sponsored project on behalf of or involving WVSU.

No sponsored project may be submitted, accepted, or undertaken on behalf of WVSU without completion of the applicable OSP Internal Approval Process.

1.2. Authority

This policy is adopted pursuant to W. Va. Code §§ 18B-1-6 and 18B-2A-4; W. Va. C.S.R. § 133-4, as applicable; and applicable federal and state laws and regulations governing sponsored awards, including 2 C.F.R. Part 200.

1.3. Effective Date

Effective: _____.

SECTION 2. DEFINITIONS

2.1. Authorized Organizational Representative (AOR)

An Authorized Organizational Representative (“AOR”) is an individual who has been formally authorized to submit applications, proposals, certifications, assurances, or other sponsored-program documents on behalf of the applicable legal entity.

Designation as an AOR does not independently confer authority to execute contracts or otherwise legally bind WVSU, WVSURDC, or WVSUF unless such authority has been separately granted or delegated in accordance with applicable law, policy, governing documents, or written delegation of authority.

2.2. Principal Investigator/Project Director

A Principal Investigator (“PI”) or Project Director (“PD”) is the individual primarily responsible for the scientific, technical, academic, or programmatic direction and administration of a sponsored project.

When more than one PI or PD is identified, the individual designated as the lead PI or PD has primary responsibility for coordination of the project and required reports. Co-PIs and co-PDs share responsibility for the scientific, technical, academic, or programmatic activities assigned to them.

For purposes of this policy, references to PI include PD, co-PI, and co-PD where appropriate.

2.3. Grant

A Grant is an award of financial assistance provided to accomplish a public purpose or support research, education, service, or other authorized programmatic activity. The recipient generally determines the project's methodology and approach within the approved scope of work. Upon acceptance, the terms and conditions of the grant are binding upon the recipient.

2.4. Contract

A Contract is a legally binding agreement under which an entity provides specified goods, services, research, or other deliverables in exchange for compensation. Contracts generally contain defined performance requirements, schedules, deliverables, and other contractual obligations.

2.5. Cooperative Agreement

A Cooperative Agreement is an award of financial assistance in which the sponsor anticipates substantial involvement with the recipient during performance of the project. Such involvement may include collaboration, joint decision-making, project guidance, approval of project phases, or other participation specified in the award.

2.6. Direct Costs

Direct Costs are costs that can be specifically identified with and assigned to a particular sponsored project with a high degree of accuracy. Direct costs may include salaries and wages,

fringe benefits, project-specific supplies, equipment, travel, and participant support costs, when allowable.

2.7. Indirect Costs/Facilities and Administrative Costs

Indirect Costs, also referred to as Facilities and Administrative (“F&A”) Costs, are costs incurred for common or joint institutional purposes that cannot readily and specifically be identified with a particular sponsored project.

2.8. Cost Sharing or Matching

Cost Sharing or Matching means the portion of project costs not paid by the sponsor. Cost sharing may include cash or allowable in-kind contributions.

For federally sponsored awards, cost sharing must comply with applicable federal requirements, including requirements concerning allowability, allocability, reasonableness, consistency, documentation, and verification through appropriate financial records.

Cost-shared effort constitutes committed effort and must be appropriately documented and reported.

2.9. Subaward

A Subaward is an award provided by a recipient of a sponsored award to another entity, referred to as a subrecipient, for the purpose of carrying out a substantive portion of the sponsored project's programmatic activity.

SECTION 3. POLICY AND AUTHORITY

3.1. Office of Sponsored Programs

OSP is the University's central administrative office responsible for coordinating the development, submission, acceptance, administration, compliance monitoring, and closeout of sponsored projects.

OSP shall provide administrators, faculty, staff, employees, and students with applicable procedures, deadlines, guidance, technical assistance, and administrative support relating to sponsored projects.

3.2. Compliance

Sponsored projects shall be conducted in accordance with applicable:

Federal and state laws and regulations;
Sponsor requirements and award terms and conditions;
University policies and procedures;
Financial and accounting requirements;
Research compliance requirements, when applicable;
Conflict-of-interest requirements;
Cost principles;
Procurement requirements; and
Other applicable institutional or sponsor requirements.

OSP shall coordinate with other University offices as necessary to facilitate compliance.

3.3. Mandatory Internal Approval

All administrators, faculty, staff, employees, and students seeking or administering sponsored funding on behalf of WVSU must comply with OSP procedures and deadlines.

The applicable OSP Internal Approval Process must be completed before:

Submission of a proposal or application;
Submission of a letter of intent, preliminary proposal, or similar document that creates or represents an institutional commitment;
Acceptance of an award;
Execution of a sponsored agreement;
Commitment of University personnel, facilities, funds, equipment, cost sharing, matching funds, or other institutional resources; or
Commencement of sponsored-project activities requiring institutional authorization.

No individual may circumvent the OSP Internal Approval Process by submitting a sponsored proposal or accepting an award in an individual capacity when the proposed activity involves or represents WVSU.

3.4. Institutional Approval and Signature Authority

Internal review or approval of a sponsored project by a supervisor, department chair, dean, vice president, OSP, or other University official does not, by itself, constitute authority to legally bind WVSU.

Only an individual possessing appropriate legal, contractual, or delegated signature authority may execute an agreement or otherwise legally bind WVSU.

When a sponsored project involves WVSURDC or WVSUF, execution of documents on behalf of those entities shall be governed by the applicable entity's governing documents, policies, agreements, and authorized signature requirements.

SECTION 4. RESPONSIBILITIES AND SERVICES

4.1. OSP Services

OSP provides pre-award, post-award, and sponsored-program compliance services. Such services include, but are not limited to, those identified in this section.

4.2. Funding Opportunities

OSP may assist in identifying funding opportunities and monitoring funding announcements from federal, state, private, nonprofit, and other funding sources.

4.3. Proposal Development

OSP may assist with preparation and review of:

- Proposal budgets;
- Institutional information;
- Current and pending support information;
- Required sponsor forms;
- Certifications and assurances;
- Subrecipient documentation; and
- Other administrative components of sponsored-project proposals.

4.4. Award Administration

OSP shall coordinate or assist with sponsored-award administration, including, as applicable:

- Award acceptance;
- Budget administration;
- No-cost extensions;
- Budget modifications;
- Scope-of-work modifications;
- Personnel modifications;
- Compliance monitoring;
- Progress and final reporting;
- Effort reporting;
- Subrecipient monitoring; and
- Award closeout.

4.5. Internal Deadlines

The PI is responsible for meeting all established internal deadlines necessary for OSP and other appropriate University officials to conduct a complete review of a proposal before the sponsor's submission deadline.

Failure to meet an internal deadline may prevent OSP from completing the required review and approval process. OSP does not guarantee submission of a proposal when required materials are not provided within established internal deadlines.

Regardless of sponsor deadlines, no sponsored project may bypass required institutional review and approval.

4.6. Early Notification

Any administrator, faculty member, staff member, employee, or student planning to submit a sponsored-project proposal on behalf of or involving WVSU should contact OSP as early as reasonably possible in the proposal-development process.

4.7. PI Responsibilities

The PI is responsible for the substantive development and performance of the sponsored project, including:

- Preparing the proposal narrative and scope of work;
- Providing accurate and complete information required for submission;
- Identifying project personnel and resource requirements;
- Obtaining required cost-sharing commitment documentation;
- Providing required subrecipient information;
- Complying with sponsor and institutional requirements;
- Managing the project within the approved scope and budget; and
- Completing required technical, progress, and final reports within applicable deadlines.

4.8. Budget Development

OSP shall assist the PI in developing and reviewing the proposed project budget.

All proposed costs must be allowable, allocable, reasonable, consistently treated, and otherwise compliant with applicable sponsor requirements, University policy, and applicable federal and state requirements.

SECTION 5. PROJECT CONTENT AND PROCESSING

5.1. Direct and Indirect Cost Recovery

Sponsored-project proposals are expected to provide for appropriate recovery of direct costs and applicable indirect/F&A costs.

When a sponsor expressly limits or prohibits indirect-cost recovery, the proposal may use the sponsor-authorized rate or limitation upon appropriate documentation.

Any request to voluntarily waive or reduce otherwise applicable indirect/F&A costs must be submitted to OSP and approved through the University's established approval process before proposal submission.

5.2. Cost Sharing

Cost sharing should not be included in a sponsored-project proposal unless:

Required by the sponsor; or Specifically approved through the applicable University approval process.

All proposed cost sharing must be documented and approved before proposal submission.

5.3. Subawards

A proposal anticipating issuance of a subaward must include appropriate documentation from the proposed subrecipient.

Required documentation may include:

Statement or scope of work;
Detailed budget and budget justification;
Letter of commitment signed by an authorized representative of the subrecipient;
Cost-sharing documentation, when applicable;
Required certifications and representations; and
Other documentation required by the sponsor, OSP, or applicable law.

Subrecipients shall be subject to appropriate risk assessment, monitoring, documentation, and closeout requirements.

5.4. Proposal Withdrawal

When circumstances require withdrawal of a proposal after submission to a sponsor, the PI must notify OSP in writing.

OSP shall coordinate with the PI and the sponsor to complete the appropriate withdrawal process. No PI or other project participant may independently withdraw an institutional proposal without appropriate institutional authorization.

5.5. Award Acceptance

No PI, faculty member, staff member, employee, student, department, or other University unit may independently accept a sponsored award or execute an award agreement on behalf of WVSU.

Awards shall be reviewed and accepted only through the applicable institutional approval and signature process.

5.6. Modification of Sponsored Awards

Any modification affecting the scope of work, budget, key personnel, project period, cost sharing, subrecipient arrangements, or other material terms of an award must be processed through OSP when sponsor or institutional approval is required.

5.7. Sponsored Programs Records

OSP shall serve as the University's central administrative source for institutional records and data concerning sponsored-project proposals and awards, subject to the responsibilities of other University offices for financial, legal, research, personnel, or other official records.

OSP shall maintain appropriate records regarding sponsored-project submissions and awards in accordance with applicable law, sponsor requirements, University record-retention requirements, and applicable award terms.

5.8. Unauthorized Commitments

No administrator, faculty member, staff member, employee, student, department, or other University unit may make an unauthorized commitment of University funds, personnel, facilities, equipment, intellectual property, cost sharing, matching funds, or other resources in connection with a sponsored project.

An individual who submits a proposal, accepts an award, executes an agreement, or otherwise makes a sponsored-project commitment without required authorization may be subject to corrective or other appropriate action consistent with University policy and applicable law.

SECTION 6. SPONSORED-PROJECT COMPLIANCE

6.1. General Compliance

All sponsored projects shall comply with applicable federal and state laws and regulations, sponsor requirements, award terms and conditions, and University policies and procedures.

6.2. Federal Awards

Federal awards shall be administered in accordance with applicable federal requirements, including the Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards contained in 2 C.F.R. Part 200, when applicable.

6.3. Conflicts of Interest

Individuals participating in sponsored projects must disclose actual, potential, or perceived conflicts of interest as required by applicable law, sponsor requirements, and University policy.

6.4. Research Compliance

Sponsored projects involving human subjects, animals, biological materials, export-controlled activities, research misconduct requirements, or other regulated research activities must receive all required institutional approvals before the regulated activity begins.

Submission or acceptance of a sponsored award does not substitute for any separately required research-compliance approval.

6.5. Financial Management

Sponsored-project funds shall be administered in accordance with applicable accounting standards, sponsor requirements, award terms and conditions, University financial policies and procedures, and applicable federal and state law.

6.6. Record Retention and Audit

Sponsored-project records shall be maintained for the period required by applicable law, sponsor requirements, award terms and conditions, and University record-retention policies.

Sponsored-project records are subject to audit, review, monitoring, and inspection as authorized by law, the applicable award, or University policy.

SECTION 7. ADMINISTRATION

7.1. Procedures

OSP is authorized to develop administrative procedures, forms, guidance, internal deadlines, and other operational requirements necessary to implement this policy, provided such requirements are consistent with applicable law and University policy.

7.2. Interpretation

Questions regarding the administration of this policy should be directed to OSP. Legal questions concerning interpretation, contracting authority, legal obligations, or compliance with applicable law shall be referred to the University's Office of Legal Affairs.

7.3. Relationship to Other Requirements

Nothing in this policy authorizes conduct inconsistent with applicable federal or state law, Board of Governors policy, contractual obligations, sponsor requirements, or the governing authority of WVSURDC or WVSUF.

Where a sponsor requirement or applicable law imposes a more restrictive requirement than this policy, the more restrictive applicable requirement shall govern.