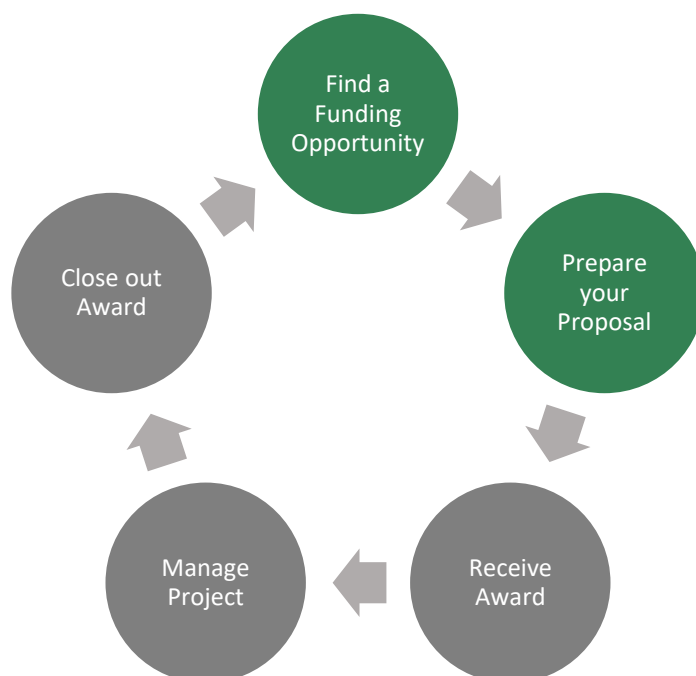


# Grants, Research and Sponsored Programs

## Handbook Part I:

### Proposal Development and Submission Guide



**The Office of Grants, Research and Sponsored Programs**

**Slippery Rock University**

**August 30, 2023**

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This handbook is designed for faculty and staff interested in applying for research and sponsored program funding and is intended to be your primary resource for managing your grant or contract. It provides nuts-and-bolts guidance on how to be a responsible and effective steward of sponsor and university funds. The roles and responsibilities of all parties, opportunities to find funding, and process for applying for and submitting a proposal are described within this handbook.

For information about applying for research and sponsored programs, managing sponsored programs and complete policy documents, please visit the [Grants, Research and Sponsored Programs website](#).

All cited policies and forms, notated in ***bold italics***, throughout this handbook can be found on the [Policies and Forms](#) webpage of the GRASP website.

As always, the staff of the Grants, Research and Sponsored Programs Office is happy to provide assistance, so please feel free to contact us for additional guidance!

## **1 THE OFFICE OF GRANTS, RESEARCH AND SPONSORED PROGRAMS**

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The Office of Grants, Research and Sponsored Programs (GRASP) assists faculty and staff in the pursuit and management of external funding from Federal, state and private sponsors. This handbook will guide you through the “pre-award” stages of the sponsored programs lifecycle, which begins with finding a funding opportunity and ends with submitting your proposal.

The GRASP Office is responsible for ensuring compliance with Federal regulations and laws, sponsor-specific guidelines and the policies and procedures of Slippery Rock University (SRU). We will collaborate with you and other campus partners such as the Slippery Rock University Foundation Inc. and the Grant Accountant in the development and submission of your proposal.

The GRASP Office provides support and assistance with:

- Searching for grant opportunities;
- Determining eligibility for funding;
- Interpreting sponsor guidelines;
- Creating a proposal preparation timeline and checklist;
- Providing institutional information and documentation;
- Assisting in budget development; and
- Facilitating institutional review and approval.

**All requests for externally funded sponsored projects require administrative approval.** A faculty member, department chair, director, dean or other SRU employee should never sign or submit a proposal on behalf of the University without first routing it through the GRASP Office. Before a proposal, grant or contract agreement can be submitted it must be approved by the authorized organizational representative (AOR). At SRU, this authority is delegated to the President and the review process is coordinated by the GRASP Office.

### **1.1 GRASP CONTACTS**

Casey Hyatt, Director, [casey.hyatt@sru.edu](mailto:casey.hyatt@sru.edu), 724-738-2045

## 1.2 PRE-AWARD LEARNING OPPORTUNITIES

The GRASP Office offers customized individual, departmental and general sponsored project proposal trainings on an as-needed basis:

- **Individual Consultations**
  - The Director is available to sit with potential grant writers to review the RFP and create a proposal action plan. Please contact the GRASP Office to schedule a 1-on-1 meeting based on your needs.
- **Departmental Trainings**
  - The GRASP Office is available to create customized sponsored project-related trainings for your department. Please contact the GRASP Director to develop and schedule a customized training.

## 2 COMMON TERMINOLOGY

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- **GRASP** – Grants, Research and Sponsored Programs
- **RFP** – Request for Proposal
- **FCOI** – Financial Conflict of Interest
- **PI/PD** – Principal Investigator/Project Director
- **AOR** – Authorized Organizational Representative
- **Cost Share/Match** – University committed financial resources

## 3 ROLES & RESPONSIBILITIES

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Applying for a grant/sponsored project is a collaboration between the GRASP Office, the PI/PD(s), the PI's department/college(s) and administration. Depending on the nature of the proposal, SRU Foundation Inc. may be involved as well.

As the project director, you are responsible for seeing that your project is conducted as described in the proposal and that the project goals are being met. If changes in the original proposal are necessary, discuss the problem and its resolution with the Grants Office and, if necessary, the funding agency. Copies of all correspondence resulting in changes in the proposal or funded project should be sent to the Grants Office, which will forward a copy to Accounting Services. All changes in the budget must be approved by Accounting Services before being submitted to the funding agency. Please allow three working days for the review of the revised budget. Stay in touch with the funding agency; send copies and/or notices of publicity and publications as they happen. Try to develop a genuine working relationship with your program officer.

### 3.1 Role of GRASP Office

- Communicate required tasks/documents and deadlines with PI/PD;
- Assist in proposal budget development;
- Provide institutional documentation when required;

- Review proposal for completeness and compliance;
- Obtain administrative signatures ;
- Facilitate submission of external funding applications;
- Facilitate compliance with sponsor and university guidelines/policies; and
- Facilitate stewardship and administration of funds received.

### **3.2 Role of Principal Investigator/Project Director**

- Identify compatible funding opportunity;
- Notify the GRASP Office of intent to submit a proposal;
- Develop the scope of work/project narrative;
- Develop project budget;
- Communicate project with chair and dean/director;
- Compile complete proposal per sponsor guidelines;
- Complete the GRASP Office Transmittal Form for External Proposals and obtain division signatures;
- Complete Statement of Financial Interest forms on an annual basis and return to the Human Resource Office, if applicable; and
- Meet college/division and GRASP Office deadlines.

### **3.3 Role of the Department/College**

- Approve academic year course releases;
- Ensure summer commitments (including teaching, service, etc.) do not exceed university allowability;
- Approve of cost share and provide source of cost share funds; and
- Sign the Transmittal Form for External Proposals prior to GRASP Office deadline.

## **4 FIND FUNDING**

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There are numerous platforms available to faculty and staff interested in pursuing external funding for a project proposal. Below is a non-exhaustive list of some of the key resources. Please view our website for links to more resources.

### **4.1 SPINPlus Funding Opportunities Database**

The GRASP Office subscribes to the SPINPlus Funding Opportunities Database. SPINPlus is web-based system that allows SRU community members to search for funding from various sources. **SPINPlus** includes three product modules: **SPIN**, **SMARTS**, and **GENIUS**.

**SPIN** is a funding opportunities database designed to provide up-to-date information on current national and international government and private funding sources. All of the data in **SPIN** is obtained directly from the sponsoring agencies to ensure the integrity of the information.

**GENIUS** is a global WWW network and database of scientific and scholarly expertise. The system contains profiles entered and maintained by scholars and researchers at leading universities and

research institutions throughout the world. Genius serves as a registry of institutional talent and expertise to be used by industry and academia and provides a searchable resource for identifying interest and expertise for industry/university partnering, global partnering, and sponsored funding matches.

**SMARTS** is an electronic matching and funding opportunity notification system which provides investigators with a direct and targeted electronic link to comprehensive, current, and available national and international research funding information. The investigator profile information is collected via forms in Genius and used for matching with the Spin database. Matching is conducted on a daily basis and programs are automatically emailed to individual researchers.

If you are interested in receiving information on possible funding opportunities, please complete the Grant Seeker Profile form found on the [GRASP Office webpage](#) and submit to the GRASP Office. The Grant Seeker Profile form requires you to enter keywords that correlate with your idea. You must use words found in the SPINPlus thesaurus, also found on the GRASP Office webpage. SPINPlus will automatically email you funding announcements based on your keywords.

#### **4.2 The Grants Resource Center (GRC)**

GRC, a unit of the American Association of State Colleges and Universities (AASCU), provides access to a comprehensive suite of tools, services and expertise to increase the success in securing competitive grants from federal and private sponsors.

The GRASP Office reviews Federal grant announcements, agency alerts and industry publications each day and sends email notifications to faculty and staff who may be interested in the funding opportunities.

Faculty and Staff can create their own account through GRC.

Benefits of creating an account:

- Receive federal and private funding alerts;
- Find strategic insights and reliable context about the agencies and organizations providing higher education funding opportunities;
- Use customizable filters to search through more than 1,500 federal and private higher education-focused funding opportunities; and
- Leverage examples of successful grant proposals, funding webinars, and tailored support to identify and secure best-fit funding opportunities.

Create your account [here](#)!

#### **4.3 Federal Opportunities**

[Grants.gov](#) is an aggregated database of all federal funding opportunities. If you are interested in a particular federal agency, you can either filter by the agency or go directly to their webpage for specific opportunities.

Grants.gov provides dozens of educational resources to assist in navigating the website. Once you are in grants.gov, click on the “Learn Grants” option in the menu bar to enter the Grants Learning Center and familiarize yourself with [grants.gov](#) and federal grant policies.

#### 4.4 Foundation Grants

Foundations normally only fund 501(c)(3) non-profit charitable organizations. Slippery Rock University Foundation, Inc. is a 501(c)(3) non-profit organization that has been approved by the Internal Revenue Service as a tax-exempt, charitable organization. Slippery Rock University Foundation, Inc. exists to generate, develop and steward charitable gifts and other resources to support the priorities of Slippery Rock University. If a sponsor requires a 501(c)(3) organization to be eligible to submit a proposal, the proposal can be submitted through Slippery Rock University Foundation, Inc. The proposal will still go through all of the administrative approval processes as a proposal that is not submitted through the Foundation Office.

#### 4.5 Internal Opportunities

Additionally, SRU offers internal funding opportunities such as:

- Faculty/Student Research Grants
- Student Research, Scholarship and Creative Activities Grants
- The Green Fund Grants
- Norton Undergraduate Research Scholarships
- Summer Collaborative Research Experience (SCORE) Grants

Please visit the [GRASP Office](#) website for the most up-to-date information about the above-referenced internal grants.

### 5 NOTIFICATION OF INTENT TO SUBMIT

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The GRASP Office is here to assist in all aspects of the project lifecycle, including preparation of the project budget, writing, editing, or providing feedback, routing for approvals, submitting the final proposal, and helping you set-up and manage the project upon receipt of the award.

If you are interested in pursuing external funding, you are encouraged to contact the GRASP Office at the earliest stage of the project development, specifically prior to contacting the public or private funders to ensure that the application is developed in compliance with university and sponsored policies, and that proposals can be developed and submitted in a timely manner.

All proposals to external sponsors are **required** to be submitted through the GRASP Office for internal administrative review and approval. Your proposal must be submitted to the GRASP Office at least 5 working days prior to the sponsor's deadline date.

Please see the *External Grant Project Lifecycle and Proposal Submission Timeline* on the GRASP webpage at: <https://www.sru.edu/offices/grants-research-and-sponsored-programs>

***The sooner you can notify the GRASP Office, the better!***

### 6 PREPARE SPONSORED PROJECT APPLICATION

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The PI/PD is responsible for developing the project and proposal narrative. The GRASP Office can assist in developing the budget. The following are resources to assist in this process:

## 6.1 Project Development

The following steps are not requirements but suggestions on how to develop your project and write your proposal narrative. It is important to follow the specific instructions and guidelines for the RFP for which you are applying. We suggest reviewing the sponsor's mission and priorities to best align your project with their funding priorities.

### 6.1.1 General Proposal Contents

Proposal contents will vary by agency and foundation. Each governmental agency will have very specific guidelines and requirements. For example, in addition to the requirements described by each RFP within the National Science Foundation, they also have a "Proposal and Award Policies and Procedures Guide," (PAPPG) that every proposal must adhere to.

The following generic proposal template contains the standard requirements expected of many private and corporate foundations (though the elements are typically included in a different format for government agencies – be sure to follow the outline contained in the sponsor's guidelines):

- I. Summary
  - a. This section should include information for those readers who will not read the entire document, but who will need a summary of the proposal.
  - b. Should remain on a separate page and not exceed one page.
  - c. Should contain the following elements: Brief identification and purpose of your organization (describe both SRU and you/your department or center); the purpose and anticipated end result of this proposal; the type and amount of support requested; the total anticipated budget; and any other information you deem pertinent.
  - d. Even though this section appears first in the document, it is usually written last!
- II. Introduction
  - a. Introduce your organization here. It is best to begin by explaining how and why your organization was founded. It is also a good idea to provide a mission statement so that your readers know who you are and what you do.
  - b. Your introduction can include information such as the purpose of your organization, a description of its activities, its target population, and evidence to show that it is a healthy organization.
- III. Problem/Needs Statement: Why?
  - a. Identify the needs or problems to be addressed. Include the target population and any statistical information that you may have.
  - b. Ideas for information to include are length of time needs/problems have existed; whether problem has ever been addressed in the past and what that outcome was; impact of problem to population; and impact of problem to surrounding populations.
- IV. Goals & Objectives: What?
  - a. State the desired goals and objectives to address the needs/problems stated above. Also include key benefits of reaching goals/objectives.



- i. Specific & measurable goal 1
  - ii. Specific & measurable goal 2
  - iii. Specific & measurable goal 3
- V. Procedures/Scope of Work: How? Where? When? Who?
  - a. Provide detailed information about proposed procedures and the scope of work. Include information on activities such as recruiting, training, testing and actual work required.
  - b. This is where your logic model (see below) can come in handy.
- VI. Timetable
  - a. Provide detailed information on the expected timeline for your project. Break the project into phases, and provide a schedule for each phase. You can also use a Gantt chart for a more detailed project timetable.
- VII. Budget
  - a. State the proposed costs and budget of the project. Also include information on how you intend to manage the budget.
- VIII. Key Personnel
  - a. List the key personnel who will be responsible for completion of the project, as well as other personnel involved in the project.
- IX. Evaluation: How will you measure success?
  - a. Discuss how progress will be evaluated throughout and at the end of the project.
  - b. Formulated clear indicators for each objective and result.
  - c. Indicated how and when to conduct monitoring and evaluation activities to determine project's progress and outcome.
  - d. State which methods will be used to monitor and evaluate the project.
  - e. Identify who will carry out the project evaluation.
- X. Endorsements
  - a. Provide the names and addresses of individuals and companies who support and endorse the project.
- XI. Sustainability: What's next?
- XII. Appendix: Provide supporting material for your proposal (if requested):
  - a. Company history
  - b. Research materials
  - c. Statistics or estimates
  - d. External quotes or tenders
  - e. Detailed cost/benefit spreadsheets
  - f. Other relevant information or correspondence

### 6.1.2 Logic Model

A logic model is a diagram used to show the relationship between your proposed actions and expected results. This model is often used by funders to evaluate the effectiveness of a program. Some grantors, particularly private foundations, may require logic models. However, even if they are not required, they are a useful exercise to help map out and design your project. Below is an example of a logic model template:

Resources/Inputs	Activities	Outputs	Outcomes	Goals
The assets you need to succeed with this project	The broad-brush type of activities you will engage in	The quantifiable units of value that you will deliver	The desired change in knowledge, behavior, or attitude resulting from the outputs	The ultimate reason why you hope to attain your outcomes

Source: Howlett, S. & Bourque, R. (2011). *Getting Funded: The Complete Guide to Writing Grant Proposals*.

Dozens of additional Logic Model tips, resources and templates can be found on the internet by simply searching “logic model.”

### 6.1.3 Grantwriting Resources

The internet provides an abundant source of grantwriting resources. Additionally, many private sponsors and federal agencies provide grantwriting and proposal development tips and guidance’s on their websites. Below is a non-exhaustive list to get you started:

#### General Grantwriting Resources

- [On the Art of Writing Proposals](#) by Adam Pzeworski and Frank Salomon from the Social Science Research Council
- [Grantspace](#) has tons of grantwriting resources as well as a free online tutorial: [Proposal Writing Short Course](#)
- Guidestar [Grant Writing 101: Resources for Grant Writers](#)
- From the Chronical of Higher Education: [The Buck Starts Here](#)
- [The Ford Foundation’s list of organizations](#) that “offer useful information about philanthropy and may serve as a resource to help you identify possible funders.”
- Federal Grants Wire’s [How to Write a Federal Grant Proposal](#)
- [The Proposal Writer’s Guide](#): Overview created by the University of Michigan Research and Sponsored Projects

#### Sponsor-Specific Resources

- EPA – [Environmental Protection Agency grant opportunities and resources](#)
- Grants.gov [Grants Learning Center](#) – “your gateway to the federal grants world”
- HRSA – [Health Resources and Services Administration – Tips for Writing and Submitting Good Grant Proposals](#)
- NEH – [National Endowment for the Humanities – A few hints for writing a successful grant application](#)
- NIH – [National Institutes of Health – Grant Writing Tip Sheets](#)
- NSF – [National Science Foundation - A Guide for Proposal Writing](#)
  - [NSF Proposal & Awards Policies & Procedures Guide \(PAPPG\)](#)

#### 6.1.4 Network

Additionally, peers in your discipline, particularly seasoned PI/PD's are an excellent resource. Be sure to network amongst your department, college, within SRU and in professional networks!

### 6.2 Budget Development

All cited polices and forms, notated in ***bold italics***, throughout this handbook can be found on the [Policies & Forms](#) webpage of the GRASP website.

In developing a budget, please use the budget spreadsheet as specified by the funder. If a format is not specified, please visit the GRASP webpage at <https://www.sru.edu/offices/grants-research-and-sponsored-programs/budget-and-faculty-compensation> to find a general budget template.

The proposal budget plays an important role in your proposal package as it tells how you plan to accomplish the work described in your narrative. The budget must be feasible for the scope of work (not too high or too low). The budget developed at this stage will carry on through the life of the project so it is imperative that all costs be evaluated beforehand. If the proposal solicitation advertises a maximum amount that can be proposed, then your scope of work must be reasonable within that amount.

Expenditures must be limited to the budget (by line-item) agreed upon by SRU and the funding agency. You must oversee all spending and you are responsible for any deficits associated with your cost center (i.e., grant or contract account). The project director is the only person who has complete and up-to-date information on the financial status of the project. You should monitor your cost center and have all errors promptly corrected. Note that Accounting Services will assist you with any financial problems you may encounter.

Some initial questions to ask yourself and your project team include:

- What will it take to accomplish your scope of work?
- Who will be involved?
- What supplies/materials/equipment will you need?
- How and where will the project be complete?

#### 6.2.1 Allowability, Allocability, Reasonableness

All components of a sponsored project budget must be *allowable*, *allocable*, and *reasonable* as defined in the OMB Uniform Guidance ([2 CFR 200.403-405](#)).

- **Allowability** – Is the charge allowable? Consider:
  - Specifications of the program solicitation and funder's financial policies
  - If federally funded, must adhere to CFR 200 federal cost principles
  - All awards must adhere to SRU policies
    - Is it included as an indirect or direct cost? (It cannot be both and must be treated consistently)
- **Allocability** – Is the item/cost allocable to this particular project only?
  - It should solely advance the work in this proposal
  - If it benefits two or more projects, it should be reasonable and proportionately paid for and documented.

- **Reasonable** – Would it withstand external review by a prudent individual?
  - A cost is reasonable if, in its nature and amount, it does not exceed that which would be incurred by a prudent person under the circumstances prevailing at the time the decision was made to incur the cost.
  - It reflects market prices for comparable goods or services in the geographic area.

## 6.2.2 Primary Budget Components

- **Personnel** – SRU faculty and staff salary
- **Fringe** – if SRU faculty or staff are paid from the award, the budget will always need to include fringe benefits at the current rate
- **Student wages** – in accordance with Payroll’s current student wage rates
- **Goods/Services** – supplies and materials, vendor services
- **Travel** – typically field research trips, visits with collaborators, or professional meeting to disseminate your project findings.
- **Equipment** – specifically allocated for this project
- **Consulting** – external professional services that cannot be accomplished by SRU personnel
- **Subcontracts/subawards** – when collaborations with other institutions/agencies are included
- **Participant support** – expenses specifically for trainees/program attendees if hosting a conference or workshop (if allowable)
- **Facilities & Administration (or Indirects)** – the unallocable costs of the institution to do business and accommodate the project (always included on federal awards at the negotiated rate; always sought on private awards at the sponsor’s allowable rate or SRU’s default)

*Grant Budget Development Tips* can be found on the GRASP Office webpage at <https://www.sru.edu/offices/grants-research-and-sponsored-programs/budget-and-faculty-compensation>.

## 6.2.3 Basics of the Primary Budget Components

### 6.2.3.1 Personnel

All salary on a sponsored project must adhere to the *Employee Compensation for Sponsored Activities for State System Universities Procedure/Standard Number 2018-32*. The policy can be found on the GRASP webpage at <https://www.sru.edu/offices/grants-research-and-sponsored-programs/forms-and-policies> under *PASSHE Compensation Policy*.

- Faculty salary: (rates vary by individual)
  - Release Time/Alternate Workload Assignment (Academic year) = salary subvention (1 course release typically = 25%; it may vary by department – please check with your department chair); requires chair/dean approval

- Dual Employment (Extra Service Pay) = Must be specifically identified in budget as such. Amount is calculated as Academic Annual Salary (based on rank/step) divided by 30 weeks (academic year [two 15-week semesters]) divided by 37.5 (standard workweek) = Hourly Rate of Pay. Requires the Dual Employment Form to be completed, sent to chair and dean for approval then sent to Human Resources, who will send to the Provost and then Payroll.
- Summer Employment = max amount is 12 weeks for all summer commitments, including teaching. Summer contracts must be generated prior to April 15<sup>th</sup> of each year. If you awarded after this date and will be doing work in the summer, you must notify the GRASP Office. If work will be done after graduation, a summer contract must be submitted. Grant Accounting will send information to the Interim Associate Provost for Academic Finance, Planning and Strategic Initiatives according to your grant agreement, who will then send the information to Payroll.
- Staff/Administrative salary:
  - Only when allowable by funder & justified
  - Always salary subvention; percentage of overall effort/salary (i.e., 20% of 1 FTE)
- Fringe benefits are always applicable to SRU staff and faculty compensation included on a proposal budget at each individual's rate (provided by Human Resources).
  - Applies to all staff and faculty compensation
  - Summer benefit rate only includes FICA and Retirement
  - If cost share is not provided by SRU as cash match or not allowed by the sponsor, fringe benefits must be paid by the sponsor

### 6.2.3.2 Student Compensation

Applies to SRU students as employees included in the proposal and must adhere to the ***Student Compensation on Sponsored Projects policy***:

- Students are paid an hourly wage
  - 2 CFR 200 – must pay students in like jobs, like money; adheres to IRS & Affordable Care guidelines
  - Only do stipends when sponsor designates that funding for training
- Must adhere to SRU guidelines and current pay rates. Summer compensation must include FICA Benefits
- Graduate Assistantships should include both the stipend and tuition waiver.
- Tuition/scholarships can be requested if allowed by the sponsor.

### 6.2.3.3 Goods/Services

- [SRU Procurement Policies](#) apply (if awarded)
  - Additional procurement guidelines and thresholds for federal awards

#### **6.2.3.4 Travel**

Consider the Scope of Work (SOW) and why travel is necessary to accomplish it. Travel may be appropriate if it is for field work, collaborative/professional meeting or annual agency meetings.

- Prepare the travel budget to include ground transportation, airfare, hotel and per diem (meals) for the location of the meetings and/or field experience.
- SRU travel rates apply
- Airfare – economy class; if federal award must be on a US flag carrier

#### **6.2.3.5 Equipment**

What, if any, equipment is necessary to accomplish your scope of work?

- Grant-funded equipment must be specifically allocable to the proposed project.
- A reasonable cost estimate may be included in the proposal; if available, include a vendor-provided quote
- [SRU Procurement Policies](#) apply (if awarded)
- All requests for computer hardware or software must have a quote from IT;
  - Federal definition of equipment:
    - \$5,000 or greater
    - Or 1 year life or longer

#### **6.2.3.6 Participant Support**

The cost of attendee(s) support for duration of the conference, workshop or program. It may include:

- Travel Costs: Meals & Lodging
- Tuition/Registration/Conference fees
- Attendee Stipend
- Workshop materials

The Program Announcement (PA) will clearly define what participant support is and what is allowed. Participant support is excluded from Facilities and Administrative (F&A) costs.

#### **6.2.3.7 Subrecipient vs. Contractor**

The GRASP Office staff will assist you with all special conditions of the grant such as subcontracting, independent contracting, and further interactions with the granting agency. They will also review with you all legal issues resulting from the grant or contract. If you believe you need advice from the University Legal Counsel, contact the GRASP Office. The Director of Grants, Research & Sponsored Programs is the administrative liaison between you and the University Legal Counsel and the Director will be happy to contact the University Legal Counsel regarding legal issues concerning your project.

Please use the [subrecipient vs. contractor checklist](#) (under Forms on the GRASP webpage) to determine if the third party involved in your project is a Subrecipient or Contractor.

- Defined per federal guidelines (CFR 200.23)
- Characteristics of a
  - Subrecipient:
    - Performance is measured in relation to whether objectives of the Sponsored Program were met
    - Determines who is eligible to receive what assistance
    - Has responsibility for programmatic decision-making
    - In accordance with its agreement, uses the Sponsored funds to carry out a program for a public purpose specified in authorizing statute, as opposed to providing goods or services in authorizing statute, as opposed to providing goods and services for the benefit of the pass-through entity.
    - Responsible for adherence to applicable Federal program requirements specified in Federal Award under Uniform Guidance Compliance Requirements
  - Contractor:
    - Provides the goods and services within normal business operations
    - Provides similar goods or services to many different purchasers
    - Normally operates in a competitive environment
    - Provides goods or services that are ancillary to the sponsored program
    - Not subject to Uniform Guidance Compliance Requirements

#### **6.2.3.8 Independent Contractor/Consultants**

When specific needs of the project's scope cannot be addressed by the personnel within SRU, it may be appropriate to hire a consultant.

- If allowed in the program announcement, the consultant and the consultant's budget will need to be explained in the budget justification.
  - Why this particular consultant?
- Typically budgeted by an hourly rate or standard rate for their services
- Upon award and before working with the consultant, contact the GRASP Office to set-up a consultant agreement.
- The relevant federal agency rate applies
- At proposal stage, SRU needs the consultants:
  - CV
  - Scope of Work
  - Detailed budget
  - Letter of commitment

### 6.2.3.9 Subawards/Subcontracts

Contracts issued to your collaborators or Co-PIs at another institution

- SRU would be the “prime” institution facilitating the proposal submission and award negotiation, while your collaborator is the “subaward.”
- The subcontracting budget will then be incorporated into the prime budget as one-line item total. However, some agencies require itemization of a subaward budget; reference the RFP for guidance.
- At proposal stage, SRU needs the Subrecipient’s:
  - Scope of Work
  - Budget & budget justification (approved by their institution)
  - Letter of Commitment (signed by their AOR)
  - Facilities and Administrative Rate Agreement (F&A)
  - Institution’s W-9

### 6.2.3.10 Cost Share (or Match) Requirement

Cost share, also called a match, are SRU funds committed to the project. All cost share included on a proposal must be provided and approved by administration. Usually cost share is provided by the PI/PD’s department or dean’s office, but can be from other departments as well. A Cost Share Form must be completed and signed by individuals providing the cost share. Begin this discussion early in your proposal process to obtain any cost share commitment.

- Cost share can be considered either *voluntary* or *mandatory*, but in either case, when it is included on a proposal it becomes *committed* cost share.
  - *Voluntary* cost share is when a PI/PD chooses to include cash or in-kind university resources on a proposal, when it is not required by the sponsor.
    - SRU strongly discourages voluntary cost share
  - *Mandatory* cost share is when the sponsor requires the institution to commit monetary resources to assist in funding the proposed project.
  - *Committed* cost share is any university funds, either voluntary or mandatory, budgeted in the proposal. Once proposed to the sponsor, SRU is held accountable for spending those funds in accordance with the proposal and must be treated consistently to the sponsored project funds.
- Cash vs. In-Kind
  - Cash = supplies/equipment purchased for the project, wages for the project
  - In=Kind = % effort of faculty/staff, unrecovered indirects, existing facilities or equipment, etc.
- Must be funds spent during the life of the project if cash cost share
- For full guidance, please review the [SRU Cost Share Policy](#)



#### 6.2.4 Indirect Costs – What are They?

[Indirect costs](#) may also be called Facilities & Administration costs, indirects, IDC, or overhead costs. These are *real* costs to the university such as:

- Office supplies, general copying, administrative services (payroll, Student Financial Services, GRASP Office, the Grant Account, etc.), the buildings, office furniture, technology, utilities, etc.

These are costs that are an inherent part of doing business, including all activities and projects conducted at SRU, but cannot be proportionately allocated to each individual activity/project.

##### **Federal indirect rates:**

- 46% of Modified Total Direct Costs (MTDC)
  - MTDC includes salaries and wages, fringe benefits, materials and supplies, services, travel and up to the first \$25,000 of each subaward
  - MTDC excludes equipment, capital expenditures, charges for patient care, rental costs, tuition remission, scholarships and fellowships, participant support costs and the portion of each subaward in excess of \$25,000.

##### **Private sponsor indirect rate:**

- It is our standard to charge 10% of total direct costs; unless otherwise specified by the sponsor.

#### 6.3 Institutional Information

The following information is legal information pertaining to the University that is often requested by a sponsor:

IRS Status	501c(3) (GRASP Office can provide documentation)
Federal Entity Identification Number (FEIN)	25-1513539
Data Universal Numbers System (DUNS)	074955113
Unique Entity Identifier (UEI)	GFFCU8887FD1
Federal Wide Assurance (IRB) Number	FWA00006788
Congressional District	PA-003

#### 6.4 Complete Proposal Package – Required Forms

- Transmittal Form for External Proposals
- Budget Spreadsheet
- Budget Justification
- Project narrative
- Other sponsor-required proposal components
- Sponsor guidelines

## 7 PROPOSAL SUBMISSION PROCESS

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The GRASP Office must receive the complete proposal package **at least five (5) business days prior to the sponsor's deadline** (see [External Grant Project Lifecycle and Proposal Submission Timeline](#) on the GRASP webpage). Your department or college may have additional deadlines ahead of the GRASP Office. Please be sure to contact your chair and dean/director as early as possible in your proposal development process to ensure you can meet their internal deadlines for reviewing and signing off on the Transmittal Form for External Proposals.

After the Transmittal Form for External Proposals has been signed by all PI/PD's chairs and deans/director(s), it is the PI/PD or their designee's responsibility to submit the Transmittal Form for External Proposals and complete the proposal package (see section 6.4) to the GRASP Office.

### 7.1 The GRASP Office Review

The GRASP Office **requires five (5) business days prior to the sponsor's deadline** to conduct a review of the proposal and obtain the required administrative signatures before proposal submission:

The GRASP Office is responsible for ensuring compliance with the sponsor, government and the university requirements to maintain ethical research practices and to reduce institutional risk. The GRASP Office will carefully review the Transmittal Form for External Proposals and proposal for compliance issues. These may include, but are not limited to:

- **Responsible Conduct of Research** training for researchers included on a NIH or NSF funded project
- **Conflict of Interest** training for researchers included on a NIH funded project
- **Human subject requirements** are met via the Institutional Review Board and an appropriate determination and letter from the IRB is provided prior to research beginning
- **Biosafety, hazardous materials, chemical hygiene, and/or animal care issues** are addressed and mitigated prior to research beginning
- **Export controls** are addressed when transferring IP and materials out of the US or with foreign nationals
- **SRU Procurement Policies** are adhered to (particularly with services and equipment purchases)

All university safety regulations and policies regarding such matters as hiring, purchasing, research involving the use of humans as subjects, animal care and use, controlled substances, and radioactive substances must be followed. These [policies](#) are on the Grants Office website. A listing of university offices and phone numbers you may need as you administer your project may also be found in the table below.

If you anticipate leaving the University, contact the Director of the GRASP Office to determine what action to take regarding your funded project. Options include transferring the project to the new location, appointing a qualified new PI/PD or negotiating with the University and the funding agency for closeout of the project.

## Directory of Offices Related to Grant Management

What you Want to Accomplish	Where to Get Help
<ul style="list-style-type: none"> <li>• Help getting started</li> <li>• Answers to questions</li> <li>• Subcontract with another university or research institute</li> <li>• Communicate with the funding agency</li> <li>• Change the project or proposed period</li> <li>• Communicate with University Legal Counsel</li> <li>• Hire consultants and independent contractors</li> </ul>	Office of Grants, Research and Sponsored Programs, 302 Old Main (724)738-2045
<ul style="list-style-type: none"> <li>• Interpret the accounting statement</li> <li>• Understand general ledger numbers</li> <li>• Correct accounting errors</li> <li>• Change the budget</li> <li>• Invoice/bill the sponsor</li> <li>• Close out the account</li> <li>• Submit financial reports</li> </ul>	Accounting Services, 103 Old Main (724)738-2236
<ul style="list-style-type: none"> <li>• Hire faculty members, full-time or part-time personnel (administrative, technical or clerical)</li> </ul>	Human Resources, 205 Old Main (724)738-2070
<ul style="list-style-type: none"> <li>• Hire graduate assistants</li> </ul>	Student Payroll, 203 Old Main (724)738-2242
<ul style="list-style-type: none"> <li>• Hire undergraduate or graduate students on an hourly basis</li> </ul>	Student Payroll, 203 Old Main (724)738-2242
<ul style="list-style-type: none"> <li>• Reimbursement for expenses or travel</li> </ul>	Accounts Payable, 002 Old Main (724)738-2025
<ul style="list-style-type: none"> <li>• Travel to foreign country under a grant, contract or sponsored program</li> </ul>	Export Control Officer, 200 Maltby Center (724)738-2811
<ul style="list-style-type: none"> <li>• Request Honoraria and travel reimbursement for non-employees</li> <li>• Investigate liability; document insurance</li> <li>• Pay honoraria and stipends</li> </ul>	Accounts Payable, 002 Old Main (724)738-2025
<ul style="list-style-type: none"> <li>• Purchase supplies and equipment</li> </ul>	SourcePoint or Accounts Payable, 002 Old Main (724)738-2025
<ul style="list-style-type: none"> <li>• Begin your next project</li> </ul>	Office of Grants, Research and Sponsored Programs, 302 Old Main (724)738-2045

Secondly, the GRASP Office provides an administrative review to ensure the proposal meets the sponsor's guidelines and requirements for content and formatting. This review is performed to ensure that your proposal meets the highest standards possible before submission.

If the sponsor is a private foundation or corporation, the GRASP Office will facilitate the Slippery Rock University Foundation, Inc.'s review and signature that requires the applicant organization be a 501(c)(3) on the Transmittal Form for External Proposals.

If the proposal includes cost-share, the GRASP Office will facilitate the Grant Accountant's review (to certify the funds obligated are available to be used as cost share) and signature on the Transmittal Form for External Proposals.

For **all proposals, contracts for sponsored projects, etc.**, the GRASP Office will facilitate the administrative review and signature as the award will ultimately be an agreement between the university and the sponsor.

## **7.2 Submission**

Proposals cannot be submitted until administrative approval has been obtained. Once approved, the proposal can be submitted by the GRASP Office (preferred method) or by the PI/PD. Below are some guidelines, but contact the GRASP Office if you have any questions.

### **7.2.1 Federal Submissions**

Federal awarding agencies require proposal submissions to be made through their online portal. Online submission requires the proposal be submitted by the authorized organizational representative (AOR). By signing off on the Transmittal Form for External Proposals, the President, SRU's AOR, has granted permission for the GRASP Office to submit the proposal to the federal government. The GRASP Office has authorization within the federal sponsor's portal (such as grants.gov or Fastlane) to submit the proposal on behalf of SRU once administratively approved.

If your proposal is to a federal sponsor, you must share access to the proposal with the GRASP Office. Sharing a proposal enables a thorough review and submission. Your proposal cannot be submitted without this access.

### **7.2.2 Non-Federal Submissions**

Due to Slippery Rock University Foundation, Inc.'s close partnership and stewarding of relationships with corporations and foundations, a designee in the Foundation's Office will often facilitate the submission of a private proposal. The person responsible for submitting a private proposal will be determined on a case-by-case basis during the proposal development process.

Regardless of who submits a private proposal, it cannot be submitted until the GRASP Office has received the administrative signatures on the Transmittal Form for External Proposals.

## **8 NEXT STEPS**

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Funding decisions vary by sponsor and can take up to six months. Private sponsors typically have a shorter review period than federal sponsors and will often specify their award determination timeline in their RFP. In either case, PI/PDs may be contacted during the review process for clarification. Please communicate with the GRASP Office if you are contacted for more information during the sponsor's award review process.

- Contact the GRASP Office as soon as you receive a funding decision (positive or negative) or other communication from the funder.
- Once an award is made, the GRASP Office will work with University Legal Counsel to negotiate and execute the contract. **Only the President can sign a grant agreement.**
- Be sure to follow up on any compliance issues that will need to be ready before research can begin should the award be made (i.e., IRB approval, etc.).
- Once executed, the award will be set-up in SRU's accounting system.
- For an overview of the "post-award" aspects of sponsored projects and assistance with award management, please review the ***Grants, Research and Sponsored Programs Part II: Award Management Guide*** available on our webpage.