

Physical Location

730 Harding Boulevard
Baton Rouge, LA 70807

Mailing Address

Office of Sponsored Programs
Post Office Box 12596
Baton Rouge, LA 70813-2596

Office of Research and Strategic Initiatives
Post Office Box 9272
Baton Rouge, LA 70813-9272

Office Hours

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About this Manual

This manual has been prepared to assist faculty and staff members interested in proposal development. Tips on writing the proposal, completing the application package, and preparing the budgets are included. It provides the tools to use in thinking through the proposal development process and offers practical guidelines for structuring and filing a proposal, *from start to finish*.

This manual presents a structured approach to minimize potential proposal problems. Included in this manual are a listing of the various budgetary rates, Duns number and other pertinent numbers, and basic steps in preparing the proposal.

- **Researcher's Freedom to Investigate and Report Results**

The University's procedure for approval of award proposals is such that a review is made to ensure that the award is related to the purpose of the institution, that the institution is able to meet its obligations (cost sharing) related to the award, thus not endangering support for general institutional activities, and that the award is for a specific period of time. Accordingly, the University endorses the 1940 Statement of Principles on Academic Freedom and Tenure of the American Association of University Professors, as revised and refined since 1940, and the Statement on Professional Ethics of the same organization, insofar as these are not limited by state law or the policies of the Louisiana Board of Regents.

The University maintains that academic freedom is the right of the academic community freely to study, discuss, investigate, teach, conduct research, and publish as appropriate to their respective roles and responsibilities. Because the common good depends upon the free search for and exposition of truth and understanding, full freedom in research and publications is essential, as is the freedom to discuss scholarly subjects in the classroom.

While the University does impose a requirement for a formal review and approval process, beginning at the department level, for proposals prepared for submission to external agencies, the University imposes no limitation on the freedom of the faculty in the choice of fields of inquiry or the means of public dissemination of the results obtained. Research results (except for technical reports), unlike research proposals, are not subject to the requirement of formal review and approval. The University's requirement for formal review and approval of research proposals is not to be construed as a restriction on academic freedom, but rather is deemed necessary in the interest of efficient research planning and administration.

- **Contract Activity and Instruction**

Chairpersons, division heads and members of the faculty conducting special University-based sponsored projects, research and programs or who are performing other special University or University-related assignments beyond those normally expected may be approved for or granted a reduced teaching load by the academic dean or division head in consultation with the chief academic officer of the campus. The projected duration and nature of the involvement figures heavily in such decisions.

An actual balance between sponsored research and instruction is maintained by the University's review procedure, which requires that exact copies of proposals submitted to sponsoring agencies must first be transmitted to the Office of Sponsored Programs through the principal investigator's (PI's) department chair or unit director and dean or division head. The management and oversight of faculty researchers are responsibilities of chairs and deans, respectively. It is the responsibility of deans and/or directors to oversee sponsored program activities performed in their schools, colleges, centers, or institutes.

These administrators review proposals for consistency with their units' missions and to certify that proposed commitments of time, space, staffing, support services, budgetary resources, nature and scope of proposed projects, and any proposed new curricular course offerings are consistent with instructional needs, and goals. The department chair works closely with the PI. The chair reviews all proposals from the department and, for each, makes a decision regarding the nature

and scope of proposed research and other activities, appropriateness of the budget requirements, space, staffing, and impact of release time. The chair also determines if proposed projects fit within the overall goals of the department, the training and interest of the faculty and staff, academic offerings of the unit, goals, and mission.

The standard “*OSP Routing Form*” provides spaces for the units’ reviewers to mark their responses to the above stated specific categories for unit consistency. Determining consistency may also involve rendering a decision as to whether release time, over time (extra compensation), or proposed research work at places other than the Institution do not extend the activities of the department(s) involved at the expense of the quality of undergraduate or graduate instruction. Signatures of the unit head and the dean are required on the Routing Form before the OSP will review and submit a proposal. This office also requires an official letter of approval from the Vice Chancellor for Academic Affairs if a proposal requires release time or any change in University status (i.e., salary, tenure, promotion, rank, raises, hiring new faculty, curricular development, etc.) for any faculty member involved in the proposed research.

- **Administration of Research Projects**

Whereas responsibility for the quality of research and other sponsored activities at the University rests with the faculty, the University, through the Chancellor and Vice Chancellor for Research and Strategic Initiatives, accepts responsibility for negotiating awards, accepting awards made pursuant to such negotiating, and rendering institutional control over the administration of all research, both basic and applied, and creative work.

The Chancellor, as chief executive Officer of Southern University A&M College, has the responsibility for the management and supervision of all sponsored activities, in accordance with established policies and procedures. The Chancellor reviews proposed policies and procedures and, if required, forwards them to the System President and the Board of Supervisors for approval. The Chancellor serves as the authorized research representative and maintains and guarantees institutional control over the administration of research projects, but delegates certain grant, contract, and sponsored program activities to other appropriate levels of the administration.

The Vice Chancellor for Research and Strategic Initiatives (ORSI), who is directly responsive to the Chancellor, serves as head of the ORSI with the authority to recommend research policy on a campus-wide basis and to advise the Chancellor on grants, contracts, and sponsored projects’ policy-related matters at the University. The ORSI consolidates and coordinates policies, operations, and units related to sponsored research, technology transfer, and associated external and internal affairs programs at the University. The Vice Chancellor for Research and Strategic Initiatives is the officer responsible for administering externally funded grants and contracts. In this capacity, the Vice Chancellor accepts awards and signs contracts on behalf of the University and oversees their administration. Oversight assistance is provided by the OSP.

The ORSI provides administrative management, planning, and oversight to the Office of Sponsored Programs which oversees the day-to-day pre-award and post-award activities of proposals, grants, and contracts. The ORSI also has technical and administrative oversight of strategic initiatives, research centers, institutes, and other research related functions.

The Vice Chancellor for Research and Strategic Initiatives, with input from the University's Senior Leadership Group (Chancellor, Vice Chancellors and Associates, and Special Assistants), a University Research Advisory Council, Business Advisory Council, Research Evaluation Committee, and approval by the Chancellor, System's President, and the Board of Supervisors, recommends policies and procedures for all research at the University and serves as the University's representative to enter into grants and contracts and to oversee their execution and closure.

The University Research Council is comprised of research faculty who serve in an advisory role to the Vice Chancellor for Research and the Office of Sponsored Programs on matters related to grants, contracts and sponsored agreements. The council advises on internal policy-related matters as well as those proposed by external agencies and bodies. Specifically, the goals of the University Research Council include: (1) promoting and encouraging applicable research programs in all academic areas; (2) facilitating research programs of excellence for the University; (3) fostering research programs of excellent quality and stimulating the faculty and students in a quest for knowledge and to aid society in resolving its scientific, technological, socioeconomic and cultural problems; and (4) supporting research agencies or instruments that provide a forum for faculty and students.

The Research Evaluation Committee is composed of research faculty, non-research faculty, and members of the public sector. Its function is to serve as an official reviewer and evaluator of the effectiveness of the University's research infrastructure. This includes: (1) determining the extent or range of research-related problems and tasks considering the University's mission, present research infrastructure, curricula, faculty, students, centers, and graduate programs; (2) performing process evaluation that seeks to confirm actual adherence to the University's research goal (vision), objectives and proposed plan (on-going process); and (3) impacting evaluation that measures the outcomes or results against its goals and objectives.

Faculty researchers (Principal Investigators, PIs) are directly responsible for project execution and deliverables (i.e. performance) including all required Sponsor and University reports. They must also ensure that the project is conducted as proposed; that all stipulations of the award are met; that the program complies with all terms, conditions, and policies of the sponsor, the University and the State; and that all work related to the project is completed. The PI of a sponsored project must be a full-time member of the faculty or staff. Any exception to this policy requires prior approval of the appropriate chairperson, dean, and/or the Vice Chancellor for Research and Strategic initiatives.

The director of the Office of Sponsored Programs participates in the formulation of policies affecting sponsored programs and advises the Vice Chancellor on University policies on grants, and contracts. The director, through the Office of Sponsored Programs, is responsible for processing all grants and contracts and sponsored agreement funding requests to be submitted (including submission to federal agencies, national laboratories, foundations, corporations, associations, organizations, philanthropists, local and state governments, universities, and non-government entities).

Fiscal management of grants and contracts is performed by the Office of the Comptroller with yearly audits by the State's auditor. The sponsored research support system tracks both technical (i.e. performance) and fiscal data on every research project and makes available timely management reports. The OSRI-OSP and the Office of the Comptroller are responsible for integrating and maintaining all data for both technical and fiscal audit trails, sponsor compliance, and close-outs.

The University's top level management (Chancellor and Senior Leadership Group), using these system reports, routinely makes assessments of the University's impact and value of the sponsored program environment.

Applicant Name

Southern University and A&M College

Applicant Address:

Post Office Box 12596, Baton Rouge, LA 70813

Administrative Office for Notification Purposes:

Dr. Norma J. Frank
Office of Sponsored Programs
Southern University and A&M College
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Phone (225) 771-2809

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Email Address: Norma_Lemond@subr.edu

Authorized Signatory for Institution:

Dr. Michael Stubblefield, Vice Chancellor for Research and Strategic Initiatives
Office of Research and Strategic Initiatives
Southern University and A&M College
P. O. Box 9272
Baton Rouge, LA 70813

Phone (225) 771-3890

Fax (225) 771-5231

Email Address: Michael_Stubblefield@subr.edu

Indirect Cost Rates:

Research ON	40% of Modified Total Direct Costs (MTDC)
Research OFF	26% of MTDC

Employer Identification Number (EIN):

1-726000817-A1

Current Registration (CCR):

CAGE Code: 1MRL5, DUNS: 05-351-5743 (must be used on all federal proposal submissions)

Senators: Bill Cassidy and John Kennedy

Representative: Garret Graves

Congressional/Legislative District: Six

Institutional Review Board (IRB) - Protection from Research Risks

All proposals that involve research to be performed by Southern University faculty or students that will involve the (a) human volunteers, (b) laboratory animals, (c) recombinant DNA, or (d) bio-hazardous materials and chemicals must be reviewed by the appropriate Institutional compliance committee before submission to OSP.

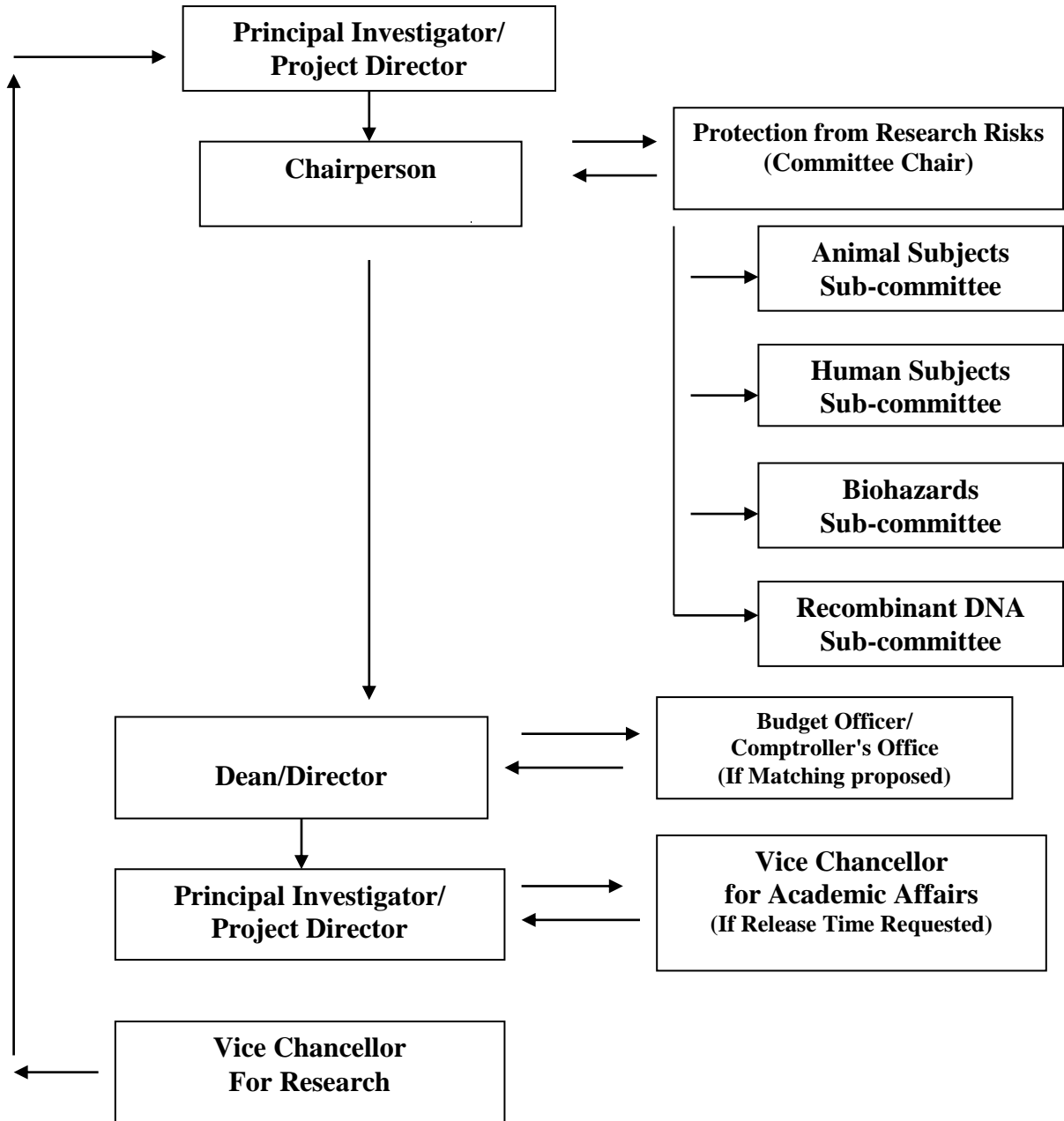
Business Type (one of the following)

- Educational Institution
 - Nonprofit Institution
 - Historically Black College/University (HBCU)
 - State
-

Fringe Benefits Rates

Fringe Benefits Category	Full Time Faculty	Full Time Staff & Support Personnel	Part-time/ Special Hire
FICA	0.00%	0.00%	6.20%
Insurance	10.50%	10.50%	0.00%
Medicare	1.45%	1.45%	1.45%
Other/Contingency	1.00%	1.00%	0.00%
Retirement	25.50%	25.50%	0.00%
Unemployment Comp.	0.07%	0.07%	0.07%
Total	38.52%	38.52%	7.72%

PROPOSAL PROCESSING FLOW CHART



A *Notice of Intent Form* is required for individual or specific subject-matter proposals. The form is intended to assist the Office of Sponsored Programs (OSP) with prior planning to facilitate the submission of the proposal. The PI/PD must alert the OSP of his or her intent to submit a proposal by completing the Notice of Intent Form and submitting it to the OSP at least (10) working days prior to the deadline date for the proposal's submission to the granting agency. Indicate on the Notice of Intent Form if the proposed research is in collaboration with one or more other institutions.

Institutional Letter of Intent

A *Notice of Intent* is also required prior to submitting institutional, collaborative (international) or alliance (multi-institutional) proposals when University support (matching or otherwise) is required and/or when only one response per institution is stipulated by the funding source. Some sponsors require the University to submit a *Letter of Intent* in order to submit a proposal. If this requirement is stated in the sponsor's guidelines or solicitation, draft a letter and forward it to the Office of Research and Strategic Initiatives along with a copy of the abstract/proposal and guidelines. The purpose of these notices is to assist the sponsor in arranging the review panels. The notice is not considered to be a commitment by the University. The Office of Research and Strategic Initiatives will format the letter and route it for signature(s) on appropriate letterhead to the sponsoring agency. The notice should be executed fully at least thirty (30) days prior to the deadline date for submission. Allow a minimum of three (3) days for the letter to be reviewed and subsequently approved prior to submission to the sponsoring agency.

Proposal Components

Funding agencies' application guidelines usually provide the framework for the sequence and content of the proposal. While the format will vary from one agency to another, a sponsor usually requests certain basic components.

Project Summary

The proposal must contain a summary of the proposed activity suitable for publication, usually not more than one page in length. It should **not** be an abstract of the proposal, but rather a self-contained description of the activity that would result if the proposal were funded. The summary should be written in the third person and include **a statement of objectives, methods to be employed and the potential impact or significance of the proposed activity to the advancement of knowledge or education**. It should be informative to other persons working in the same or related fields, and understandable to a scientifically or technically literate lay reader. Reviewers will probably read this section first to gain an overview of the proposed project. Interest often can be captured at this point if the summary is written in clear and concise terms.

Project Description or Narrative

This principal part of the proposal usually does not exceed 15 pages. It is a detailed statement of the work to be undertaken. Overall, it should discuss potential advances that are expected as a result of the proposed activity, and the specific contributions the proposed work will make toward expanding or developing the knowledge or technology base. It is the basis for determining the merit of the proposal, and may include several components depending on application guidelines.

Need Statement/Statement of Problem

The need statement explains why the program, services, or research is needed at this time, or at a particular university, or for a particular population. The sponsoring agency must be convinced that there is a measurable or verifiable need for the activities described in the remainder of the proposal.

Objective(s)

The objectives furnish the purpose, aim, or goal(s) of the project. In establishing this section, it is essential that project planners are specific in describing their objectives.

Plan of Action or Methodology

The activities or methodologies to be employed must be carefully detailed. The proposal writer may include in this section a description of his or her preliminary work completed on the proposal activity. Grant reviewers are especially concerned about the relevance of each plan or methodology to the objectives of the project and the familiarity of the writer with the proposed plan of action.

Time-Frame (an estimated time schedule for completion)

The time-frame should specify dates for completion of all activities or tasks and their sequence and interdependence. The ability to stay on schedule is one of the most important aspects of project management.

Evaluation (a plan to evaluate the performance of the project)

A very important part of a project is a well-designed plan for evaluation. All funding agencies highly stress the importance of a proper assessment of the achievement of project goals and objectives. Evaluation can be formative (process) and summative (product). Formative evaluation provides feedback as a program progresses and it facilitates appropriate decision making on a day-to-day basis. Summative evaluation measures program attainments, including the outcome of the project and the achievement of goals.

Publication or Dissemination

To be useful, research results must be disseminated. This section of the proposal should describe who would be informed of project results, which results will be reported, and in what form the results will be disseminated.

Budget Page and Budget Justification

The budget section of the proposal should reflect the **total** cost of the proposed project with the anticipated level of salaries, release time, extra compensation, travel, contracts, equipment, supplies, publication or document dissemination costs, consultant services, computer services, participant support, and all cost sharing and matching funds from **all** sources clearly indicated. This section should be prepared carefully; as mistakes could lead to: (a) a poor score from reviewers; and (b) an unacceptable liability to the University; possibly resulting in non-acceptance of a funding award. The budget justification (usually does not exceed three pages) should explain and justify major cost items, any unusual situations or inclusions, and the proposed institutional cost sharing. Each major budget item must be clearly justified or explained, including a description of responsibilities of any listed personnel and an explanation of their role in meeting the objectives of the project. Note from the application guidelines which costs cannot be covered by the granting agency and must be assumed by the submitting institution as an indication of its commitment to the proposed project. Ascertain whether a budget requires approval by the Comptroller and Budget Officer (cost sharing), Vice Chancellor for Academic Affairs (release time), and Vice Chancellor for Research (extra compensation). The principal investigator (PI) must convince the reviewer that he or she is knowledgeable about the budget. Use a separate form (supplied by the granting agency with detailed instructions) for each year of the project, for the cumulative budget, and for any subcontracts.

Appendices

These are additions of information or materials appended to the proposal that may not be essential to the proposal. Carefully check the sponsoring agent's guidelines and/or contact the program director to determine what is allowed as appendices and what would be most appropriately included in the body of the narrative. Agencies may not return originals or special attachments.

Vitae or Bibliographical Sketches

Well-designed and up-to-date resumes are required for all senior personnel, major users, and technical personnel listed in the proposal. Each resume' (**usually two pages**) should include information on the individual's (a) education, (b) research experiences, (c) special skills or abilities, (d) usually up to five publications or presentations most relevant to the work

proposed, and (e) usually up to five other significant publications or presentations. This section allows reviewers to decide whether the listed personnel are capable of carrying out the proposed activity.

Bibliographical References

A listing of pertinent reference(s), journal style, to the work described in the proposal.

Letters of Endorsement

Endorsements from such key persons as the institution's president or chancellor, executive of a company, laboratory, industry, or agency, and executives of any partnership or collaborations. The endorsement letters should send a positive to the reviewers. Positive letters can help your proposal get funded.

All proposals seeking sponsored funding **must** be transmitted to the Office of Sponsored Programs (OSP) using the Southern University OSP Routing Form (See Exhibit 6.3), prior to submission either electronically or by postal mailing. All blocks on the front of the form must be completed and the proposed Project Director/Principal Investigator must obtain all required approvals on the sheet. The routing form is also required for electronically routed proposals, such as those submitted to the National Science Foundation (NSF) via FastLane. In these cases, the PD/PI is to provide the properly signed routing sheet to the Pre/Post Awards Specialist prior to a sponsoring agent's deadline.

Institutional Signatory

The *OSP Routing Form* outlines specifications for the routing and approval process for each of the following:

- (1) grant proposals, applications, and assurance certifications.
- (2) contracts, subcontracts, and cooperative agreements

Proposal Processing Procedures

The *Southern University OSP Routing Form* documents the understanding among the PI/PD and his/her department chair, dean, OSP and University officials of the expected allocation of institutional resources as well as the terms and conditions of the anticipated grant/contract award. It is the responsibility of the PI/PD to ensure that all entries on the *Southern University OSP Routing Form* are complete and accurate.

In order to assist faculty by expeditiously processing proposals, completed proposals (with appropriate signatures) should be submitted to the OSP at least five (5) working days prior to the proposal's mailing date. This amount of time is required for the OSP staff to adequately review the proposal content/context, budgets, and research risks compliance, as well as compliance with departmental, college, university, state, and federal policies and regulations.

Proposal Routing

All properly processed proposals are routed to the OSP for the director's signature of approval for submission. Signed proposals are then routed to the Vice Chancellor for Research and Strategic Initiatives, the University's authorized representative, for the official or final signature of approval. The Vice Chancellor may sign for both the OSP and the ORSI.

Unofficial Proposals

Any proposal not submitted as stipulated in the Policy and Procedures Manual of the Office of Sponsored Programs (OSP) will be subject to forfeiture. The PI/PD should ensure that every effort is made to follow the stated guidelines. Proposals submitted without the proper University authorization will not be signed after the fact, even if funding is awarded later.

Southern University receives funding from Federal, State, Local, and Private funding agencies. One of the criteria for the awarding of funds from the various sources may include matching funds and/or cost sharing requirements. Cost sharing or matching is defined as the total project or program cost not borne by the federal government for federal programs or the awarding agency for all other programs.

The amount and types of cost sharing may vary among agencies and are generally classified as follows:

- **Cash Contributions** – Cash contributions represent the recipient’s cash outlay, including the outlay of money contributed to the recipient by non-federal third parties.
- **In-Kind Contributions** – In-kind contributions represents the value of non-cash contributions provided by the recipient and non-federal property purchased with Federal funds to be considered as the recipient’s in-kind contribution. In-Kind contributions may be in the form of charges for real property, and the value of goods and service directly benefiting and specifically identifiable to the project or program.

The PI/PD must document specific information relative to the source of funding and amount for matching contributions. This information must be submitted to the OSP and the appropriate accountant in the Grants and Contracts section of the Comptroller’s Office. The type of support will vary depending on the cost sharing type. This information should include the standard accounting forms for “Certification of Procurement Other Than Personnel” and “Certifications of In-Kind Contributions”.

Extra Compensation - Priority Ordering Test (POT)

Procedures for awarding individuals extra compensation will follow those specified in the **Implementation Plan for the Extra-Compensation Policy of Southern University and A&M College at Southern University at Baton Rouge**. Occasionally, academic, professional and other employees are asked to assume responsibility for additional duties unrelated to, or independent of, their normal work. The need for allowing extra-work and the related extra-compensation will always be evaluated in view of the advantages to Southern University and A&M College at Baton Rouge (SUBR) and regulations and policies. When such assignments are clearly not a part of the employee's normal assignment, extra-compensation may be permitted in the following instances:

- (1) The extra-work assignment is across departmental lines (e.g., interdisciplinary centers), or "involves a separate or remote operations", and
- (2) The extra-work is explicitly provided for in the Sponsored Agreement or approved in writing by the awarding federal agency.

Release Time and Summer Employment

Whenever the expertise or services of an employee are needed for the performance of some tasks - for the general operation of the University or the execution of a sponsored project, the following shall be applied:

- (1) Released-time from normal workload, tasks, or assignments
- (2) Summer employment of up to three (3) months

All federal agencies require that the University have in place formally promulgated policies related to the topics listed below. The requirement dictates that a certificate of compliance must be submitted prior to the grant or contract award.

Anti-Lobbying (Required since 1989)

Standard form LLL Disclosure of Lobbying Activities certificate provides that no federally appropriated funds have been paid or will be paid, by or on behalf of the person signing the assurances; to any person for influencing or attempting to influence an officer or an employee of any agency; a member of congress, an officer or employee of congress, or an employee of a member of congress in connection with the awarding of any federal contract or grant; the making of any federal loans; the entering into of a cooperative agreement; and the extension, continuation, renewal, amendment, or modification of any federal contract, grant, loan, or cooperative agreement. Further, the certification provides that if any funds other than federally appropriated funds have been paid or will be paid for the services mentioned above, the PI/PD should complete and submit Standard Form LLL-A, "Disclosure Form to Reporting Lobbying," in accordance with its instructions. This certification is a pre-award requirement. Appropriate forms should be a part of the application package or may be secured from the Office of Sponsored Programs.

Conflict of Interest

Southern University and A&M College policy prohibits legal relationships that create or may create the appearance of personal conflicts of interest. Southern University provides that it shall be unlawful for any full-time employee, for himself or on behalf of any business, or for any business in which such employee or members of his family have a substantial interest, to transact any business with an agency by which such employee is employed. A substantial interest is defined as the direct or indirect ownership of more than 25% of the assets of stock of any business.

All questions concerning conflicts of interest should be referred to the University attorneys.

Drug-Free Workplace

The Drug-Free Workplace regulation requires that for all grants awarded after March 18, 1989, the applicant must provide certification that it will maintain a drug-free workplace. In compliance with the Drug-Free Workplace Act of 1989, the Higher Education Act of 1965 (Section 1213) and the Drug-Free Schools and Communities Amendments of 1989 (P.L. 101-226, Section 22) the Southern University System has adopted a Drug-Policy/Education Program for its students and employees. The policy serves as the guidelines for disciplinary actions necessitated by alcohol and drug use during University related activities on and off campus. An educational program has been developed as a companion to the basic requirements set forth by the Federal government to assure the well being of the students and employees. If these forms are not a part the application package, they may be secured from the OSP.

Debarment and Suspension

Certification regarding debarment, suspension, and other responsibility matters is required by the regulations implementing Executive Order 12549, Debarment and Suspension, 34 CFR Part 85, Section 85.510, Participants' responsibilities. The prospective applicant certifies to the best of his or her knowledge and belief that its principals: (a) are not presently debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded from covered transactions by any Federal department or agency; (b) have not been convicted of or had a civil judgment rendered against them for fraud or a criminal offense in connection with obtaining or performing a public transaction; (c) are not presently indicted for or otherwise criminally or civilly charged by a government entity; and (d) have not had one or more public transactions terminated for cause or default within a three-year period preceding the application/proposal. In the event that this form is not part of the application package, a copy may be obtained from the OSP.

Scientific Misconduct Policy

This certification specifies that all allegations of misconduct in science or academics shall be reviewed to determine if an investigation is warranted; documents relating to the allegations are to be kept on file; and a determination made as to whether or not a full investigation is warranted. If so, persons may be selected to serve on an investigation team. The Vice Chancellor shall notify the PI/PD of the determination results. During the various stages of the investigation, steps should be taken to maintain confidentiality. Persons involved in the investigation will be required to sign a certification of confidentiality. The Director of OSP must be notified in the event that there is any reasonable evidence that possible criminal violation is found during an inquiry or investigation.

Protection from Research Risk

Regardless of funding source, all activities performed by Southern University faculty or students that involve: human volunteers or laboratory animals as subjects or that involve recombinant DNA, must be reviewed by the appropriate Institutional compliance committee. The communities are as follows: The Institutional Review Board (for human subject), the Institutional Animal Care and Use Committee, or the Institutional Bio-Safety Committee, for recombinant DNA. The project Director/Principal Investigator (PD/PI) is required to forward applications for review to the Compliance Administrator.

The OSP will assist in ensuring that all projects proposing the involvement of human subjects, animal subjects, the use of recombinant DNA, and use of biohazards are brought to the attention of the appropriate Board/Committee. The OSP will forward to the Compliance Chair any funding proposal it receives and for which there is a question of approval (i.e.: no current letter of approval in the proposal package or OSP records; the statement of work appears to indicate involvement of a protected class, etc.) OSP will forward certification of IRB approval of the proposed research to the appropriate federal department or agency only after all IRB-required modifications have been incorporated to the satisfaction of the IRB.

Federal agencies use procurement contracts and various forms of financial assistance (grants, cooperative agreements, and others) to transfer funds to people and organizations to reach the agency's authorized mission. The type of service or product and the degree of contractor/grantee involvement will determine the type of award given. Grants are usually given in evidence of an end product and deliverable. Contracts require deliverables within a restricted time line and budget. Cooperative agreements are instruments that allow the sponsor and the University to share both the conduct and benefit of the product.

- **Contracts**

Contract types vary according to (1) the degree and timing of responsibility assumed by the contractor for the cost of performance and (2) the amount and nature of the profit incentive offered to the contractor for achieving or exceeding the specified standards or goals. The contract types are grouped into two broad categories: fixed-price contracts and cost reimbursable. The specific contract types range from firm-fixed-price, in which the contractor has full responsibility for the performance cost and the resulting profit or loss. The firm-fixed-price contract provides for a price that is not subject to any adjustments and is most suitable for acquiring certain type deliverables. The cost-plus-fixed-fee type contract requires minimal responsibility from the contractor relative to the performance cost; however, the negotiated fee is fixed. Under the incentive type contract the contractor's responsibility for the performance costs and the fee are tailored to the uncertainties involved in the contract performance.

Cost-reimbursement type contracts provide for payment of allowable incurred costs to the extent prescribed in the contract. These contracts establish an estimate of total costs for the purpose of obligating funds and establishing ceilings that the contractor may not exceed without the written approval of the Contracting Officer.

- **Grants**

Grants are awards of financial assistance in the form of money, or property in lieu of money, that is provided for a specific purpose or service.

- **Cooperative Agreements**

Cooperative Agreements are issued by awarding agencies and are similar to grants. The basic difference between the two is determined by the degree of governmental involvement. Cooperative Agreements provide assistance and establish relationships between organizations and the sponsors, in which both parties pursue stated purposes or activities. Substantial sponsor involvement is expected.

- **Sub-Contracts/Sub-Grants**

Sub-contracts and sub-grants are awards of financial assistance that are authorized and made under the terms of an existing contract or grant and usually are governed by the same terms and conditions as the prime contract or grant unless otherwise specified.

A written notification of award or acceptance of offer will be furnished to the Office of Sponsored Programs (OSP). The award notification will set forth all terms and conditions of the grant or contract. The terms and conditions should include the following information:

- Agency project identification number
- Award period
- Award amount
- Principal Investigator
- Terms of acceptance
- Other applicable information whether listed or incorporated by reference
- Authorized signature of the awarding agency.

Award documents should be transmitted to the OSP by the funding agency. In the event that the award document is received by the PI/PD, it should be transmitted to the OSP immediately. Upon receipt of the award notification, the OSP will review the award to ensure that it complies with the original proposal. The Office will then confer with the principal investigator and other administrators to discuss and resolve any discrepancies.

Acceptance

Official acceptance of an award for the University will be made by the OSP under the authority of the Vice Chancellor for Research. However, in instances as stipulated by the Louisiana Board of Regents, the Chancellor exercises his signature authority for special awards. The Chancellor or his/her designee will make an official acceptance of awards involving international programs. The PI/PD is cautioned not to sign agreements for research and development support (including grants and contracts), cooperative agreements, teaming agreements, Federal and state disclosures and regulatory compliance, patents or copyright licenses, protection from research risk assurances, product sharing, equipment loans or gifts. These and similar agreements bind the University to certain obligations and, as such, can only be signed by the Chancellor or Vice Chancellor for Research who has been delegated signature authority by the Chancellor. Individuals signing agreements to which authority has not been officially delegated are subject to disciplinary actions by the University or separation from the University. Individuals who enter into personal agreements will not necessarily have access to University facilities or be covered by University services, including professional or general insurance and security.

Assignment of Account Number

Once the sponsored award has been executed by both the University and the sponsor, the OSP will transmit a copy of the proposal, award and approved budget to the Office of Sponsored Programs-Accounting to request that an account number (budget code) be established. A copy of the request is sent to the PI/PD.

Advanced Project Account Number (Contingency)

An advance project number provides an account to which expenses may be charged on behalf of an anticipated program prior to receipt of a funded project. An advance project number should not be requested unless there is **strong evidence** that the proposed sponsor intends to fund the project and will recognize that funds expended in advance of the award will be allowable. Request for an advance project number, if a pre-award account is deemed essential for the

project, must be submitted in writing by the PI/PD to the Vice Chancellor for Research and Strategic Initiatives. A letter is then transmitted to the Chancellor, requesting approval for issuance for contingency funding. If approved, a letter bearing the Chancellor's signature is returned to OSP and processed for a temporary contingency account code. A pre-award account will then be established according to the guidelines and regulations of the sponsor and the University.

OSP will provide the following information to the campus unit that requested the advance contingency account.

- The project account number
- The amount authorized
- The approved time period

In some instances, renewals and continuations may be made to the University without the submission of a formal proposal.

Budgeting Guidelines

The budget (also called the cost or business proposal by some sponsors) is the Principal Investigator's best estimate of the total cost to conduct the proposed project and in funding, required from the sponsor. It is important to keep in mind that, upon submission of the proposal, the budget becomes a firm commitment on the part of the University to perform the proposed work at the proposed costs. The budget must reflect all of the activities included in the technical proposal, and anticipate all of the costs which will be incurred in carrying it out.

The first step in preparing a proposal budget should always be to review the application materials and guidelines provided by the sponsor. Budget forms or formats provided by the sponsor should always be used. In addition to specifying a form or format, sponsor guidelines will also provide information concerning; (a) limitations, if any, on funds which the sponsor will provide; (b) allowable costs; (c) requirements for costs sharing or matching; and (d) any other special financial information.

Two distinctly different types of cost comprise the total cost of any sponsored program: direct costs and indirect costs, which are now, called Facilities and Administration (F&A) costs. Direct costs are those costs which the University's accounting system can easily and accurately identify with, and charge to, specific projects. F&A costs, in contrast, are incurred while providing facilities and support services simultaneously to many or all of the University's sponsored programs.

Salaries & Wages

Salaries and wages of faculty and staff are a direct cost of the proposed project and should be budgeted in proportion to the fraction of full time effort each faculty and staff member will devote to the project. For example, if the principal investigator will devote 25% of his or her time to the proposed project, 25% of his or her salary should be included in the proposed budget. Included in this section of the budget should be all personnel who will work on the project, with the principal investigator appearing first, then other senior personnel, or research assistants. For each person or position, the following information should be included for each period: (1) the percentage of effort each will devote to the project; (2) the annual salary; and (3) the total salary support requested from the sponsor.

For academic year employees, salary requests for the academic year and summer months should be listed separately. The respective Dean and the Vice Chancellor for Academic Affairs must approve faculty effort.

Secretarial Salaries

Salaries for secretaries should not be budgeted on Federal applications unless the services can be justified and dedicated to the work of the project. Applications for large center grants and programs that require extensive administrative support may allow secretarial support subject to agency approval. The Government does not allow charges for general departmental secretarial support. This policy is also applied to non-federal applications to maintain consistency for audit purposes.

Employee Status

Any person named in a proposal should be an employee of the University (or a person who has accepted an offer of employment). Please note the status of each faculty included in the proposal (9 or 12 month).

Fringe Benefits

1. Faculty & Staff Salaries 38.88%

The fringe benefit rate of 38.88 % is an average rate that represents the cost for normally charged fringe benefits. The average benefit is composed of several categories. If the sponsor requires that fringe benefits be budgeted using rates for each category, the University's approved individual rates for fringe benefits can be obtained from the Office of Sponsored Programs.

2. Students (summer employment & not enrolled in University) – charge 7.78%.

3. Students (academic year or summer - enrolled in University) - no charge.

Equipment

Equipment means an article of non-expendable tangible person property having a useful life of more than one year, and an acquisition cost of \$250 or more per unit. Only items that meet this definition should be budgeted on the "Equipment" line of budgets. Items less than \$250 should be listed in the "Supply" category.

Materials and Supplies

Included in this category are all expendable supplies and tangible property having a unit acquisition cost of less than \$250 or a useful life expectancy of less than one year. Supplies should be listed in the budget by type (i.e., office supplies, laboratory supplies, etc.) and estimated costs.

Travel

Itemize the expenses for each person that will travel in conjunction with the responsibilities of the proposal. Each trip should be listed separately and include the (a) destination, duration and purpose of the trip; (b) persons traveling; (c) round trip coach airfare; (d) surface transportation charges; (e) per diem or actual hotel and meal costs as allowed by sponsor or the University; and (f) any other related expenses such as conference registration costs.

Consultants

Consultants should be named and/or their specialty identified in the budget. The budget should also detail the consultant's daily or job rates, number of days employed, travel costs, and any related expenses. Consultants are independent contractors engaged to provide essential services to a sponsored program, which cannot be provided by an employee. Generally, these services are provided either during a short period of time or intermittently throughout the project. However, the consultant's services are always provided without direct, day-to-day supervision by the principal investigator. Tax and

labor laws make it essential that University employees not be classified and compensated as consultants or vice versa.

Designation of independent contractor status is governed by the Internal Revenue's Code of Common Law. The University may be subject to significant institutional tax penalties should the individual be correctly classified as an independent contractor. Federal sponsors also expect that consultants will be retained only when the needed services are short term and cannot be provided by an employee. The federal government requires selection of consultants through an open and objective process.

Subcontracts

List the total for all subcontracts on a "Subcontract" budget line. Verify that the subcontractor's statement of work is included in the body of the proposal and that there is an appropriate budget. The subcontractor should prepare a detailed budget for each year and a cumulative budget using the subcontractor's fringe benefit and overhead rates. A copy of the subcontractor's negotiated Facilities & Administrative Rate Agreement should be forwarded to the Office of Sponsored Programs. An officially authorized representative who is contractually committing the organization should endorse the subcontractor's proposal. Some sponsors require that the subcontractor submit a letter of commitment stating a willingness to participate in the project in the event that it is funded.

Budget Explanation (Required)

- ◆ Provide budget explanation for each of the proposed budget categories in the same order as listed in the budget;
- ◆ Document faculty release time to reflect the level of effort and the period for which faculty release time is requested;
- ◆ Provide the current base salary for all faculty; and
- ◆ Indicate summer salary on a separate line, not to exceed three months.

Sample Budget Explanation

Senior Personnel

Principal Investigator: 25% effort during the academic year/spring semester/fall semester @ \$50,000 (AY Salary) x .25 = \$12,500

Principal Investigator: two months summer @ 100% = \$11,111
\$50,000 (AY Salary)/9 months=Rate/month = \$5,555.55 x 2 months = \$11,111

Graduate Student = \$11,997/AY (\$1,333 x 9 months)

Consultant: \$300/day x 15 days = \$4,500

Travel: (\$400 airfare/person x 2 person) + [\$35/day (per deim) x 2 persons x 2 days] + [\$100 (registration fee) x 2 persons] + \$80 (ground transportation) = \$1,220

Supplies:	Chemical Supplies	500
	Cryogenics	<u>1,600</u>
	Total	\$2,100

Equipment:	Chemical Analyzer	7,000
	Centrifuge	<u>12,000</u>
	Total	\$19,000

Other:	Mailing Costs	500
	Publication Costs	<u>1,000</u>
	Total	\$1,500

It is the responsibility of the PI/PD to control personnel expenditures within the limits of the budget for approved sponsored projects. In order to expend funds, the PI/PD must prepare the appropriate expenditure documents relative to personnel employment.

Persons working on sponsored projects or programs are subject to the same personnel policies and procedures that are in effect for employees hired through state funding sources. Reference materials, including the Faculty Handbook and the general Personnel Manual are available in the Office of Personnel Services. No one shall be permitted to start work prior to the final approval of the appropriate Electronic Personnel Action Form (EPAF).

All persons employed on or through grants or other sponsored programs, whether full-time or part-time, are temporary employees whose employment terminates automatically once the grant expires. Grant and other sponsored program employees, whether full-time or part-time, who are employed on grants or sponsored programs with academic faculty rank are indeterminate. That is, academic faculty rank is for the life of the project only and terminates automatically once the project expires.

Specific Responsibilities of the Office of Sponsored Programs are enumerated below:

- (1) Four (4) original (4 copies) of the contract must be submitted to the Office of Contractual Review (OCR).
- (2) Contracts are sent to OCR before the effective date of the contract, however, if submitted later than sixty (60) days after the effective date, you must provide written justification for the delay.
- (3) Each contract for professional, personal, consulting or social services shall include the following:
 - a. Name of Agency and Contractor (complete address, type of business, telephone number),
 - b. Name of person (PI/PD) responsible for executing request for payment and certifying that the work or service contracted for has been performed as agreed,
 - c. Provide a Scope of Work (SOW) which describes the work to be performed and objectives to be met,
 - d. Payment terms,
 - e. Termination clause,
 - f. Auditors statement giving the Legislative Auditor the authority to audit records of the individual or firm,
 - g. Period of Performance,
 - h. Description of reports and other deliverables to be received when stated in the contract,
 - i. When travel and other reimbursable expense are involved, language to this effort should be included:
 - A. Travel and other reimbursable expense shall constitute part of the total maximum payable under the contract; or
 - B. No more than (a certain sum) of the total maximum amount is payable under this contract to be paid or received as reimbursement for travel and other reimbursement expenses; and
 - C. Travel expenses shall be reimbursed in accordance with the Division of Administration Policy and Procedures Memorandum No. 49 (Revised).
 - j. Include anti-discrimination clause as directed by the American with Disabilities Act of 1990.
 - k. If the contract is for consulting service, the contractors resume should be included with the contract.
 - l. If the contractor is an out-of-state corporation, it must be registered with the Secretary of State and a copy of the Certificate of Authority should be included with the contract.
 - m. If the contractor is a corporation, profit or non-profit, contract must be accompanied by a resolution from the Board of Directors of the corporation authorizing the signature for the corporation.
 - n. If the contractor is a for-profit corporation whose stock is not publicly traded, proof that a disclosure of ownership form has been properly filed with the Secretary of State's Office must be submitted with the contract.
 - o. Southern University may approve contracts for \$20,000 or less without the OCR review and approval. However, Southern University must submit quarterly reports to OCR as required.
 - p. If the contract requires data processing, it must include a Y2K Compliance clause.

- q. Be accompanied by a signed budget form BA-22
- r. Be accompanied by a certification letter unless the maximum amount is less than \$50,000.
- s. Be accompanied by a letter of justification of contract term if longer than 12 months.
NOTE: Multi-year contracts and contracts crossing fiscal years must contain a fiscal funding clause.
- t. Be accompanied by a W-9 form.

Information required for subcontracts by Principal Investigator/Project Director

- 1. Statement of Work
- 2. Timeline Deliverables
- 3. Measures of Performance
- 4. Monitoring Plan
- 5. Budget
- 6. Period of Performance
- 7. Contact Persons (name, address, and telephone number)
 - a. P.I. on subcontract
 - b. Administrative person

Guidelines for Submitting Amendments to Contractual Review

- A. No-Cost Extensions (amending the contract only to extend the ending date, with no change in the maximum amount).

Submit: Two copies of amendment. At least one copy must have original signatures.

NOTE: If the original contract was for a period of less than 12 months, and the amendment is extending beyond a 12-month period, include - **MULTI-YEAR EXPLANATION.**

- B. Amendments to increase the maximum amount of the contract.

Submit: Two copies of amendment. At least one copy must have original signatures.

(1) BA-22 form for the amount of the increase.

(2) If Civil Service approval was required for the original contract, then it will be required for any amendments that add money to the contract.

- C. Amending certain language from the contract (i.e., scope of services or allocating the next year's expenditures already approved by OCR in the original contract).

Submit: Two copies of the amendment only.

- D. Amendments to contracts with corporations, the board resolution and disclosure of ownership do not have to be submitted if there was no change in the corporation.

A "No-Cost Extension" is a contractual action to extend the time authorized to complete a project without any increase in sponsor funding. Requests for no-cost extensions should be submitted as soon as it becomes apparent that the project will not be completed on time. The sponsor may not approve requests that are not submitted in a timely manner or those have not been adequately justified. It is recommended that the Office of Sponsored Programs informally review all extension requests.

The Project Director/Principal Investigator should notify the OSP office as soon as they know that a contract will not be completed on time. The OSP office will discuss any required action and provide advice on obtaining the extension.

*The National Science Foundation requires that grantee requests for first-time, no-cost extensions be submitted via FastLane. *The Project Director (grantee) may exercise a one-time extension of the expiration date of the grant of up to 12 months, if additional time beyond the established expiration date is required to assure completion of the original scope of work within the funds already made available. At least ten days prior to the expiration date specified in a grant, the grantee must submit a request via FastLane to the NSF Grants Officer. NSF notifies the OSP upon receipt. This request must give reasons for the extension and the revised expiration date, to ensure accuracy of NSF's grant data. This one-time extension may not be exercised merely for the purpose of using the unliquidated balances. For extensions provided by organizations, no amendment will be issued.*

When a change in Principal Investigator/Project Director on a sponsored project becomes necessary, sponsor approval/notification may be required. Requests to change a PD/PI should be routed to the Vice Chancellor for Research from the Department/Division/School/Laboratory for processing. The request should include the name of the nominated replacement, along with a current biographical sketch and a full justification for the requested change.

The OSP will submit the request to the sponsor, if required, and will update the contract file. In the event of a sponsor objection to the nominated replacement, OSP will contact the requesting campus department.

Project closeout is an administrative process that is handled by the Post-Award Specialist assigned within the Office of Sponsored Programs (OSP). A pre-closeout review is conducted to verify the project's status. The Post-Award Specialist then issues a Notice of Project Closeout and a Patent and Subcontract Questionnaire when applicable. The notice of project closeout indicates the required closeout actions and is distributed to the project director, accounting office, and others as appropriate. The requirements for project closeout are established by contractual provision and/or agency regulations.

The Post-Award Specialist monitors the submission of closing documents by recording the date that items are received. When all close out actions are completed, the project history is printed from the OSP database and becomes the permanent record of the project. Permanent records are maintained in logbooks filed in the OSP file room and arranged by project number and unit.

Reports and other deliverables are distributed by the Office of Sponsored Programs to the sponsoring agency, when required. The deliverable schedule is provided to the PI/PD in the project initiation and/or amendment package. Reports and other deliverables may be distributed in one of several ways.

Technical Report: This report is required by the funding agency for all grants. It is due 30 days after the completion of the project or when specified by the agency. The Principal Investigator creates this report, and must submit a copy to the OSP and the funding agency.

Patent Report: Required whether or not there was an invention. All information needed for the completion of this report must be provided by the Principal Investigator to the OSP office as soon as the project is completed.

Property Report: The PI/PD provides the type, condition and availability of all equipment's purchased under that particular grant. This information is used to complete the property report and forwards it to the funding agency. It is required whether or not equipment is purchased.

Cost Report: This report is required for all awards. It is completed by the Office of Sponsored Programs-Accounting, and made available to the OSP and the funding agency. It details all transaction in a particular award.

Please remember that the Principal Investigator must sign off on all reports before it is forwarded to the funding agency. Contact the OSP for all appropriate forms needed for any of the close out reports.

- **Distribution by E-mail:** If allowed or required by the contract or grant, the PI/PD may e-mail reports directly to the sponsor. Each email is to be copied to OSP at this address: OSP@subr.edu. One paper copy of the report is to be submitted to OSP for documentation of submission and for archiving purposes. First time emails for each project copies to OSP must include the following identifiers:
 - Project Number
 - Lab/School/Department/Center
 - Report Title
 - Period Covered

Subsequent deliverable email submissions for the same project should be copied to OSP with these identifiers:

- Project Number
- Period Covered

Reports to National Science Foundation Via FastLane: The National Science Foundation requires that all reports - interim, annual, and final - be submitted electronically via FastLane. The NSF notifies the Office of Sponsored Programs when those reports are submitted and the OSP then accesses the report via FastLane. The OSP downloads copies for archiving and enters the submission date into the database.