

Principal Investigator Handbook

Policies and Procedures for the Development, Submission, and Administration of
External Awards

Prepared by the Office of Sponsored Programs and Research

Governors State University

University Park, IL

Our mission is to invigorate and shape the debate within the public square by developing and supporting high quality research and other funded programs that are innovative, relevant, and useful to scholars, practitioners and the community.

www.govst.edu/ospr

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Chapter 1: Office of Sponsored Programs and Research

1.1 Purpose of the Office of Sponsored Programs and Research (OSPR)

The purpose of the Office of Sponsored Programs and Research (OSPR) is to help Governors State University (GSU) faculty and staff achieve success in their research and other grant related endeavors. The university community can look to OSPR for assistance throughout the grant application process, from identifying potential funding opportunities to managing the grant, if awarded. OSPR supports faculty and staff as they pursue external funding for research and sponsored programs¹ by:

- Developing and communicating policies related to grants and sponsored programs,
- Serving as the central coordination point for all research and sponsored program grants and services,
- Assisting faculty and staff with finding funding sources and opportunities, proposal development and review, and submission of electronic proposals,
- Facilitating compliance with university and funding agency policies, and
- After a contract or grant is secured, assisting with the processing of the **Notice of Award** (NoA), negotiation and execution of contracts, and reporting as per contract requirements.

OSPR acts as the link between the investigator, GSU administration and the agency sponsoring the research. OSPR works with the internal institutional compliance committee, the **Institutional Review Board** (IRB), to ensure that research supported at GSU meets Federal, State, and GSU compliance requirements, and will work with the **Institutional Animal Care and Use Committee** (IACUC) once it is formed. OSPR is also responsible for assuring that the university is in compliance with all Federal, State, and institutional policies related to research integrity as well as avoidance of conflicts of interest. OSPR works with the Business Office, Procurement, and Human Resources to ensure full oversight of grants administration and adherence to accountability standards.

1.2 Description of OSPR

OSPR is an organizational unit located within the Provost's office. Currently, the office is led by the Interim Vice Provost for Research and Graduate Studies, Dr. Linda Samson. Four staff support the office's activities: 1) Becky Nugent, PhD, Co-Chair of the IRB and Director of the Writing Center, provides grant writing assistance, reviews grant proposals, and helps prepare electronic grant applications, 2) Penny Havlicek, PhD, Director of the Center for the Care and Study of Vulnerable Populations, helps prepare electronic grant applications and provides assistance with reporting, 3) Donna Rolih, Grants Accountant, establishes grant accounts and

¹ The terms printed in red throughout this handbook are defined in Appendix A: Grants Related Glossary of Terms.

manages financial reporting, and 4) Jamie Tadsen, Assistant to the Interim Vice Provost for Research and Graduate Studies, provides grant writing assistance and conducts grant searches.

1.3 Services Provided by OSPR, Responsibilities of the Principal Investigator, and the Tasks of the Budget Office

Developing a winning proposal and securing external funding requires the cooperation and participation of multiple parties. In particular, OSPR, the **principal investigator**, and the Budget Office must work together closely. Their respective roles are described below.

OSPR services include:

- administrative review and approval of all proposals for sponsored projects in research, instruction, and other university related activities
- the recording, tracking, and reporting of grant submissions and grant related activities in order to inform the university's communities, to fulfill Federal and State regulations, and to comply with university policy
- assisting with the electronic submission of grant proposals, including the sole responsibility to actually hit the "submit" button
- serving as the liaison between the university and the Grants Resource Center (GRC) of the American Association of State Colleges and Universities, ensuring GRC resources are fully utilized to enhance GSU's grant related activities
- assisting with the fiscal arrangements upon awarding of a grant
- consulting with grant writers regarding grant opportunities and proposal preparation, and providing assistance, if needed, with the proposal development and editing process
- serving as liaison between the funding agency and the principal investigator in negotiating agreements and resolving grant issues should they arise

Responsibilities of the principal investigator include:

- developing the idea and knowing the literature
- writing the proposal
- managing the relationships with project officers and project partners
- obtaining the letters of support and/or commitment required as well as any authorizations to conduct the research at sites off campus
- delivering the proposal in the format required by the funding agency, and if submitting electronically, ensuring that the final documents get to OSPR in a timely fashion or per agreed upon schedule
- preparing and submitting required grant status reports to the funding agency
- spending grant monies in the way intended

- understanding and fulfilling contractual requirements
- keeping OSPR informed of all externally funded research activities so that OSPR can accurately account for the funds GSU is receiving from outside sponsors and the commitments made by the university, including completing and submitting to OSPR the appropriate Intent to Submit Grant Form located on [OSPR's webpage](#). Use the [Intent to Submit Grant Academic Form](#) for research and related projects originating from the academic side of GSU and the [Intent to Submit Grant Non-Academic Form](#) for projects originating from the administrative side of GSU.
- completing and submitting to the IRB the appropriate proposal submission form located on the [IRB's webpage](#). If the research involves minimal to no risk to human subjects and does not focus on any vulnerable populations, you *may* be exempted from full IRB review. If you believe this to be the case; use the [IRB Request for Exempt Status Form](#). Otherwise use the [Expedited and Full Review Package Form](#). Please note that only the IRB can deem a project exempt.
- completing the IRB mandatory human subjects research training offered by the [Collaborative Institutional Training Initiative](#).

Budget Office tasks:

- set up an account unique to the funded project when a grant is awarded to be used by the principal investigator for all grant related expenditures (request must be generated by the PI/PD and must have an attached copy of the Notice of Grant Award)
- manage the fiscal aspects of the award, including the drawdown of all funds under the regulations of the grantor and the university
- prepare the fiscal reports required by the granting agency

1.4 Working with the Institutional Advancement Office

Foundations are potential sources of grant funding. When the researcher is planning to submit a proposal to a non-government source, it is essential that Institutional Advancement be contacted first. Staff from this office will work with you to make the appropriate contact within the agency and develop the relationship necessary to making your proposal more successful. OSPR staff work with the Institutional Advancement office to ensure proper reporting of all grants, contracts, and gifts to the university. This office may be reached at 708.534.4105.

Chapter 2: Developing a Proposal

2.1 Define and Refine the Concept

Innovative research based on solid science and innovative programs based on proven outcomes get funded. It is often helpful for the principal investigator to develop his or her idea in the form of a concept paper before seeking funding or writing the proposal. A concept paper is a short summary of the proposed project that includes statement of the problem, preliminary literature, research questions, procedures, etc. A variety of concept paper templates can be found on the Internet, although specific funding agencies may have required formats. The more developed the concept, the more likely a viable funding source can be found, and the discussions with potential funders are more likely to be informative and useful.

2.2 Funding Sources

There are many funding sources—Federal and State agencies, private corporations and foundations. Among the most comprehensive sources of funding information are the following:

- The [Grants Information Center](#) in the University Library helps faculty, staff, and students with locating funding support, offering a number of resources and databases related to grants writing
- [Grants Resource Center](#) (GRC) is a subscription service of the American Association of State Colleges and Universities. This online application announces new funding opportunities and houses a comprehensive, searchable funding database called GrantSearch. GRC also offers a service that sends specially tailored funding announcements to the email addresses of individual faculty. Another publication of the GRC, DEADLINES, reports the most current federal deadlines and some private foundation deadlines as well. An ID and Password that you can obtain from OSPR is needed to access GRC.
- [Grants.gov](#) is the website that contains funding announcements for most Federal agencies. In addition, the website is becoming the one point submission for almost all Federal agency proposals.
- The [Foundation Center](#) offers an online directory of private and corporate foundations. Basic searches of foundations can be made without paying a subscription fee. More detailed searches of foundations can be done through the Grant Resource Center. The University Library also subscribes to the more comprehensive and detailed foundation profile that provides critical information for those seeking grants.

Links to all the resources listed above, and more, are on the OSPR and the Grant Information Center's web pages. Once you locate a promising funding source, make sure to obtain and read the program guidelines, application forms, and other required information for your project.

2.3 Evaluating a Funding Opportunity

There are many factors involved in evaluating a funding opportunity. Some you should consider are discussed below.

Grant Types or Activity Codes

Some Federal agencies classify their grants by codes that describe what the grant is for and, to some extent, who is eligible to apply. For example, the National Institutes of Health labels research grants directed toward individuals who have considerable experience conducting research in their fields as R01. An R15, however, is an academic research enhancement award, directed to individuals who have not been major recipients of National Institutes of Health research funds. K awards are generally considered as Career Development awards and may be mid level or senior investigator level. T awards are training grants that usually support students or other “trainees”. GSU currently has a series of T08 awards through our participation in Scholarships for Disadvantaged Students and Advanced Education Nurse Traineeship programs.

Eligibility

Often funding opportunities are open to selected organizations and require a certain level of expertise from principal investigators. It is important to determine whether the funding opportunity is a good fit before proceeding too far in the application process.

Institutional Eligibility

When a grant is awarded, it is awarded to the university, not to the individual. Look for grant opportunities that are open to public universities or colleges. It may be possible to apply for grant opportunities that are open to private nonprofit entities through the University Foundation.

Individual Eligibility

Funding opportunities often require that the principal investigator has the skills, knowledge, and resources necessary to carry out the proposed research. This may mean that the principal investigator has published extensively in the field, has had previous grants, and that the university has ample resources to support the research. Sometimes there are requirements regarding the type of degree held by the principal investigator as well as citizenship status. Frequently underrepresented racial and ethnic groups and individuals with disabilities are encouraged to apply.

Other Eligibility Criteria

The funding agency may have additional criteria to narrow the potential field of applicants. For example, the funding opportunity may be open to only those organizations that already have a particular grant. Or the funding opportunity may be open to those institutions that have particular types of accredited degree programs.

Cost Sharing

Matching or Cost Sharing

Particular attention should be paid when a funding opportunity requires a match. The match represents university funds that must be found and devoted to the grant should it be awarded. The principal investigator should work with his/her department chair and Dean to ensure such funds would be available.

Number of Awards

Sometimes the funding agency expects to award many grants; sometimes only a few. To successfully compete when only two or three grants will be awarded, the proposal must be unique, compelling and clear.

Due Dates

Some funding opportunities have a series of standard due dates such that a proposal could be submitted at several points throughout year. Other funding opportunities offer a one time opportunity under a very tight deadline. The principal investigator needs to evaluate the time and resources available to respond in a meaningful and effective way to these requirements.

2.4 Contact with Program Officials

OSPR encourages the potential principal investigator to make contact with agency program managers, whether these are State, Federal or private organizations. Keep in mind, however, that if funding is being sought from a private organization, it is necessary to work through the Office of Institutional Advancement. Communicating with program officers prior to writing a proposal makes for a more successful proposal and saves time in the long run. The researcher can obtain a better grasp of the agency's funding priorities as well as gauge the level of interest at the agency for the researcher's idea. It is invaluable to build a relationship with the program officer and generally, these individuals are pleased to be consulted and asked for their assistance.

2.5 Meet with OSPR and Obtain Approvals

Approval of your project must be obtained from your department head, Dean or Director, and the OSPR for two reasons: 1) so that GSU can assess any commitment required on its part, and 2) so that OSPR is alerted to the date the grant application is due and can ensure that OSPR personnel are available to assist with the submission process.

The approval process involves submitting an Intent to Submit Grant Form that is available on the OSPR webpage. Use the [Intent to Submit Grant Academic Form](#) for research and related projects originating from the academic side of GSU and the [Intent to Submit Grant Non-Academic Form](#) for projects originating from the administrative side of GSU. Accompanying this form should be 1) a copy of the concept paper, an abstract of the project or a draft proposal and 2) a draft budget. OSPR can help you prepare a preliminary budget. If you will be

submitting your proposal via an online service, OSPR can help you download the application package, guide you through the registration process, and work with you to frame a schedule that meets both GSU's and the funding agency's deadlines. Final approval and signatures indicating institutional approval for your grant submission will be obtained by OSPR.

No proposal may be sent off campus prior to full institutional approval. Should a proposal not receive full approval with signatures, OSPR will work with the principal investigator to identify and attempt to resolve the problem. However, depending on the issue, it may be necessary to ask the principal investigator to reconsider the project.

2.6 Writing a Proposal and Preparing the Budget

The Proposal

Carefully reading and following the guidelines contained in the funding opportunity announcement are absolutely crucial to the preparation of a winning proposal. If you can't follow directions, the funding agency may doubt your ability to conduct a program of research and manage grant activities. OSPR is available to assist in finding the guidelines for a project and interpreting them. Most federal program guidelines and application forms are now available online through www.grants.gov, an application which makes it easy to search for funding opportunities using a number of criteria such as agency name or Catalog of Federal Domestic Assistance number (**CFDA number**).

Innovative ideas based on solid science and proven methods get funded. It is essential that the proposal be technically sound and clearly written. Avoid jargon. The proposal should address the requirements listed in the guidelines and describe the project in the most complete, clearest, and succinct possible terms. Funding agencies generally review and evaluate proposals with reference to five major considerations:

- significance of the results to be obtained from the research project
- resources required to conduct the project in terms of existing and projected commitments of the agency and the university
- reasonableness of the budget
- competency of the investigator undertaking the proposed research
- protection of research subjects

Other criteria may also exist as set by specific granting organizations, and the principal investigator is expected to carefully review the guidelines to determine that his/her proposal meets all funding criteria. A general guide for what to include in a proposal can be found in Appendix B: Sample Proposal Format.

The [OSPR webpage](#) provides a wide range of resources to support the principal investigator such as grant writing handbooks, tutorials and tips. If provided enough lead time, OSPR can review

the proposal prior to submission to ascertain its completeness and appropriateness. It is always a good idea to have trusted colleague and/or second set of eyes review the proposal.

The Budget

The budget of a grant proposal is second in importance only to the research or project plan. Although the budget statement is a straightforward discussion of how you plan to spend grant funds, budget preparation needs to comply with the various policies of the university and the funding agency. The OSPR can offer suggestions when preparing your budget.

If the funding agency provides a specific budget form, it must be used whether this is in hard copy or electronic format. In most cases, special forms are included by the agency as part of the application package.

Although not always required, it is useful to prepare a detailed budget breakdown for your proposal. This detailed budget can help you better understand the total costs of your project. Also, a detailed budget allows for an easier internal review by the university administrators and is helpful in determining the actual extent of any university commitment (matching or cost sharing on a cash or in-kind basis) required by the funding opportunity. With electronic submissions you are usually required to provide only the first year in detail, although this may vary from program to program. A sample budget is included in Appendix C: Sample Budget.

OSPR encourages the principle investigator to seek assistance in developing the budget. All budgets will be checked for accuracy and for appropriate salary levels, fringe benefit percentages, and eligible expenditures. The proposal will not be approved until the budget, and any university commitment is accurate and in accord with university policy.

The following considerations will help you prepare a comprehensive budget:

- Review the rules and regulations for the budget, as provided in the agency's guidelines. Ask for help from OSPR if you need it.
- Calculate the amount of time that you and other professionals involved in the project will have to contribute. How much of this time will the project funds pay for and what does the university have to contribute to make this project “work”? University contributions are matching funds.
- Matching funds can be a concern for the principal investigator. Occasionally the program will require not just in-kind funds but real cash match. Contact OSPR so that efforts can be made to assist you in locating appropriate university commitment.
- Calculate the time required for assistants and secretarial or clerical help, consultants, honoraria, travel, lodging, and per diem. Some federal agencies expect that all administrative costs, including secretarial and clerical assistants, will be paid out of **facilities and administrative (indirect) costs**. In these cases, such positions cannot be funded out of program funds.

- Estimate costs for equipment, supplies, printing, duplication, media services, staff services, postage, telephone, data processing, etc. Determine what items can be supplied on campus and what will have to be purchased from off campus vendors. Get accurate quotes on all items. Sometimes it may be necessary to obtain multiple quotes on high cost equipment.
- Contact the Human Resources Office to determine appropriate salary and wage costs for project staff, fringe benefits (when applicable), and procedures for hiring staff, if funded. Currently the fringe benefit percentage in use at GSU is 35%.
- Calculate the facilities and administrative (F&A) costs (56% of direct salaries and wages only, not including fringe benefits) for the project period. Facilities and administrative costs are considered general revenue for the university and, in essence, reimburse the institution for the expense of having the project on campus. They are added to the direct costs of the project to give a total project cost.
- The final budget is included with the narrative portion of the application and processed through the approval and review process. OSPR can assist with final budget preparation, including use of the appropriate forms provided. Most forms can be completed online.

The total project cost includes 1) direct costs, 2) facilities and administrative (indirect) costs or F&A, and 3) any required university commitment. Only when all of these items are totaled do you have an idea of the real cost of your project.

Usually only the direct and F&A costs are requested from the funding agency. However, it is important to understand that any match (in-kind or cash) committed by the university does impact the project and must be identified with a value assigned. All costs, funded externally or matched internally, are auditable. Therefore, it is wise not to extend more institutional match to a project than necessary--the more match written into a project, the more records needed to meet audit demands.

Each type of cost is described below.

Direct Costs

Direct costs include all items that can be categorically identified and charged directly to the specific project. Most sponsors allow direct cost funding for the following categories, although equipment may not always be allowed.

Personnel

Personnel time is usually the first budget line item and frequently the most costly. Calculate the percent of time spent on the project for each individual and prorate the salary for the proposed implementation period of the grant. All personnel decisions should be cleared with your department head and Dean prior to final budget preparation. Multi-year projects should take into consideration any expected annual increases for salaries and wages. The following are the types of personnel often associated with grants.

- 1) Principal Investigator (PI) or project director. Cost is based on the salary of the selected individual in relation to the percentage of time devoted to the activity. Some programs limit 10 month faculty to receiving only support for the uncovered two-month summer period. Always check your program guidelines to be sure you are computing personnel costs correctly.
- 2) Other on-campus professionals. This includes faculty replacement costs through use of part-time instructors. Cost is calculated on the cost of the faculty or on the cost of the replacement faculty, or other professionals, based on the time (days, months, number of classes to teach, etc.). To obtain an accurate dollar cost, check with your department head or the Human Resources Office for current pay range.
- 3) Graduate assistants may be employed on sponsored research projects in research or faculty support positions. Pay rates should be determined prior to proposal submission, in accordance with the pay scales of university supported graduate assistants. Graduate assistantships are arranged through the Dean of the College. Graduate assistants are paid in two ways and both must be included in the budget:
 - Tuition waiver expense must be included in your proposal at the full cost for in-state tuition. Graduate assistants who are out-of-state students will have to pay the difference unless this amount is included in the proposal.
 - Salary or stipend should be computed at the current rate. This rate can be obtained from the OSPR office or the Business Office.
- 4) Undergraduate students also may be employed through funded projects as student assistants. A student assistant is not a College Work Study student. Students on the College Work-Study Program may not be paid from a second source of federal funds, such as a grant. Although the principal investigator is responsible for the selection and hiring of all student assistants, appointment forms must be processed through Human Resources. Pay scale conforms to that current within the university for student workers. Student assistants are usually paid the current minimum wage unless the proposal budget is designed to pay a higher rate.
- 5) Technicians, statisticians, and other professionals can be employed under sponsored projects. All university personnel regulations, as well as the regulations of the funding agency, must be adhered to regarding advertising the position(s), interviewing and hiring. GSU is an equal opportunity employer and does not discriminate regarding race, sex or disability.
- 6) Secretarial and all other clerical help necessary for the performance of the funded project must be hired in strict compliance with all university and funding agency regulations (see technicians, etc. above). Many federal agencies now consider clerical support as included in the facilities and administrative (indirect) costs and will not pay for these as a line item charge. Be sure to check the guidelines carefully, and if in doubt, contact the agency to clarify this point.

- 7) *Other Personnel* hired under the auspices of a funded project are classified as temporary, soft money personnel and generally have limited employment contracts. The following issues should be noted about hiring other personnel:
- The principal investigator should recognize that such personnel in this category receive appropriate salary, duties, responsibilities, and benefits comparable to those for individuals in similar positions elsewhere in the university. The principal investigator should consult with the Human Resources Office concerning current or projected salaries for these positions.
 - All personnel hired under a specific award/grant must be informed by the principal investigator that their employment period coincides with the award period, and that the university cannot assure continued employment beyond the period for which grant funds are available.
 - Annual leave accrued by personnel paid solely from grant funds must be taken during the effective period of the grant. Annual increases/raises should coincide with established GSU personnel policy as long as funds exist within the award budget for such raises. If you did not compute raises into your budget for subsequent years of funding you may have difficulty providing these to your project staff.
 - Sick leave is accrued based on the policy of the university as it relates to the position. Check with Human Resources if you have any questions when building your budget and when putting in place a hiring process for your funded project.

Fringe Benefits

Fringe benefits accompanying salaries paid by the grant must also be charged to the grant. Consultants do not receive fringe benefits. The Human Resources Office or OSPR can provide details of fringe benefits for salaried personnel. The current fringe benefit calculation is based on a 35% of salaries and wages. The rate for fringe benefits for summer salaries is 17%. Always check with the Human Resources Office or OSPR to be sure these rates have not changed.

Consultants

Consultants may be paid through grant funds. GSU does not have set fees and hourly rates for consultants; individual agreements are based on the nature of the consultation. However, all honoraria, consultants' fees, travel expenses, subsistence, and related expenses must conform to established university policy for reimbursement. Forms for hiring consultants can be found with Human Resources and Procurement.

Subcontracts

If a subcontract is essential to the successful completion of a sponsored program, estimates should be obtained for the proposal. Once the grant funds are awarded, a contract shall be drawn between the university and the subcontractor.

Travel

Expenses incurred for travel will be paid from grant funds and must conform to university travel policies. Detailed and up to date information about travel expenses can be found on the Procurement and Auxiliary Services intranet web pages.

Equipment

Equipment may be purchased or rented, according to the policies of the grantor under the program guidelines and general university policy. The equipment budget should reflect comprehensive costs, not only purchase, rental, or leasing costs, but freight, installation costs, and maintenance contracts, as necessary.

Supplies and Materials

Supplies and materials should be itemized on the budget explanation (narrative) page in general terms or as detailed as required by the guidelines.

Stipends or Training Fees

Stipends or training fees are another category that may be required based on the nature of the award. The stipend may be paid to a participant as compensation for costs incurred in participating in the grant-funded activity. Usually, if stipends are part of a project the budget form will have a specific line for that item. Stipends or training fees usually do NOT factor into direct costs when computing the Facilities and Administrative (F&A) costs.

Other Direct Costs

Other direct costs are items that can be identified and related to the project and not included in the facilities and administrative (indirect) costs calculations such as:

- Communications - costs of telephone, electronic communications.
- Computer time - Consult the Information Technology for rates, use, etc.
- Publication charges, graphics and printing, duplication, media services, final report costs, etc. (University regulations apply as do program guidelines).
- Miscellaneous costs such as postage, telephone, FAX, and any other items necessary to successful project operation that can be reasonably identified as a line item.

Indirect Costs

Also referred to as Facilities and Administrative or F&A, these costs refer to those items that are difficult to assign to a specific cost area or portion of the activity. These costs are ‘real’ costs but because they are difficult to quantify, are called indirect costs. The Federal Government expects universities to cover costs such as secretarial support under the recovered F&A costs. Not all

agencies allow these costs, and when they do, the rate they allow varies. Always check the language of the guidelines regarding indirect costs so that the correct rate is charged.

To cover the costs of having a funded project on campus, GSU has, through its **cognizant agency**, negotiated a rate currently set at 56% of salaries and wages, including fringe benefits. This negotiated rate is used when applying for grants from many federal agencies. For projects that are conducted off site, an indirect cost rate of 32% has been negotiated.

Not all agencies, however, accept the negotiated rate. Some, such as the U.S. Department of Education have set lower rates, usually 8% or 12% of all direct costs. Some agencies refuse to allow any F&A cost recovery and most private foundations disallow all indirect costs. The State of Illinois generally allows an 8% administrative cost. When a rate is written into the program guidelines, then that is the rate that must be accepted by the institution. When a rate is allowed, whatever that rate may be, the full extent of that rate should be used. Any differential between the negotiated rate and the allowed rate can usually be considered as part of the project 'match' provided by the institution.

University Commitment

Frequently called match, the university commitment is a direct cost of the project whether in the form of in-kind or cash. University commitment may come in the form of equipment, personnel time, etc. To determine the GSU's commitment, a grant writer should work with his/her department and college to define just what the university is able to commit to the project. All university match, whether as in-kind or as real dollar commitment is subject to audit just as the grant funds are subject. Accurate records regarding all expenditures and commitment must be maintained and be made accessible to an auditor upon request.

2.7 Institutional Review Board

Federal agencies are increasingly requiring that the research being proposed has already been reviewed and authorized by the Institutional Review Board (IRB). Certainly, no research should be undertaken until a proposal has been submitted to and approved by the IRB. Information on how to submit a proposal to the IRB is located on the IRB webpage (www.govst.edu/irb). Service on the IRB is considered university service and anyone wishing to serve on the board is encouraged to contact Becky Nugent at 708.235.2105.

Chapter 3: Submitting a Proposal

Federal agencies are increasingly relying on the electronic submission of grant applications, although in rare instances paper based applications are permitted. The manner of submission is entirely based on the regulations/requirements of the guidelines for the particular program. Regardless of how the application is submitted, no proposal shall leave the campus without full signoff and approval.

Every proposal sent off the GSU campus is a university submission, not a personal submission, and as such, the signature of the President, or her designate, must appear on each and every proposal. Currently the Interim Vice Provost for Research and Graduate Studies, head of the OSPR, has full sign off privileges. The principal investigator should allow two to three weeks for review of their work by the Interim Vice Provost for Research and Graduate Studies prior to the deadline date. Any proposal submitted under less than sufficient review, or without review, may be in danger of refusal at time of award should the project not be in line with university goals and mission.

3.1 Collaborative Proposals

More and more proposals are collaborative proposals and may require review/approval by more than one division/department head or Dean as well as approval by an outside collaborator. Each instance will differ, but generally a principal investigator should anticipate that each organization or unit of the university, outside his/her own, will want to review the proposal, see the budget and approve it. This will always require more time than the suggested two to five working days. All collaborative projects should be discussed with OSPR staff well before any deadlines to be sure that everyone is working together; the principal investigator knows what the requirements for review are and can set a timeline reflecting those expectations to assure the submission deadline can be met.

3.2 Due Dates

Grant due dates are strictly adhered to and only extraordinary circumstances will warrant any change. That means a principal investigator cannot expect to ask for extra time--there is no extra time.

3.3 Electronic Submission

The overwhelming majority of grant applications to Federal agencies are electronic. Although the principal investigator should plan to be fully involved in the actual electronic submission process, the actual submission (i.e. pushing the “send” button) is the responsibility of OSPR.

There are a number of electronic submission systems. Despite the advantages of electronic submission, all of these applications require a great deal of up front preparation and organization. For example, some systems require registration before they can be used. Also, a lot of information is required in addition to the proposal itself such as GSU’s **DUNS number** and

Federal Wide Assurance Number. Some of this other [Helpful Grant Writing Information](#) can be found in Appendix D. Because these systems are detailed and quite complex, early submission is strongly encouraged so that any mistakes can be corrected well in advance of the submission deadline. A description of the major submission systems follows.

- The National Science Foundation uses an electronic submission application called [NSF FASTLANE](#). Through FASTLANE you can develop your proposal, submit your proposal for funding, track the progress of your proposal through the NSF review process, and manage the award once received. Registration is required on two levels—the university and the principal investigator. The university is already registered as a Sponsored Research Office. To register as a researcher with FASTLANE, use the link above or contact OSPR. The registration process generally requires about two days. Note that some NSF proposals are now being submitted through Grants.gov.
- [Grants.gov](#) is the primary method for electronic submission to all agencies within the Federal government. As with FASTLANE, the university must be and is registered. Unlike FASTLANE, this program does not require registration for the individual uploading his/her proposal into the grants.gov system. Once a proposal is uploaded into the system the **Authorized Organization Representative** (the Director of OSPR) will check for completeness making sure that all parts of the proposal have been properly loaded into the system. OSPR will then submit the proposal. Grants.gov also provides a variety of [applicant resources](#).
- The U.S. Department of Education uses a submission application called [e-GRANTS](#) which requires individual registration. At this time no institutional registration is required. However, this does not mean that the principal investigator is free to submit without institutional approvals and review. A proposal can be submitted through e-GRANTS only when OSPR validates all approvals, and the proposal is complete and ready to be submitted.
- The National Institutes of Health (NIH) uses the program, [eRA Commons](#), for proposal submission in conjunction with Grants.gov. This program requires institutional and individual registration prior to use. The proposal is submitted through Grants.gov, and flows through to the eRA Commons where it is reviewed for accuracy in compliance with NIH guidelines for the specific program. Any errors are noted and sent back to the submitter who is given an opportunity to re-submit corrections. Early submission is, therefore, highly recommended for any principal investigator submitting electronically to NIH.

Chapter 4: Post Award Procedures

Post award procedures are the responsibility of the principal investigator, the OSPR and the grants accountant in the Business Office and are initiated when a Notice of Award is received. Read the award documents very carefully.

4.1 Notice of Award

The Notice of Award (NoA) may be sent directly to the President of the university, the principal investigator or the Director of OSPR. The NoA may be received via letter, email or phone call. Whatever the method of informing the university of the award decision, the notice must be shared with all three parties: the President's Office, the principal investigator, and OSPR. When a grant is received through the Institutional Advancement Office, these same three parties still need to be informed.

Once all three parties (the President's office, the principal investigator, and OSPR) are informed of the award, the following actions need to take place:

- If negotiations are necessary, they will occur at this point. No further action, no spending, no account set-up occurs until negotiations are completed and the award is finalized.
- Business Office will be notified.
- Meeting will be set up to discuss the requirements, budget, and compliance issues for the award with all involved parties at the earliest possible moment, and an Account Request Form will need to be completed.
- The Account Request Form, the funding documentation, a copy of the budget, and signature cards, as well as any other pertinent documentation must be provided to the Budget Office requesting an account number be assigned.
- Once assigned an account number, the information packet will be forwarded to the GSU Comptroller's office and the project may go forward.

Award Management Checklist

To start off the post award process in an informed manner, the OSPR Director holds a meeting with all interested parties to discuss the budget, setting up the account, process for purchasing materials, travel regulations, etc. The purpose of this meeting is to inform everyone working on the grant about grant requirements and outline their roles and responsibilities. Although seasoned grant recipients may feel this meeting is unnecessary, it frequently makes a great deal of difference in how smoothly a new award gets up and running.

An account number should not be issued prior to this meeting except under special circumstances and with the full approval and knowledge of the OPSR. The [Award Management Checklist](#) form on the OSPR webpage guides the discussion. This checklist is also included as Appendix E.

4.2 Setting up your Account

An Account Request Form is required to establish an account in the Budget Office. This form is accompanied by a budget which the grants accountant uses to identify legitimate expenditures. The project will be assigned an account number used by the principal investigator or other authorized personnel to access grant funds for purchases, obtain information about expenditures and fund balances, etc. The Account Request Form may be obtained from the Budget Office or OSPR. The general process for establishing an account is as follows:

- Complete the Account Request Form including the names and signatures of the individuals approved to sign purchasing requests. Add a copy of the fully executed contract, award letter, or other award documentation indicating this award has been made. Include the funded line item budget for the award.
- Complete the Signature Card for any individual not already having a signature card on file in the Purchasing Office.
- These materials should be bundled into a packet and taken to the Budget Office where the account number will be assigned to the award. Once the number has been assigned, entire packet will be sent forward to the comptroller where the grant file will be maintained by the grant accountant.

Please note the following about budgets:

- Funds may only be expended for line items approved in the budget.
- Generally changes to the line items should be approved by the grantor prior to changing the budget. Some federal awards allow for a certain percentage of total award, usually 10 to 20 percent of the total funded amount, to be modified without prior approval—a privilege called “expanded authority.” The award document will give all necessary information regarding this process and the amount allowed. It is very important that the award documentation be carefully read and understood as to how changes to the budget lines may be accomplished. Failure to manage such changes in the appropriate manner for the award may result in the university having to return funds at the end of a project. Usually the grants accountant will manage this aspect of account management. However, OSPR may be requested to assist upon occasion.
- The university utilizes an accounting system called CARS. If you are not familiar with this system and how to use it you should make arrangements with the grants accountant in the Business Office to help you familiarize yourself with the process.
- The wise grant recipient will maintain a separate spreadsheet for all activities and expenditures related to the grant so that there is a comparison method to ascertain the accounting process is correct and no errors have occurred due to such things as inappropriate account use for a charge. This is particularly important when one grantee has more than one award to administer. It is very easy to get numbers confused, and the OSPR staff and the grants accountant may not always see what has happened until it is well after the fact.

- Basically, the grant recipient is responsible for the money and for seeing that it is spent in the correct manner. The grants accountant and OSPR are all there to assist in this process.

4.3 Spending Grant Money

Subcontracts

You will need to complete both a Purchasing Requisition and a Contract Request Form which can be found on Procurement Services intranet site. The review/approval process is often accomplished in very short order if the forms are complete and all necessary information provided. University requirements exist that must be met with any contract, and all contracts may be reviewed by university legal consul.

All contracts and agreements involving GSU as a provider or receiver of services or products must be approved by one's next immediate supervisor. All forms, purchase requisitions, etc., should be gathered and the entire packet sent to the Purchasing Office after obtaining supervisory signatures. Refer to the Purchasing Office for limits, contractual forms and requirements. Questions may be directed to OSPR or the Purchasing Office.

Travel

The university reimburses for expenses incurred in making approved trips, according to the following rules:

- Expenses must be itemized in detail on the weekly travel expense statement.
- Original receipts for hotel bills and other expenses must be attached to the request for reimbursement.
- Automobile travel is reimbursed on a per mile basis (check current mileage rate). In addition, the weekly travel expense statement must be completed in detail regarding places visited and the actual mileage. Rental cars should be arranged at 'least cost' fees and may be, in some instances, preferable to personal auto use. The university encourages the use of a rental car whenever there is a cost saving possible.
- Commercial transportation (air, rail, and bus) shall be by minimum fare service. Ticket stubs must be submitted as evidence of this expenditure. Prior approval for all travel is required. Forms may be accessed online, downloaded and completed.
- Per diem receipts for meals are not required for reimbursement but should be obtained to verify actual expenditures. Up to date information about reimbursement limits can be found on Auxiliary and Procurement Services' Travel Services intranet site.
- Taxi fare receipts and other such out-of-pocket expenses must be presented for reimbursement. Tips are not reimbursed.

Procurement of supplies, equipment, services

All items to be purchased using grant or contract funds must follow the policies and procedures of the university. Forms, limitations on purchases, need for contracts, etc. must follow established Procurement procedures. The OSPR and Procurement will assist in this process.

Facilities and Administrative (Indirect) Costs

The grants accountant maintains records of earned F&A and reports regularly to the principal investigator what amount has been earned and how it has been distributed. Current distribution at GSU for earned F&A is: 50% to the general fund, 20% to the college/administrative unit, 10% each to the principal investigator, department/division, and Provost.

4.4 Reports

The number, type, and frequency of reports required vary with each award and can be found in the award document. At a minimum, a financial report is required at the end of the grant period. The general reporting process is described below:

- Programmatic reports are the responsibility of the principal investigator as the activities to be reported have been implemented or organized by the principal investigator. OSPR can help if the report has to be submitted electronically or if the principal investigator wishes to have some editorial assistance.
- Financial reports are generally prepared by the grants accountant and may be submitted directly by the accountant or in conjunction with the programmatic report by the principal investigator.
- Time and Effort Reports are required by Federal regulation for all Federal grants and contracts where personnel are involved are a part of the accountability responsibilities of the university. Every person either paid out of grant/contract funds, or providing by their time and effort matching funds for a particular project, must indicate the time spent on the project on a quarterly basis. Questions regarding the Time and Effort Report, which is required quarterly, may be directed to OSPR staff.

Copies of all reports should be sent to OSPR for retention in the specific grant award file so that updated and accurate records can be maintained. Each grant is assigned a specific number that remains with the project until the grant is closed. This number is based on the following algorithm:

- Three sequential numbers, i.e. 001, 002, 003
- A series of letters describing the university division in which the award originated, i.e. HHS (College of Health and Human Services)
- Two numbers describing the funding fiscal year, i.e. 05, 06, 07.

4.5 Compliance Requirements

Every award, whether grant, contract, or **earmark**, comes with certain compliance requirements. The compliance issues related to a specific award are based on the language within a given

award. Compliance policies may be accessed from OSPR's webpage. Some of the most significant compliance policies are:

- 1) *Records Retention*. The manner in which records are kept is important but records must be kept for a period of time as specified by university, State and Federal law. Where these time periods are inconsistent one with another, records shall be kept to the longest period for the regulations in effect. When audits occur, it is most important that the manner in which records are kept be consistent across the life of the project and across the range of awards.
- 2) *Human Research Subjects*. The university has a policy for the protection of human subjects used in research and an Institutional Review Board (IRB) to review ALL research using human subjects. This means that such research activities, even if using only a survey, must be reviewed by the IRB prior to the start of any research activity. Furthermore, training is required for all researchers, whether faculty, staff or students, using human subjects in their research. The online training program used by GSU is called the [CITI Program](#).
- 3) *Intellectual Property and Copyright Compliance*. GSU's policy related to copyright and intellectual property can be found in the Policy E-Library--[Policy 62](#) Fair Use of Copyrighted Works for Education and Research.
- 4) *Laboratory Animal Care and Use Policy*. GSU's policy on the use of animals in research is detailed in [Policy 57](#)—Policies and Procedures Pertaining to Research Involving the Use of Animals—located in the Policy E-Library.
- 5) *Conflict of Interest Policy*. The Public Health Service (PHS) and the Office of the Secretary of Health and Human Services (HHS) has published a [regulation concerning financial conflict of interest](#) to ensure that that the design, conduct, or reporting of research funded under grants and cooperative agreements will not be biased by any conflicting financial interest of the investigators responsible for the research. This regulation includes NIH grants and contracts.

4.6 Closeout of Completed Projects

Closeout of any award will be accomplished only after all program activities are completed. The process is generally instituted by the principal investigator. Final financial and program reports will need to be completed for the funding agency by the principal investigator and the grants accountant, with copies to OSPR. The grants accountant will close the financial file and the project account. Project files, whether held by the principal investigator, grants accountant or OSPR, will be held in storage until scheduled for destruction as per regulations attached to the award of the funds or if none are specified, per university policy (six years).

OSPR will review the completed project with the principal investigator and the grants accountant. If there are unused funds, a decision will be made as to how these funds may be returned. The university and OSPR strongly encourage no funds be returned unless all other avenues of use have been exhausted.

Sometimes a grant award period may be extended. If such an extension occurs, the OSPR, the principal investigator and the grants accountant must be kept informed.

If the project becomes “institutionalized”, this means university dollars continue to pay for project activities. However, this is no longer a grant, and OSPR ends any involvement with the project.

4.7 Non-funded Proposals

If your proposal was not funded, there are some things that need to be done:

- Notify OSPR so that records can be brought up to date.
- Request comments. Use these to improve your proposal and submit again. Most Federal applications are not funded the first time.
- Discuss the non-funded project with OSPR to determine the best course of action. This may be reapplying at the next deadline under the same program, applying for a new grant under a new program, or rethinking the entire project.
- Never throw out a proposal. Your work can be recycled and improved.

Appendix A: Grants Related Glossary of Terms

Authorized Signatory Official/Signing Official/Authorized Organization Representative

The authorized signatory official is the university representative who can commit the university to a particular course of action. At the present time, the individual who is authorized to sign for grant applications is Linda F. Samson, PhD, the Interim Provost for Research and Graduate Studies.

Cognizant Agency: The Federal agency which, on behalf of all Federal agencies, is responsible for implementing the requirements of the Single Audit Act which include: reviewing, negotiating, and approving cost allocation plans, indirect cost rate and similar rates; receiving and approving non-federal audit reports; conducting federal audits as necessary; and resolving cross-cutting audit findings.

Competing Applications

Competing applications are applications that must undergo initial peer review. If an application renewal is noncompeting, its continuance is based on the completion of a progress report.

CFDA Number

The Catalog of Federal Domestic Assistance is a listing of Federal programs, with each program assigned a number, for which various entities can apply for funding.

DUNS Number

This is a nine digit number that is uniquely assigned to a business entity by Dun & Bradstreet and often required in Federal grant applications. GSU's DUNS number is 069982130.

Earmark

A legislative provision that directs approved monies be spent on specific projects.

Facilities and Administrative Costs (F&A)/Indirect Costs

These are costs that are incurred by a grantee for common or joint objectives that cannot be identified specifically with a particular project or program. Routinely included as part of the project budget, these costs are also known as "indirect costs" or an "indirect recovery rate." GSU uses a rate of 56% that refers to salaries and wages only.

Federal Wide Assurance Number (FWA)

This number is associated with the form every institution conducting human subjects research must file with the Office for Human Research Protections—HHS to establish policies and procedures to protect human subjects as required by 45 CFR 46. Most Federal grants require this number to be referenced in the grant application. GSU's number is A00005375.

Funding Mechanisms

Grants are financial assistance mechanisms providing money, property, or both to an eligible entity to carry out an approved project or activity. A grant is used whenever the NIH Institute or Center anticipates no substantial programmatic involvement with the recipient during performance of the financially assisted activities.

Cooperative agreements are support mechanisms used when there will be substantial Federal scientific or programmatic involvement. Substantial involvement means that, after award, scientific or program staff will assist, guide, coordinate, or participate in project activities.

Contracts are award instruments establishing a binding legal procurement relationship between NIH and a recipient obligating the latter to furnish a product or service defined in detail by NIH and binding the Institute to pay for it.

Funding Opportunity Announcement

This is a description of the grant or cooperative agreement a Federal agency intends to fund through a competitive process. Funding opportunity announcements may be known as program announcements, requests for applications, notices of funding availability, solicitations, or other names depending on the agency and type of program.

Grant Types or Activity Codes

Codes have been developed to classify the different types of grants sponsored by the National Institutes of Health. The general grant categories are fellowships (F), career development awards (K), research contracts (N), program project and research center grants (P), research project grants (R), research-related programs (S), training grants (T), cooperative agreements (U), and interagency agreements (Y).

Institutional Review Board

The committee formed within an institution to approve, monitor, and review biomedical and social/behavior research involving humans in order to ensure that the rights and welfare of the research subjects are protected.

Institutional Animal Care and Use Committee

The committee formed within an institution conducting animal research to approve, monitor, and review protocols and procedures to ensure their conformity to Federal law, established policies, and best practices.

Letter of Commitment

A letter from an agency or organization that will be part of the project, if funded, that is included with the grant application and describes the resources the entity promises to commit to the project.

Letter of Support

A letter from an agency or organization that will be part of the project or related to the project, if funded, that is included with the grant application and endorses the project, but promises no resources.

Matching or Cost Sharing

The value of in-kind contributions and the portion of costs associated with a funded program not borne by the funding agency.

Notice of Award (NoA) or Notice of Grant Award (NGA)

When a grant application is approved and funded, the Project Director/Project Manager/Program Director/Principal Investigator receives a NoA from the funding agency. The NoA obligates funding and specifies the terms and conditions. Only when the NoA is received, is the project authorized to move forward.

Principal Investigator/Program Director/Project Director/Project Manager

These terms refer to the individual responsible for the proper conduct of the funded project. This individual is accountable to both the grantee institution and the funding agency.

Sponsored Programs and Projects

Research, instruction, or service activities that are funded by an external party, conducted by university staff, about which there are certain expectations regarding outcomes and deliverables.

Unobligated Balance

Funds not used by the completion of a grant's project period.

Many of these definitions were taken from the glossary developed by the National Institutes of Health. For more definitions and information, go to <http://grants.nih.gov/grants/glossary.htm#C39>

Appendix B: Sample Proposal Format

The following is provided only as a general guide to the basic sections contained in a proposal. Always follow the directions contained in the grant application instructions.

Title Page

This page should include the following information:

- Short title that gives a clear indication of the essential nature of the project
- Name and address of the agency to which the proposal is being submitted
- Name, title, address, and telephone number of the PI
- Legal name and address of the University: Governors State University, One University Parkway, University Park, Illinois 60484.
- Date of project duration (the starting date should be set no later than the date when the first formal commitment for equipment or personnel will be made)
- Total estimated cost of the project
- Signature of the PI, and
- Signature and title of the University President or her designate. The President, or designate, is the sole authority for approving and accepting grants at GSU.

Abstract

The abstract should be written in simple, straightforward language. It should include: 1) description of the university, 2) issue or problem to be addressed, 3) objectives to be achieved, 4) kinds of activities to be conducted (methods), and 4) the total cost of the project. Most abstracts for grant purposes run fewer than 350 words and are limited to one double-spaced typed page or less. The abstract may be the first part of your proposal to be read, so it should be well written to interest the reader.

Table of Contents

A separate page showing the major sections of the proposal, with referenced page numbers, is sufficient in most instances. The proposal pages should be numbered sequentially with every page having a number. This protects against confusion if a proposal gets 'out-of-order' somewhere along the way. It is essential in hard copy submissions.

Introduction or Description of the University

The introduction should be a statement containing information about the region, the university, your college and your department, and the student body. It should also include the broad objectives of the project, as well as background information leading into the body of the proposal. It should be no more than two paragraphs in length or more than ½ page of 8.5 x 11 inch paper.

Problem Statement or Project Description

This section includes at least the following elements:

- a statement of the problem and objectives
- a review of the literature and related research, in terms of need for the project
- hypotheses to be tested or results expected

- project design, methodology, and evaluation
- benefit of effort (increase in knowledge, new curriculum, etc.)

Facilities

List such items as laboratory equipment and apparatus, laboratory space, field resources, library services, data processing capabilities, and other institutional services. Include an explanation of any equipment you propose to buy with grant funds. Include any university facilities to be utilized in conjunction with the proposed project. If appropriate, discuss handicapped access.

Personnel

Vitae and bibliographic information for the principal investigator and other professionals are necessary in this section. Your vita should be **SHORT**. This means usually no more than two to three pages. Always put only what is relevant for the particular project you are working on at the moment and leave out everything else! Many agencies are getting very demanding about size of vitae and may allow only a paragraph for your professional information.

Describe the number and academic level of any graduate and undergraduate assistants, as well as secretarial and clerical personnel who will work on the project. Frequently a short description will be appropriate here with full vitae included only for key personnel in the appendix.

Project Period

Describe the activities over the entire length of the project, from anticipated date of award through the final reporting period. Often the entire length of the project extends beyond the period for which initial funds are requested. Time lines, PERT charts, or other means of identifying the activity schedule are valuable in this section. Remember white space is good and helps the reader/reviewer to concentrate.

Research Plan/Evaluation Section

This is an extremely important aspect of your project. This section will decide how you collect data; report your results, whether you have success or failure. Always remember that, in this section, you design the evaluation process and you set the standards for success. Be very careful to not set your standards too high so they are unattainable or so low that the results are meaningless. If you have difficulties in setting up valid evaluation plans reach out to other faculty who may be skilled in this area. A good evaluation can frequently make a project fundable while a poor evaluation plan may kill a very good project. It pays to pay attention to how the results will be gathered and reported.

Budget (Line Item)

The budget must be a carefully considered, accurate estimated cost plan, which is second in importance only to the central project idea. To assure conformity with university and sponsoring agency policies, the budget should be reviewed by OSPR staff prior to finalizing the proposal. Be sure your budget numbers add up!

Budget Explanation (Budget Narrative)

The narrative explains how the costs were estimated and the need for the costs. The budget narrative) explains the distribution of salaries and wages, nature of fringe benefits, prices of equipment, categories of travel expenditures, major supply items, and computation of indirect costs. OSPR will provide assistance in development and format for the budget and budget narrative if requested. Never make your reader guess about how you arrived at a particular amount.

Appendix C: Sample Budget

Sample Budget for Project A

Job Title		%	Calendar Months	Year One (07/09-6/10)	Year Two (07/10-6/11)	
Project Director	Name 1	30	10	17,400	18,096	
Project Director	Name 1		2	5,800	6,032	
Project Coordinator	Name 2	80	10	40,000	41,600	
Focus Group Leader	Name 3	10	2	5,000	0	
Other Personnel						
Evaluator	TBN	5		5,250	5,460	
Project Assistant	TBN	20		5,000	5,200	
Subtotal A				78,450	76,388	
Fringe Benefits	Subtotal A x .33			25,888	25,208	
Subtotal B	Subtotal A + Fringe			104,338	101,596	
A & F	Subtotal B x .56			58,429	56,894	
Other Direct Costs						
Print material (brochures)					100	
Refreshments	(\$8.00 per person x 30 people x 4 sessions)			960		
Incentives	(\$25 per person x 30 people x 4 sessions)			3,000		
Video of 4 focus groups	(2 days with 2 per day)			8,000		
	Transcription			500		
Rent for program delivery locations				300	800	
Transportation				454	454	
Supplies				500	500	
Subtotal C				13,714	1,854	
Total Direct Costs	(Subtotals B and C)			118,052	103,450	221,502
Total				176,481	160,344	336,825

Appendix D: Helpful Grant Writing Information

- 1. GSU Legal Name:** GOVERNORS STATE UNIVERSITY
- 2. Authorized Signatory Official:** Linda F. Samson, PhD, Interim Vice Provost for Research and Graduate Studies
- 3. GSU Mail Address:** One University Parkway, University Park, IL 60484-0975
- 4. IRS Employer Identification Number (EIN#):** 362684803
(Fed ID#, FEI#, Tax ID#, or TIN#)
- 5. State Tax Identification Number:** use TIN# above
- 6. GSU tax exempt number:** [E9990-9847-05](#).
- 7. DUNS No.:** (Dun and Bradstreet): 069982130
- 8. Department of Human Resources Number:** IDHR# 126181-00 (valid from 05/07/2007-05/07/2012)
- 9. FWA #** A00005375
- 10. U.S. Congressional District:** 2nd (Illinois) Jesse Jackson, Jr.
- 11. Illinois General Assembly Senate:** District 40, Senator Toi W. Hutchinson
- 12. Illinois House Voting District:** 79th, Lisa Dugan, State Representative
- 13. Carnegie Status:** Master's L (for complete description of all categories of classification for Governors State University go to www.carnegieclassification-preview.org/index.aspx.)
- 14. Facilities and Administrative/Indirect Costs (F & A)**
56% salaries and wages only including fringe benefits for on-campus projects.
32% salaries and wages only including fringe benefits for off-campus projects.
- 15. Fringe Benefits**:** percentage of "fringeable" salaries and wages = 35% Est.
Summer Salary: (7.65% FICA/FICA MED) = 17% EST. fringe for summer salaries
- 16. Travel:** visit Procurement and Auxiliary Services website for up to date information

Appendix E: Award Management Checklist

Meeting to be initiated by the Office of Sponsored Programs and Research (OSPR)

Project Director:
Business Office:
OSPR:
Other (Human Resources, etc.):

Date:

Project Title:

Project Director:

Grantee:

Funding Agency: _____ **Award No.:** _____

Agency Program:

Agency Program Contact Person:

Phone: _____ Fax: _____ E-Mail: _____

Agency Financial Contact Person:

Phone: _____ Fax: _____ E-Mail: _____

Amount Funded (include multi-years): _____

Current Funding Period: _____ **Number of years:** _____
 mm/dd/yyyy mm/dd/yyyy

Is this a competitive award? Yes _____ No _____

Source of Funding: Federal _____ State _____ Private _____

Budget Summary (attach the detailed project budget approved by the agency):

Budget Category	Granted from Agency	Provided by GSU or other party as matching	Total Amount
Personnel			\$
Fringe Benefits			\$
Travel			\$
Supplies			\$
Equipment			\$
Other			\$

Total	\$	\$	\$

Funding Method: Reimbursement_____ Advance Payment_____

Report Due Dates:

Financial Reports: _____

Final Progress Report: _____

Other reports: _____

Equipment to be purchased: (description, use, cost)

1. _____

2. _____

3. _____

Positions Paid from the grant: (if any, HR must attend)

Name/Title	Period of Time	Percent	Amount*

*Amount listed is the proposed budget estimate. Amounts shown here reflect allowances for a 3% salary increase annually. This increase is to be applied only if approved according to GSU's usual salary increase procedures.

Contribution/Matching

PERSONNEL

Name/Title	Period of Time	Percent	Amount*

*Amounts are estimates based on known salary rates at the time of proposal submission. Documentation of the actual amount of time contributed and its equivalent dollar value should be made using calculations from time-and-effort reports and payroll records.

OTHER (space, materials, etc.)

Item Description	Source of Funding	Amount

Note any **special restrictions or conditions**:

Project records are to be retained _____ years.

Restrictions on publicizing this award? Yes _____ No _____

Describe here:

GENERAL GUIDELINES FOR PROJECT MANAGEMENT

TERMS AND DEFINITIONS

Project Start and End dates

Expenditures for the project must occur in the current funding period. Invoices and other forms authorizing payment must reflect dates that fall within this period. The account must be cleared and closed out within the time specified in the award. A request for a “**no-cost extension**” of the project end date must be applied for before the end date of the award and approved by the granting agency.

Signature Authority

The “Authorized Institutional Official” is the President of GSU or a designate. The signature of the Project Manager must be on all budgetary and reporting actions including reports of personnel effort on the project. Usually the business office accountant signs the fiscal reports.

Sub-accounts (budget categories) funded in the approved award budget

Expenditures billed to the grant project should be in accordance with the budget approved by the awarding agency. Costs charged to the project should be identified by account categories within the assigned account. The Project Director should maintain adequate records identifying all expenditures. If a change is necessary in a line item - advance approval from the funding agency is required for significant deviations from the approved budget. ‘Significant’ may be defined differently by different agencies but is usually in the range of 10% to 20% of total award. Note: Using grant funds for expenditures not identified in the approved budget must be approved by the funding agency prior to expenditure. Some expenses may not be allowed (advertising, food costs, etc) under the grant guidelines.

Reporting dates and requirements

Completion and timely submission of required reports are the final responsibility of the Project Director. Financial reports must indicate actual expenditures and not amounts estimated in the proposal budget (e.g. fringe benefits). The Director of the Office of Sponsored Programs and Research will assist the Project Director if needed. The Business Office Accountant usually will prepare the actual fiscal report and may submit it at the Project Director’s request depending on the language of the award document.

Certifying personnel effort

All effort, whether paid by grant or provided as cost sharing, must be verified and is auditable. The time and effort of personnel assigned to the project must be certified by the employee and/or the Project Director. The Project Director shall sign the activity reports certifying the level of effort of all personnel assigned to work on the project regardless of whether or not the individual is compensated from the grant funds or is providing services as a match. Levels of effort charged to the grant should be consistent with the proposed effort on the project. More effort is acceptable and need not be documented; less is not acceptable without negotiation.

Documenting cost sharing Matching or cost-sharing contributions indicated on the approved budget must be documented by GSU and reported to the funding agency on regular expenditure reports. The Business Office Accountant prepares these reports and the Project Director will be asked to certify that the identification of cost-sharing/matching is accurate. Contributions of in-kind goods or services must be documented in accordance with federal regulations and the Project Director is expected to certify to the accuracy of the reports prepared by the Accountant.

Special restrictions

Equipment for GSU is any item costing over \$5,000 with a useful life of over one year. Items costing less than \$5,000 are considered minor equipment or materials/supplies. This policy is in line with federal determinations of equipment. Entertainment, food (except in very special circumstances and with prior approval), alcoholic beverages and gratuities are not allowable costs and cannot be charged to a grant.

Sub-agreements/sub-recipients

All restrictions and requirements contained within the original award flow down, in full, to all sub-recipients and must be referenced in all sub-agreements.

RESPONSIBILITIES OF THE PROJECT DIRECTOR/PROJECT MANAGER***The Project Director/Project Manager, to the best of his/her ability**

- ✓ Is responsible for the programmatic management of the grant or contract and conducts the project to meet project goals and objectives while adhering to agency guidelines and GSU policies and procedures.
- ✓ Is responsible for financial management of the project. The Business Office Accountant shall assist with accounting procedures, maintain records, and provide up to date financial reports as required by the regulations of the university, the State of Illinois, the Federal Government and the awarding agency. The Project Director/Project Manager signs all agency forms/reports, which request the “Project Director” signature.
- ✓ Insures that project expenditures are appropriate to the project and necessary to meet project goals and objectives by maintaining adequate oversight of expenses.
- ✓ Accepts the responsibility for meeting the cost sharing obligation committed in the budget approved by the agency and GSU and will document by certifying the time and effort of all paid and ‘match’ personnel as required by the award.
- ✓ Shall have no conflict of interest that may conceivably affect the conduct of the project. Any such possible conflict of interest must be reported to the Director of the Office of Sponsored Programs and research as soon as it is apparent.
- ✓ Shall administer this award within GSU policy directives for the protection of human research subjects, laboratory animal care and use, and the use of potentially hazardous materials as these policies may be relevant to the conduct of the project.
- ✓ Shall submit all reports required by the grant or contract on a timely basis. To delay reporting may endanger further funding from a given agency/organization.

This document has been read and is accepted as of (date) _____

Signed:

Project Director

Business Office

OSPR

Human Resources

*The Project Director/Project Manager is the person so identified on the cover sheet of the application for the grant funds.