

# GRF

Competition  
FY2010

A Guide for Research Administrators and  
Principal Investigators

# What is a Competition GRF Award?

The General Research Fund is a competitive award program that provides funding for the advancement of the university's research program. The Office of the Vice Provost for Research & Graduate Studies provides funds to each school or college annually and assists departments in the administration of these funds.

## Who is Eligible?

Lawrence campus faculty members are eligible to submit one GRF proposal to his or her school or college each year.

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# How the Award Process Works

Awards will be made based on merit of the proposal, which includes scholarly excellence of the proposal and its benefit to the university and to the individual researcher. Each school or college is required to determine its own proposal criteria, guidelines, application forms, application process, submission deadline, and review committee. Submission deadlines vary upon department. Contact and submission information is

| <b>College/School</b>   | <b>Contact Information</b>                         | <b>Deadline</b>   |
|---|--|-------------------|
| Architecture  | Patti Baker<br>pmbaker@ku.edu<br>785-864-3114      | February 20, 2009 |
| Business  | Charly Edmonds<br>cedmonds@ku.edu<br>785-864-3841  | January 30, 2009  |
| College of Liberal Arts & Sciences<br>Behavioral<br>Humanities<br>Life Sciences<br>Physical Sciences<br>Social Sciences | Natalie Berger<br>nberger@ku.edu<br>785-864-3681   | February 2, 2009  |
| Education   | James Lichtenberg<br>jlicht@ku.edu<br>785-864-9656 | February 13, 2009 |
| Engineering   | Amanda Ostreko<br>amandao@ku.edu<br>785-864-2932   | February 13, 2009 |
| Fine Arts   | Lois Greene<br>greene@ku.edu<br>785-864-1712       | February 13, 2009 |
| Journalism  | Ann Brill<br>abrill@ku.edu<br>785-864-7656         | February 27, 2009 |
| Law   | Cheryl Saladin<br>csal@ku.edu<br>785-864-9203      | February 13, 2009 |
| Library   | Lyn Wolz<br>lwolz@ku.edu<br>913-897-8572           | March 6, 2009     |
| Pharmacy  | Rick Dobrowsky<br>dobrowsky@ku.edu<br>785-864-3531 | February 13, 2009 |

# Award Amounts

The amount of funds allocated to each entity is based on a three-year evaluation by the Faculty Senate Research Committee. All evaluations are based on the review of annualized reports submitted by each school or college that outline the progress each entity has made toward meeting its research goals. Individual award amounts are then established by each school or college based on its annual allocation.

## The Administration Process

The Competition GRF is administered jointly between the Office of the Vice Provost for Research & Graduate Studies (RGS) and a delegated academic department representative. RGS provides service in allocating funds annually and administration of the program as a whole. The academic departments are responsible for completing paperwork for appointments, purchasing supplies, and tracking account balances of all active awards within the respective unit.

### **Notification of the Award**

Once each school and college has selected its annual GRF recipients, award information is forwarded to RGS for review. RGS analyzes each entity's proposals for the following information:

- The total dollar amount awarded to individual projects, does not exceed the dollar value allocated to the school or college as a whole
- Completed application
- Each application has a complete proposal and budget
- Each application has a completed compliance form
- Applications with projects involving Human Subjects, Animal Care, Biohazards, etc. have the necessary forms submitted and are either have been approved or are pending approval

After RGS's review is completed, the individual schools and college will be notified to begin issuing award letters to each recipient.

## **The Account Number**

Each individual GRF award receives its own individually identifiable account number. This number is assigned by RGS and will always range between 2301000-2301600. Award recipients and departmental administrators will receive a letter each spring that indicates the assigned account number, approved budget, and terms and conditions of the award.

## **When Funds Can Be Used**

Recipients of the GRF may begin spending their award on July 1 of the new fiscal year. Awards are limited to one year **and will not be carried forward** unless specified by the Principal Investigator prior to the year end deadline an email notice will be sent out to the department contact.

# Processing Budgeted Expenditures

## **How GRF Funds Can Be Budgeted and Spent**

Principal Investigators may identify in their budgets funds for faculty salary (not exceeding 28 days), student salary, travel and other operational expenses. Original budgets, as approved by the department will be loaded into the state financial system at the beginning of each fiscal year.

**All GRF awards are state 003 funds for payroll and other operating expenses, and 099 for travel. As a result, all state purchasing, appointments and travel rules must be followed.**

# How to Process Payroll Appointments on GRFs

## Faculty Appointments

The Competition GRF allows individuals to request up to 28 days of summer salary on this award program. Some, all or none of this may be awarded, however if your faculty member does have salary budgeted here are the key factors to keep in mind:

- Appointments to GRF funds will only be made during the summer months for faculty
- Since the GRF is state funded (003), departmental administrators must make sure that the faculty member is not being paid for more than 11 months on state funds for the year
- Although the award includes an estimate for fringe benefits, the faculty member will only be paid the gross salary amount of the award, deductions will also come out of the gross amount including the employer's portion of health insurance
- Fringe benefits allocation is based on an estimate of 28% for faculty and postdoctoral students. The fringe benefits shown in the budget represent the employer's portion only. The employee's portion of fringe benefits will be deducted from the gross salary listed in the budget.
- **Fringe benefits are billed to a separate cost center 2301001-003**
- Departmental administrators complete all payroll forms and submit them to RGS for review and processing
- Payroll forms should not be processed until the beginning of the fiscal year for the year the award was given

## Student and GRA Appointments

Many awards include salary dollars for students or GRA's to work on the project. Below is the standard criterion to remember when working with Student Salary funds:

- Funds are state funds (003)
- The hiring of graduate research assistants and student hourly's must conform to all University policies. Questions regarding the hiring process may be directed to HREO (864-3686).
- Students must be enrolled at KU to be appointed on GRF funds. Funds may not be used for non-students without the explicit approval from RGS
- RGS assigns the pool number for all student pools (R pools are assigned for GRA's and S pools are assigned for student pools)
- Fringe benefits allocation is based on an estimate of 4%
- Funds allocated to student salary, may not be reallocated without authorization from the applicable dean in that department or school
- Departmental administrators complete all payroll forms and submit them to RGS for review and processing
- Payroll forms should not be processed until the beginning of the fiscal year for the year the award was given
- **Fringe benefits are billed to a separate cost center 2301001-003**

# Guide to Completing the Payroll Form

## Faculty Appointments

### Example 1. Faculty Payroll Forms

John Brown, a Professor in Chemistry has just been awarded a \$4600 new faculty award for PI salary and \$1288 in fringe. Dr. Brown's bi-weekly salary is \$2635.26. He would like to be appointed on this award beginning the new fiscal year. His funding for the summer months does not exceed the 11-month rule and he is not currently working on any other source of funding

1. Complete the employee personal information of the payroll form.
2. Standard Hours (indicate "\*\*\*")
3. Trxn Date: 6/8/03
4. Funding End Date: 7/5/03
5. Enter applicable position number for Dr. Brown. In this case we will use 853981
6. In order to pay Dr. Brown exactly the \$4,600 in gross wages, his standard number of hours will need to be reduced. Calculate this information using the following formula:

**$[(\$ \text{ Amount to Pay } \times \text{ the Number of Days in the Pay Period } / \text{ The Total Number of Days to Pay}) / \text{ The Full Time Bi-Weekly Rate } = \% \text{ of Appointment}]$**

$$\$4,600.00 \text{ (full award)} \times 14 \text{ (no. of days in the pay period for faculty)} = 64,400$$

$$64,400 / 28 \text{ (total number of days for the award)} = 2,300$$

$$2,300 / 2635.26 \text{ (full time bi-weekly rate)} = 87.2779\% \text{ (New FTE Rate)}$$

To convert the percentage of appointment to number of standard hours use the following calculation:

$$40 \text{ (standard hours in a pay cycle)} \times .872779 \text{ (% appointment)} = 34.91 \text{ standard hours}$$

To figure the new compensation rate use the following calculation:

$$2635.26 \text{ (Full-time Bi-weekly rate)} \times .872779 \text{ (% of appointment)} = 2,299.99958754 \text{ (New Compensation Rate)}$$

7. Since the fringe benefits of all Competition GRF's are not billed to the individual cost center, but back to RGS's main appropriation line, a second line should be used for fringes, billing it to 2301001-003.
8. The third line of this payroll form does two things, it changes Dr. Brown's appointment back to 100% on his original compensation rate, as well as puts him back on Summer Leave with Benefits, so he will not get paid for the remainder of the summer.

# Completing the Payroll Form Cont.

## **GRA and Student Appointments**

In addition to PI salary dollars, Dr. John Brown has also received \$2,000 for student wages and \$80 in fringe. He decides to appoint Susie Smith, who is a GRA making \$12.50 per hour at .5 FTE on this award and an undergraduate student Howard Jones at \$8.00 for approximately 75 hours. Howard Jones works approximately 15 hours per week. Both will begin to be paid on the project from 7/6/03 and do not have other appointments at this time.

### **Example 2. Student Payroll Form**

To calculate the student's pay form, follow the following steps:

1. Enter Personal Data on the top section of the payroll form
2. Trxn Date: 7/6/03
3. Funding End Date: 8/8/03
4. Comp Rate: \$8.00
5. Department #: 2112000
6. Pool ID\*: S01
7. Appointment Total: 600.00
8. Comments: Funding Source Change
9. Fringes: All should be billed to 2301001-003

### **Example 3. GRA Payroll Form**

The calculation for the GRA's rate is very similar to the student's payroll form.

1. Enter Personal Data on the top section of the payroll form
2. Trxn Date: 7/6/03
3. Funding End Date:
4. Compensation Rate: \$12.50
5. Department #: 2112000
6. Pool ID\*: R26
7. Appointment Total: \$1400
8. Comments: Funding Source Change
9. Fringes: All should be billed to 2301001-003

\*Pool Id's are assigned by RGS

**Both the student and GRA will require payroll forms to change their funding once all GRF funds have been exhausted.**

# Spending Other Operating Expenditure (OOE) Funds

All purchases made with Competition GRF Funds must comply with state purchasing procedures and be charged to the direct cost center using fund 003. For detailed information regarding how to enter a voucher on PeopleSoft or what expenditures are valid, contact Purchasing at 864-3416 or visit their website at <http://www.purchasing.ku.edu/>

**All books, microfilms, photographs, slides, equipment, etc. purchased with these funds are property of the University, not of the award recipients, and should be used for research purposes within the University. These materials should remain at the University of Kansas if the PI decides to terminate employment at the University.**

## Processing Travel

Travel awarded on the GRF program is strictly for trips necessary to complete the scope of work identified in the project. Travel funds may **not** be used for paper presentations or annual conferences.

All travel must be processed following the state travel rules and guidelines. In order to use the funds allocated, an out-of-state travel request must be submitted to their department for approval four weeks prior to the commencement of the travel.

It is also necessary to complete the Request for Staff Travel Loan form [http://www.comptroller.ku.edu/central\\_accounting\\_services/documents/travel\\_forms/Staff\\_Travel\\_Loan.pdf](http://www.comptroller.ku.edu/central_accounting_services/documents/travel_forms/Staff_Travel_Loan.pdf) at this time if the traveler feels an advance is necessary for his or her trip. The maximum loan advance under this program is \$2,000. **All travel funds must be made on 099. Travel on 003 funds will not be allowed.**

Travel arrangements may be made on-line or with one of the following travel agencies:

Short's Travel;  
Travellers, Inc.;  
National Travel Systems  
Carlson Wagonlit Travel.

A travel request number is required when booking with one of the above travel agencies. If a traveler selects to purchase his/her ticket on-line and if the total cost (including taxes and fees) **exceeds \$500, three quotes from 3 different airlines**, meeting the business needs must be obtain, and lowest quote selected. Airfare booked on-line as well as lodging, car rental, etc. will be charged to the traveler's personal credit card and will not be reimbursed until after the trip has taken place.

Travelers need to work with his or her departmental administrator to when submitting receipts for reimbursement in order for a State Travel Expense Detail form [FY 2009 Travel Expense Detail Form \(DA-121\)](#) to be completed.

# Reallocating Funds & Tracking

## Reallocation of Awards

Awarded funds are to be expended in the categories they were originally budgeted in. Transfers may be requested between budget categories (i.e. OOE to Salary) as long as they are designed to facilitate the conduct of the project. In the event that significant budget adjustment is necessary or if the transfer involves moving funds allocated for **student wage**, a request must be made in writing to the GRF committee at your school or college. Approval of all reallocation requests should be sent to Patti Steffan with the accompanying budget transfer form(s). Please remember the following about reallocating funds:

- RGS must be contacted to request a reallocation of funds
- Transfers from student wage are not approved unless formal approval is received from the GRF committee school or college
- Transfers from other operating expenses/travel into salary must include the necessary fringe benefits rate (i.e., 28% for faculty and 4% for students)
- Transfers into salary may not exceed the 28-day limit.
- Substantial changes always require approval from the applicable GRF committee, school or college.

## Tracking Account Balances

Principal investigators and departmental administrators are responsible for tracking the expenditures on GRF accounts. Tracking can easily be done by running reports in DEMIS. To run individual account detail, refer to Example 8 or the steps below.

### Example 6

Dr. John Brown's cost center number is 2301117. To look his project budget, expenditures and current balance on Demis complete the following using your personal logon:

1. Go to <https://demisweb.ku.edu/Portal>
2. Use your log in
3. Click the [Financials](#) tab
4. Click the [Financials FY 2009](#) link
5. Enter the cost center number 2301xxx in the Enter Cost Center Directly field
6. Select Fund Code "All Funds"
7. Select Account Category "All-types Expenditures and Revenues"
8. Select the Following Output Options: "Include Detailed Transactions" and "Condensed Output"
9. Select the "Execute" button to run the query

# Year End Processing

## Encumbrances

Encumbering ensures that funds are available to pay for an invoice received in the new fiscal year for a prior fiscal year order/expense. As a result, departmental administrators will need to enter an encumbrance in PeopleSoft in the following situations:

- An investigator places an order for supplies, equipment, etc., but the invoice or bill is not received until the following fiscal year (this also includes phone and internet orders)
- An investigator is traveling between both fiscal years and the trip is not continuous or if portions of the trip is not related to the project (i.e., personal)

## Carrying Forward Award Funds

The Competition GRF award is based on a one-year period. However, if circumstances have prohibited investigators from spending their full award, any unspent funds of **\$100 or more** may be carried forward upon the request of the recipient for a maximum of one year. All carry forward requests must be made prior to May 1 of the next fiscal year. Unspent funds remaining in individual cost centers will be lost at the end of the fiscal year.

## Over Expenditures of Funds

Departments or individual principal investigators are responsible for any substantial over expenditures in a GRF account. If an over expenditure occurs at the end of the fiscal year, any available carry forward balance will be applied to the previous year's expense before it is reallocated in the new fiscal year.

# Closing the Award

## Awardee Obligations

All publications, presentations or performances supported in whole or in part by this allocation should bear the following acknowledgement: "This investigation was supported by the University of Kansas General Research Fund allocation #2301\_\_\_." If works of art or other products of activity supported by this allocation are sold, leased, or otherwise yielded as income, principal investigators are expected to consult with James Baxendale (864-7783), Director of KU Center for Technology Commercialization.

## Questions

Contact

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