

PI HANDBOOK

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

Prepared by

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Most Recent Revision June 15, 2007

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GOVERNORS STATE UNIVERSITY ,
OFFICE OF SPONSORED PROGRAMS AND RESEARCH

Chapter 1

Policies and Procedures

1.1 Policy , Purpose, Mission Statement, and Definitions

Purpose

The Office of Sponsored Programs and Research (OSPR) is a service unit of GSU for faculty and staff desiring to obtain external funding for research and other projects. OSPR's over-reaching goal is to encourage and assist GSU faculty and staff in their pursuit of external funds to support research, instruction, and other aspects of university and community outreach activity. In that capacity, OSPR acts as the link between the investigator, GSU administration and the sponsoring agency.

Grant writers within the university community can look to OSPR for assistance through the application process before and after award. OSPR works with the various institutional compliance committees; IRB, IACUC, etc. to ensure that research supported at GSU meets the compliance requirements of Federal, State and institution.

This office provides ongoing information and training to keep faculty updated on funding opportunities and compliance issues. OSPR will work with the GSU Business Office, Procurement and Human Resources offices to ensure full oversight of grants administration, and maintain full compliance and accountability standards that meet Federal and State requirements.

Mission Statement

The Office of Sponsored Programs and Research, a service unit of the University, operates within the Office of the Provost. This office strives to support and encourage increased activity in obtaining external funding for research, instruction and other activities related to the Mission and Goals of the Office of the Provost and Governors State University. In this capacity, the office will provide assistance to faculty and staff of Governors State University in all phases of externally funded project activity. Support includes assistance with locating funding sources, preparation of proposals, processing and obtaining appropriate sign-off, post-award administration, and general compliance oversight.

Definitions

GRANT: A written agreement carrying requirements for regular reporting of research findings, and/or activities. Most grants, but not all, are received from governmental or philanthropic organizations and carry a specific start and end date for the funded project.

CONTRACT: A written agreement between a sponsor and the University containing a specified list of services, or deliverables, to be performed. Contracts are generally awarded for specific work, instruction, training or similar activities. Contracts may be a “fee for service” or reimbursable for expenses incurred up to a specified amount over a specified period of time.

SPONSORED PROJECTS: Externally funded grants or contracts for research or other scholarly activities that have a defined scope of work or set objectives that provide a basis for sponsor expectations are considered sponsored projects.

If you are engaged in any of these activities or supervise individuals who are or hope to be engaged in these in the future, consult the Office of Sponsored Programs and Research.

1.2 Description of the Office of Sponsored Programs and Research

The Office of Sponsored Programs and Research (OSPR) is an autonomous unit within the Provost's office. The office provides support to faculty and staff interested in preparing competitive proposals for external funding. Support includes workshops, training programs, resource materials, and other activities as may be relevant to the preparation of a 'fundable' proposal. The office is physically located in F Building, suite 2610. Currently the staff consists of a full time Director, a .5 FTE Administrative Assistant and one Graduate Assistant.

1.3 Services Provided by OSPR

The office facilitates administrative review and approval of all proposals for sponsored projects in research, instruction, and other university-related activities from the initial planning phase through award and administration. Post-award activities, fiscal arrangements, and grant implementation are the shared responsibility of the researcher or principal investigator, the researcher's College and Division/Department, the Business Office, and the Office of Sponsored Programs and Research. Lastly, OSPR serves as liaison between the sponsor and the grant writer in negotiating agreements and resolving grant issues, as these may arise

The services provided by OSPR cover a wide range of support to the grant writer/researcher. The grant writer is the final authority as to what support is needed. OSPR will assist in all activities related to proposal preparation and administration as needed by the grant writer or required by University policy, State and/or Federal regulations.

- (a) **Funding Sources.** GSU subscribes to database resources available campus-wide to faculty and staff having a @govst.edu address. Some resource materials may require obtaining an ID and PASSWORD from OSPR.
 - 1) **Grants Information Service** in the University Library. The University Library's Grants Information Service provides consulting service on locating funding support and mediated grants database search services. Several grants related databases are currently available on the library's Journals/Databases web page and may also be accessed from the OSPR web page. A faculty librarian liaison to the OSPR provides assistance and training in the use of the Grants Information Databases and works closely with OSPR in providing additional training opportunities for faculty and staff. Additional information about the GSU Library's Grants Information Services may be found by going to the library's web page at www.govst.edu/library/grant.
 - 2) **Grants Resource Center (GRC)** is a subscription service provided under the auspices of the American Association of State Colleges and Universities (AASCU)) for which GSU pays an annual fee. The web address is <http://www.aascu.org/grc>. This service is supported by the OSPR and provides announcements sent on to interested faculty and staff by OSPR and/or the GSU Library. The same information also appears on the OSPR web page (www.govst.edu/ospr). These announcements are updated weekly,

sometimes more frequently. An **ID AND PASSWORD** are required for full use of this resource, including Grantsearch. Request access ID and PASSWORD from the office of Sponsored Programs and Research.

- 3) **GrantSearch** is a database that includes most federal announcements and some private funding sources. This searchable database is provided by the Grants Resource Center, a unit of the American Association of State Colleges and Universities. GSU faculty and staff may utilize this searchable database by obtaining an ID and PASSWORD from the Office of Sponsored Programs and Research at 235-3308.
 - 4) **DEADLINES** is another publication of GRC and may also be accessed by visiting the OSPR web page. This document is updated monthly with the most current federal deadlines and some private foundation deadlines as well.
 - 5) **Grants.gov** is a federal electronic service that is becoming the one point submission for all federal agency proposals. This web site provides information on recent federal program announcements and you may use this site as a personalized funding announcement resource. The Office of Sponsored Programs and Research is the designated authority to submit proposals using this program at Governors State University.
 - 6) **Metasoft (BIG ONLINE)**. This is a resource available to the staff in the OSPR and the Library. It is not generally available to the faculty, staff or students but the resources are used to locate funding opportunities and expands the funding program information available
 - 7) The **Foundation Center** is a resource that is provided to selected libraries and is also available on line for limited search opportunities before one must pay a subscription fee. The GSU Library and OSPR have limited access to this research database of private and corporate foundations.
 - 8) Links to the resources available to the GSU community listed above are on the OSPR web page and available through the GSU Library web site.
- (b) **Application Assistance (Pre-Award)**. OSPR provides support and assistance as needed throughout the application process. Should the grantwriter desire review and/or editing of the proposal at least five (5) working days should be provided to give OSPR sufficient time to read and review the proposal. Editing is a service, not a requirement, and may be used, or not, at the PI's discretion. Regardless of whether or not the PI requests editing service of a proposal prior to being sent off campus, it will be checked for adherence to the guidelines of the funding organization and general grammar usage, spelling, etc. Inconsistencies with the guidelines will be called to the grantwriter's attention for correction.
- 1) **The OSPR web site** <http://www.govst.edu/ospr> provides a wide range of resources to support the grantwriter. There are links to agencies, forms, information on process and policies at GSU that may impact the proposal,
 - 2) **Guidelines, regulations and policies**. OSPR will assist the grantwriter in the interpretation of policies, regulations and guidelines applicable to particular projects. A simple request for assistance is all that is needed to get started. The office maintains an in-house database related to faculty interests and expertise (FACDAT). Many agency and foundation contact addresses are provided on the OSPR web site for use of the faculty and staff at GSU.

- 3) **FACDAT.** This database was developed by the Office of Sponsored Programs and Research and is used to assist in locating funding sources for faculty projects. FACDAT provides a format for faculty, staff, and administrators at GSU to register their research interests. To be a part of this database you need only complete a short registration form. All GSU faculty are urged to join this database. Click here to connect to [FACDAT](#).
- 4) **Proposal guidelines.** Carefully following the program guidelines (RFP's announcements, etc.) is absolutely crucial to preparation of a winning proposal. OSPR is available to assist in finding the desired guidelines for a project and will also aid in interpreting them. Most federal program deadlines and application forms are now available online through www.grants.gov and this is an easy process if you have the CFDA number or Agency Name.
- 5) **Contact with agencies.** OSPR encourages the principle investigator (PI) to make contact with agency program managers, whether these are state, federal or private organizations. Every PI is encouraged to contact program staff to discuss their ideas prior to writing a proposal and as frequently as necessary during the preparation of the final proposal. It is invaluable to build a relationship with the agency program manager and generally, these individuals are pleased to be consulted and asked for their assistance. If locating phone numbers or e-mail addresses proves difficult OSPR will assist.
- 6) **Budget Preparation.** OSPR staff will assist in developing a proposal budget. Writing the proposal, developing a reasonable budget, and writing the budget narrative require somewhat differing skills in each case. Sometimes a grantwriter's strengths do not cover all of these areas and they are encouraged to seek assistance from OSPR. Not everyone can develop a valid evaluation tool and you are encouraged to seek assistance from colleagues with those skills, OSPR encourages the writer to seek assistance in developing the budget or other aspects of the proposal. All budgets will be checked for accuracy in simple math and for appropriate salary levels, fringe benefit percentages, and eligible expenditures. The proposal will not be approved until the budget, and any University commitment (match) is accurate and in accord with university policy.
- 7) **Approval and signatures.** No proposal shall leave the campus without full signoff and approval. With the increased use of electronic submission some of these rules may seem less valid. They are not. Every proposal sent off the GSU campus is a University submission, not a personal submission, and as such, the signature of the President, or his designate, must appear on each and every proposal, and if not on the proposal, on the internal approval and signoff form at the very least. An electronically submitted proposal does not change the need for approval nor does it change the responsibility that accompanies a proposal for external support.

i) Signatures of Dean and Division/Department Head. Obtaining these two signatures on the Approval and Sign Off Form are the responsibility of the grantwriter. Having the Division/Department Head and the Dean's

signatures serves to assure OSPR that the PI's immediate supervisor and Dean are aware of the proposal and approve of the activity. A proposal submission cannot go forward without these signatures.

ii) Signatures of Budget Officer, Provost, President. Once a proposal and the Approval and Sign Off Form have been presented to OSPR for processing the file will be reviewed. This includes checking the budget and the guidelines to be sure the proposal meets the requirements of the guidelines. After this review the proposal will be given to the Budget Officer for review and then taken to the Provost (or other appropriate Vice Presidents) and President for their review and approval. Only at this point is a proposal ready to leave the campus. A grant writer should take care to allow for five working days for review of their work prior to the deadline date. In the case of electronic submission, an additional day, or two, should be allowed.

Note: In the case of a tight deadline the grantwriter should work closely with the OSPR staff to assure that adequate review can be accomplished. Under these circumstances in-depth review of budget, appropriateness, adherence to the guidelines, etc. may not be possible. Should a proposal be funded under these circumstances, a serious look at the commitments of the university and appropriateness to the institution's mission will be done at the time of award. **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.**

iii) 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 may be different, but generally a grantwriter 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 same. This will always require more time than the suggested five (5) working days. All collaborative projects should be discussed with OSPR staff well before any deadlines to be sure that everyone is working together, the grantwriter knows what the requirements for review are and can set a timeline reflecting those expectations to assure the submission deadline can be met,

- (c) **Proposal Submission.** Proposals are submitted by the OSPR. Any exceptions should be discussed with OSPR well before the submission deadline. Proposal submission may be via hard copy through regular mail service, by hand delivery to an agency, by electronic submission, or even via fax machine. The manner of submission is entirely based on the regulations/requirements of the guidelines for the particular program. The grant writer is urged to take the time, when beginning the effort to write a proposal, to read the guidelines very carefully, set up a working

timeline, and discuss the project with OSPR. Most deadlines are strictly adhered to and only extraordinary circumstances will warrant any change. That means a grantwriter cannot expect to ask for extra time. There will be no extra time. OSPR will take care of getting the proposal submitted by mail, fax, or electronic means as necessary. This includes the approval requirements, copy work, packaging, posting, etc as needed. This service can only be provided effectively if the office is given five (5) working days to complete the process. A PI who fails to provide reasonable time to review and obtain approval for submission, may find that OPSR will be unable to assist them and any proposal submitted under such circumstances may expect post-submission review and could be subject to recall from the funding organization.

1) **Electronic Submission.** Submission via electronic means changes the timeline somewhat. The grantwriter is still responsible for writing the proposal and for getting the approvals of immediate supervisor and their Dean and OSPR will still manage the final signatory approvals and reviews. However, there are steps that the individual grantwriter needs to be aware of and manage time accordingly to accommodate these steps prior to submission. Frequently the individual writing the proposal must be registered within the submitting system which can take up to 3 days to complete. Also, the actual process may be a new one and somewhat daunting, and any new process always takes longer the first time. For this reason, early discussions with OSPR are advised so that any up-front registration or training can be obtained before the crush of the deadline descends. The actual submission, pushing the 'send' button, is accomplished by OSPR. However, due to the many variables coming into play with electronic submissions there may be occasions where the grantwriter will actually submit a proposal, but only after OSPR has given the go-ahead based on full approval by all concerned. **NO PROPOSAL SHALL BE SUBMITTED WITHOUT THIS GO-AHEAD.** A failure to cooperate with these rules for submission can result in the University exercising its option not to accept an award. There are a number of electronic submission systems. A description of the major programs follows.

i) **NSF FASTLANE.** This program is an electronic service of the National Science Foundation. 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. FASTLANE is a restricted service and you must be registered to use it. The University is registered as an SRO (Sponsored Research Office) with FASTLANE so your registration is relative simple and straightforward. Pre-registration as a researcher is necessary and takes about two (2) days to be processed. To register as a Researcher with FASTLANE visit the following address: www.fastlane.nsf.gov/fastlane.jsp or contact OSPR at 235-3308. Some NSF proposals are now being submitted through Grants.gov.

ii) **Grants.gov.** This program is fast becoming the primary method for electronic submission to all agencies within the Federal government. As with

FASTLANE, the university must be registered as an AOR (Authorized Organization Representative). This process takes up to six days and, luckily, is only required the first time an institution makes a submission. Governors State University is fully registered. This program does not require pre-registration for the individual uploading his/her proposal into the grants.gov program. Once a proposal is uploaded into the system the AOR (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 provides a tutorial that will aid the new user. Select “Applicant User Guide” to reach the tutorial.

iii) **E-grants.** This electronic submission process is the U.S. Department of Education’s submission process, and requires individual registration. At this time no institutional registration is required. This does not mean that the grantwriter is free to submit at will without institutional approvals and review. None of the rules change and the proposal is submitted only when OSPR validates all approvals and the proposal is complete and ready to be submitted. Based on the current activity in electronic submission within the Federal government, E-grants will probably be phased out over the next 12 to 24 months. It may continue to be used for submission of reports and closeout information for some time to come.

iv) **NIH eRa Commons (<https://commons.era.nih.gov>).** This is the program used by the National Institutes of Health for proposal submission in conjunction with Grants.gov. Once again, this program requires institutional and individual registration prior to use. It has become a tandem operating system with Grants.gov. That means Grants.gov is used to submit the proposal, and it is also submitted 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. However, this only works if there is time before the deadline. Early submission is, therefore, a highly recommended goal for any grantwriter submitting electronically to NIH. As you may have realized by this time, all of these programs require up front preparation and some thought well before you are ready to submit your proposal.

- (d) **Post-Award Administration.** Administration of your award is a combined responsibility for the grantwriter/project director, OSPR and the GSU Business Office. Many activities related to the award are programmatic and are the sole responsibility of the Project Director. However, OSPR stands ready to assist should there be difficulties with the Award Program Manager and the PI. The GSU Business Office has designated a Grants Accountant who manages the fiscal aspects of the award. If the budget has been carefully and thoughtfully prepared, the actual management of the expenditures should be a relatively straightforward task. However, there may be difficulties, time changes needs, emergencies happen,

etc., and the business office Accountant is your first line of defense. Working together as a team will make the entire process much easier for everyone.

- 1) **Account set-up.** When an announcement of funding has been received, that announcement may be received by various individuals on campus. Whoever receives the notice is expected to notify two people, the OSPR staff and the Grants Accountant. An account is set up in the Business Office that is unique to the funded project and this is the account the PI will use for all expenditures. Setting up this account requires using the form: **Account Request Form**. Right now this form is available in hard copy in the Budget Office and from OSPR. It should be online very soon.
- 2) **Setting up the ACCOUNT REQUEST FORM.**
 - i) Complete the Account Request Form including the names and signatures of the individuals approved to sign purchasing requests.
 - ii) Add a copy of the fully executed contract, award letter, or other award documentation indicating this award has been made
 - iii) Include the funded line item budget for the award
 - iv) Complete the Signature Card for any individual not already having a signature card on file in the Purchasing Office.

The materials should be bundled into a packet and taken to the Budget Office where the account number will be given to the award. Once the number has been given to the account the entire packet will be sent forward to the comptroller where the grant file will be maintained by the Grant Accountant. Forms may be obtained from the Budget Office, OSPR and for the Signature Card, the Purchasing Office and OSPR have a supply of these. Preparing your Account Request Form and the accompanying packet will alleviate a good deal of confusion and numerous requests for additional information. The OSPR will assist in the process of putting together the packet for forwarding to the Budget Office.

- 3) **Grant Management Checklist.** This form is used with the OSPR office and includes calling all the individuals, the PI/Project Director, the grants accountant, possibly human resources and other GSU units to sit around a table and go through the aspects of the award that affect them individually and as a group. The object of this activity is to inform one and all of the requirements of the award and give the PI an idea of who the people are in the various offices that will be working on the award. Seasoned grant recipients may feel this activity is redundant; however, it frequently makes a great deal of difference in how smoothly a new award gets up and running.
- 4) **Facilities and Administration Costs (Indirect Costs).** This allowance, added to the direct costs of a proposal, is that amount designated to compensate an institution for the hard-to-define costs of having an award. The actual percentage allowed to Governors State University is currently

55% of salaries and wages (only) charged to the budget as direct costs. The actual amount that GSU may receive on any given award is frequently much lower than this amount. All discussions about F&A charges include OSPR and a joint decision will be made as to the percentage to be requested. It is the intent of OSPR and Governors State University to always charge the allowable rate at its maximum unless circumstances dictate otherwise. The grants accountant maintains records of earned F&A and reports regularly to the project director as to 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 PD/PI, Department/Division and Provost. Questions about this division of earned F&A funds may be directed to OSPR or the Provost.

- 5) **Assistance with fiscal reports.** Fiscal reports are generally required by the award sponsor at least annually, sometimes more frequently, and these reports will usually be prepared by the grants accountant. The reports may be combined with a programmatic report and sent in as one document by the project director, or may be sent directly to the award sponsor by the grant accountant.
- 6) **Effort Reporting.** The policy regarding effort reporting has been developed in line with the requirements of the federal government to assure accountability. The report of effort refers to the percent of time paid for by the grant/contract funds and the percent of time/effort provided as a GSU match by faculty and staff written into the proposal. The policy and form for reporting effort are available on line via the OSPR web site. Reports will be required quarterly and will be sent via e-mail attachment to be completed by the individual, signed by the PI and returned to OSPR in a timely fashion.
- 7) **Draw down of funds.** The Grants Accountant in the Business Office manages the draw down of all funds under the regulations of the grantor and the University. Any questions about how funds are to be drawn may be directed to the Grants Accountant.
- 8) **Procurement of supplies, equipment, services.** All items to be purchased using grant or contract funds must, first of all, 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.
- 9) **Other assistance** as needed during the course of an award. Needs may arise related to all manner of items during the course of the project and its administration and management. Whatever may occur, OSPR stands ready to assist, if possible, in correcting, managing, or calming a situation. Words to remember in grant administration: "Consistency is the best defense for any

action.”

- 10) **Retention of records.** All records shall be retained for the period of time that all official documents are retained at GSU or as required by the award, whichever is longer. This time frame begins at the end of the final activity and closing of the account. When the time has elapsed, the files held in the OSPR office shall be destroyed in an appropriate manner, and other offices holding related files will be notified when possible.

1.4 Relationship with the GSU Development Office

The Office of Sponsored Programs and Research is the central coordination point for competitive proposals that involve an external grant or contract and the University. Proposals to non-governmental sources (corporations, foundations, etc.) which do not involve contractual obligations may be submitted to the office of the Vice President for Institutional Advancement. The OSPR staff will always work with the GSU Institutional Advancement office to assure proper reporting of all grants, contracts, and gifts to the University.

1.5 Report of External Awards

The Office of Sponsored Programs and Research shall prepare a list of all current and pending grants on an annual basis, and at any other point in time when such a report is requested by the President of GSU or other administrative unit. This information is usually included in the President's Annual Report and becomes a part of the permanent record of the University. To maintain an accurate description of those funds which Governors State University is receiving from outside sponsors and those commitments which are made by the University, it is absolutely necessary that OSPR be informed of all externally funded research activities. There is no exception to this rule.

Chapter 2

Putting a Proposal Together

2.1 Proposal Development

The procedures below are a step by step guide for a grantwriter. The steps outlined are in sequential order and take a writer from the start of the project-idea, through the application process, to a completed proposal. This is a general guide only – almost all programs have specific guidelines which must be followed explicitly. However, studying the following sections may assist the novice grantwriter in getting started.

2.2 Steps to Follow in Proposal Development

(a) **Preliminary Approval at GSU.** Register using the **FACULTY DATA SHEET** found on the OSPR web site so that your interests are on file in the OSPR office and can be matched with potential funding opportunities. Obtain preliminary informal approval of your project from your department head and dean or director. Talk to OSPR staff and/or the Grants Researcher in the Library to get help in locating funding opportunities. Once you have a program identified you can obtain program guidelines (RFP, Announcement, etc), learn the deadline dates, and generally begin to plan your next step.

(b) **Meet with OSPR.** Discuss your project idea with OSPR. Bring your guidelines, if you have them, as these will assist everyone in understanding how to set up a timeline, whether or not you are eligible for the program, etc. If you do not have a source of funding already targeted, a search for possible funding sources can begin at this time. You may be asked by the OSPR Director to put together a 1 to 3 page prospectus describing your idea. Don't forget to complete the **FACULTY DATA SHEET** form.

(c) **Guidelines and Forms.** Once you locate a funding source, obtain the appropriate guidelines, application forms, and other required data for your project via on-line services or from OSPR. Be sure you have signed up with whatever electronic submission system you plan to use as directed in the guidelines. OSPR will assist you with this process.

(d) **Timeline.** Set your timeline working back from the deadline. Keep in mind the deadline for reception of your proposal at the sponsoring agency and the processing time within the University (**5 working days are necessary and more may be needed if electronic submission is involved**) for appropriate sign-off and approval.

(e) **Draft Proposal.** Write a draft proposal, carefully following the guidelines of the Request for Proposal (RFP). Have a colleague review and comment. The OSPR is available for suggestions and draft reading/editing.

(f) **Budget**. Begin work on the budget. If you have any concerns about developing a budget make an appointment to work with OSPR. A page of information helpful to the grantwriter is available on the OSPR web site, go to <http://www.govst.edu/grants/> and select “Forms” from the left hand column. This helpful list is also located in section 2.5 of this Handbook.

(g) **APPROVAL/SIGN-OFF Form**. This is an on-campus form used to provide the basic information about your proposal. This form should be completed in full and must have the signature of the department head and dean before coming to OSPR. If there is more than one department or more than one college involved in the project, each department head and dean should sign the form before it goes to OSPR.

(h) **Proposal to OSPR**. A copy of the proposal (or an abstract and budget), the Proposal Sign-Off Form, and the program guidelines should be brought to OSPR at this point. Final approval and signatures indicating institutional approval will be obtained by OSPR. No proposal may be sent off campus prior to full approval.

NOTE: Your review form should have the signatures of your department/division head(s), and you should allow five (5) days for the review and approvals prior to submission through OSPR. Any problems with this time frame should be discussed as early as possible with OSPR so that adjustments can be made to handle your submission properly and meet the deadline as required.

(i) **Approved Proposal**. When a proposal is fully signed by GSU administrators, the proposal returns to the OSPR office. At this point the final processing, copying, etc. for mailing, faxing or for electronic submission to the sponsoring agency by the published deadline will be completed. The grantwriter should plan to be fully involved in the actual electronic submission. Working with OSPR during this process will assure a proper submission meeting the deadline.

(j) **Rejected Proposal**.

Administrative: Should a proposal not receive full approval with signatures, OSPR will determine the reason. If it is something that can be ‘fixed’ by editing or minor changes, these will be made at once. Should a proposal not be approved for any reason, the administrator declining to approve will inform the Office of Sponsored Programs and Research Director. The Director will contact the proposal writer(s) and attempt to resolve the problem. If necessary the proposal will be pulled and the PI(s) will be asked to reconsider the project.

Agency Rejected: A proposal rejected and not funded by the agency (federal, state, private) should be processed by requesting the reviewers’ comments, if available, and then considering how to best revamp the proposal for re-submission at the next competitive deadline for the desired program.

2.3 Agency Proposal Review Process

Applications for financial support from sponsoring agencies are submitted as a formal grant proposal which has passed through the internal review process. The proposal is the document on which the University and the sponsor base their commitments of funds, facilities, and services for the performance of the project.

A wise grantwriter will write a proposal describing the project clearly in concise and straight forward language. Generally, the review process is undertaken by the writer's peers. However, to assume that every person reviewing your proposal has exactly the same background and precisely the same small niche of expertise is to presume too much. Do not use jargon or 'in' words. These can be off putting and make a reviewer feel uncomfortable. It is wisest to write your proposal to an intelligent and informed, but not expert, audience.

The written proposal may be the only contact that the funding agency's reader has with the project. It is essential that the proposal be technically sound and clearly written. The proposal should address the requirements listed in the guidelines and describe the project in the most complete and clearest possible terms. Funding agencies generally review and evaluate proposals with reference to four major considerations:

- (a) The significant results to be obtained from the research project,
- (b) The resources required to conduct the project in terms of existing and projected commitments of the agency and the University,
- (c) The cost effectiveness and efficiency of the project, and
- (d) The competency of the investigator to undertake the proposed research.

Other criteria may also exist as set by specific granting organizations and the PI is expected to carefully review the guidelines to determine that his/her proposal meets all funding criteria. The OSPR office reviews the proposal prior to submission to ascertain its completeness and appropriateness.

Most sponsors furnish standard application forms, which must be used. In the absence of specified forms and proposal formats, use the sample format which follows. During preliminary planning, the PI should consult with OSPR staff to obtain all guidelines and forms and read through them thoroughly. The sample format that follows covers all the major elements identified by most grants administrators as essential to a sound proposal.

2.4 Sample Proposal Format

Title Page

This page should include the following information:

- (a) Short title that gives a clear indication of the essential nature of the project
- (b) Name and address of the agency to which the proposal is being submitted
- (c) Name, title, address, and telephone number of the PI
- (d) Legal name and address of the University: Governors State University, One University Parkway, University Park, Illinois 60466.
- (e) 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)
- (f) Total estimated cost of the project
- (g) Signature of the PI, and
- (h) Signature and title of the University President or his designate. **The President, or designate, is the sole authority for approving and accepting grants at Governors State University.**

Abstract

The abstract should be written in simple, straightforward language. All pertinent aspects of the sponsored activity, including a summary of the objectives and a description of the results to be expected, should be contained in the abstract. **Most abstracts for grant purposes run fewer than 350 words and are limited to one double-spaced typed page or less.**

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

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 a broad objective(s) 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.

Project Description

This section includes at least the following elements:

- (a) a statement of the problem and objectives,
- (b) a review of the literature and related research, in terms of need for the project,
- (c) hypotheses to be tested or results expected,
- (d) project design, methodology, and evaluation, and
- (e) benefit of effort (increase in knowledge, new curriculum, etc.).

Remember: The descriptions may vary considerably in design, in view of the specific intentions of the project or the procedures and traditions of a particular discipline.

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 PI 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, always, white space is good and helps the reader/reviewer to concentrate.

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)

Often the budget page is accompanied by additional pages (the budget narrative) explaining 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. The Office of Sponsored Programs and Research 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.**

GSU HELPFUL GRANT WRITING INFORMATION

General Information for Proposal Writers and Others about GSU:

- 1. GSU Legal Name:** GOVERNORS STATE UNIVERSITY
- 2. Authorized signatory official:** Stuart I. Fagan, President
- 3. GSU Mail Address:** One University Parkway, University Park, IL 60466-3165
- 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 Debbie Halvorson
- 102 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.)

THE FOLLOWING RATES changed effective 1 July 2007. These rates will be in effect through 30 June 2009. The Director of Financial Services at GSU oversees the application for

F&A Review - this application is next due on 31 December 2009.

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

56%* Salaries & Wages only for on-campus projects.

32% for off-campus projects also for salaries and wages only.

15. Fringe Benefits:** percentage of "fringeable" salaries and wages = **33% Est.**

Summer Salary: (7.65% FICA/FICA MED) = **17% EST. fringe for summer salaries)**

****This is an area of some discussion so please contact OSPR or Human Resources for accurate figures at the time you are preparing your budget.**

16. Per Diem: For forms and more information go to the following location on-line:

http://www.govst.edu/admin/t_admin.asp?id=2911

A travel period is defined as overnight or in excess of 18 hours. The in-state rate is \$7.00 per quarter day and out-of-state rate is \$8.00 per quarter day. Quarter days are as follows: 12:00 midnight to 5:59 a.m.; 6:00 a.m. to 11:59 a.m.; 12:00 noon to 5:59 p.m.; 6:00 p.m. to 11:59 p.m.

The total per diem rate is

\$28 per day for in-state travel and

\$32 per day for out-of-state travel.

When the cost of meals for approved conferences is a part of the registration fee, and paid or reimbursed by another institution, the traveler shall deduct the following amounts from the per diem or per meal allowance:

| | In-State | Out-of-State |
|-----------|----------|--------------|
| Breakfast | \$ 5.50 | \$ 6.50 |
| Lunch | \$ 5.50 | \$ 6.50 |
| Dinner | \$17.00 | \$ 19.00 |

Criteria used to make these determinations may be found at: Illinois Higher Education Travel Control Board <http://www.stateuniv.state.il.us/travel> . Because rates can be changed at any time it is wise to always check the current rates before beginning your budget calculations.

All travel must be approved before the event and must be documented for reimbursement. Form for making request for reimbursement may be found on the GSU web site under

“Travel” at http://gsunet/auxil/t_auxil.asp?id=318.

17. Mileage: Private Motor Vehicles

Effective July 1, 2005: Personal Automobile - 44.5 cents per mile

(All trip mileage must be documented by including beginning and ending readings of the vehicle's odometer)

18. FY08 Bid Thresholds (per scope of work). These limits are set by the Higher Education chief Procurements Office related to agreements, purchases, contracts and sub-contracts including those that are external funding-related. Amounts at, or surpassing, these listed limits must go through the bid process.

| | |
|--|----------|
| For Supplies and Equipment the limit is | \$31,300 |
| Construction and related services is | \$37,500 |
| Professional and Artistic Services remains | \$20,000 |

19. Purchasing Card: N/A at this time

Chapter 3

Budget Preparation

3.1 Fiscal Considerations

The budget of a grant proposal is second in importance only to the description of the activities of the project. While budget preparation requires special consideration to comply with the various policies of the University and the funding agency, the budget statement is a straightforward discussion of how you plan to spend grant funds. The OSPR staff can play a valuable role in this phase of your proposal preparation by offering suggestions when preparing your budget.

Budget format: If the funding agency provides a specific budget form, it must be used whether this is for a hard copy or electronic format.

In most cases, special forms are included by the agency as part of the application package. It is always useful to prepare a detailed budget breakdown for your proposal even though this may not be required for submission with your proposal. This line item budget can help you calculate the financial support required for the various components of your project; personnel costs, including fringe benefits, travel, equipment, etc. as well as any allowable facilities and administrative (indirect) costs. A line item budget also 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) included in the proposal. With electronic submissions you are usually required to provide only the first year in detail, although this may vary from program to program.

3.2 Budget Preparation

(a) **Review** the rules and regulations for the budget, as provided in the agency's guidelines. Ask for help from the OSPR office staff if you need it.

(b) **Calculate** the amount of time that you and other professionals involved in the project will have to contribute. How much of this will the project funds pay for and what does the University have to contribute to make this project “work?” These are matching funds.

(c) **Matching Funds** are frequently a concern for the grant writer. 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.

(c) **Calculate** the time required for assistants and secretarial or clerical help, consultants, honoraria, travel, lodging, and per diem. Some federal agencies when allowing F & A cost recovery, expect that all administrative costs, including secretarial and clerical assistants, will be paid out of these “recovered costs.” Therefore, such positions cannot be funded out of program funds.

(d) **Estimate** costs for equipment, (\$1,000 or more for State, \$5,000 or more for Federal), supplies, printing, duplication, media services, staff services, postage, telephone, data processing time, 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. But this is not usually needed at this stage of your activity. Remember, these are estimates – please round up all numbers.

(e) **Contact the Human Resources Office** (OSPR can assist, too) 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 33% to 35% (approximation).

(f) **Calculate the facilities and administrative (F&A) costs** (55% 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, and are added to the direct costs of the project to give a total project cost.

(g) **The final budget** is included with the narrative portion of the application and

processed through the approval and review process. OSPR staff will assist with final copy preparation for the budget, including use of the appropriate forms provided. Most forms are accessible online and many can be completed online as well.

Note: Budgets are plans, use whole numbers.

3.3 Itemized Costs

Direct Costs: Budgets are composed of two primary categories; direct costs and facilities and administrative costs (indirect) 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;

(a) **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.

NOTE: Multi-year projects should take into consideration any expected annual increases for salaries and wages.

1.) **Principal Investigator (PI)** or project director. Cost is based on salary of the selected individual for 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. Twelve month personnel cannot usually be compensated for time. However, it is possible that extra compensation may be approved upon request. 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 Graduate School.

i) **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

ii) **Salary** or stipend should be computed at the current rate. This rate can be obtained from the OSPR office or the Business Office or check with your college's central office.

Note: No proposal including graduate students will be approved unless both i). and ii). above are included in the budget.

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 (CWSP) may not be paid from a second source of federal funds, such as a grant. Although the PI is responsible for the selection and hiring of all student assistants, appointment forms must be processed through the usual University channels. 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. Governors State University 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 factor 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.) **Personnel** hired under the auspices of a funded project are classified as temporary, soft money personnel and generally have limited employment contracts.

i) **PIs** 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 PI should consult with the Human Resources Office on the GSU campus concerning current or projected salaries for these positions.

ii) **All personnel hired** under a specific award/grant must be informed by the PI 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.

iii) **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.

iv) **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 as you build your budget to cover costs or as you put in place a hiring process for your funded project.

(b) **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 the Office of Sponsored Programs and Research can provide details of fringe benefits for salaried personnel. The current fringe benefit calculation is based on a 33% to 35% of 'fringible' salaries and wages for 12 month and 10 month salaried personnel except for 10-month salaried personnel covered during the summer sessions. The rate for fringe benefits for summer salaries is 17%. Always check with the Human Resources Office or the OSPR Office to be sure these rates have not changed.

(c) **Consultants** may be paid through grant funds. Governors State University 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 by checking with GSU Human Resources and Procurement.

(d) **Subcontract.** If a subcontract is essential to the successful completion of a sponsored program, a contract shall be drawn between the University and the subcontractor. Contact the OSPR office staff to begin the process of setting up a contract. Contract forms are available on the Purchasing Department's web site. The contracts are easily processed if the forms are completed as requested. 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 Governors State University as a provider or receiver of services or products must be approved by the next immediate supervisor, all forms, purchase requests, etc. should be gathered and the entire packet sent to the Purchasing Office after obtaining supervisory signatures. Refer to the Purchasing web page for limits, contractual forms and requirements http://gsunet/auxil/t_auxil.asp?id=332 . Questions may be directed to OSPR at 235-3308 or the Purchasing office. Begin with a Purchasing Request form and, based on the size and type of request, request a contract, or other approvals.

The review/approval process is often accomplished in very short order. Once approved, the contract/agreement will be promptly processed. Always remember to

be as complete as possible so that you provide the necessary information. When items are left out, or are incomplete, things get slowed down.

(e) **Travel**. **Expenses incurred for travel will be** paid from grant funds and must conform to University travel policies. The University reimburses for expenses incurred in making approved trips, according to the following procedure:

- 1) **Expenses** must be itemized in detail on the weekly travel expense statement.
- 2) **Original receipts** for hotel bills and other expenses must be attached to the request for reimbursement.
- 3) **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.
- 4) **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.
- 5) **Per Diem** receipts for meals are not required for reimbursement but should be obtained to verify actual expenditures. Meals are reimbursable at the current rate of \$28 per day in state and \$32 per day for out-of-state travel, including tax and tips. More detailed information about per diem costs and appropriate ways to break down those charges for specific periods may be found elsewhere in this Handbook and from the Travel Page on the GSU web site.
- 6) **Taxi** fare receipts and other such out-of-pocket expenses must be presented for reimbursement. Tips are not reimbursed.

Note: This statement of travel considerations is intended solely as a guideline for the grant proposal writer. It should not be construed as complete or authoritative as changes may occur at any time. Additional information, hints and clues to travel approval and reimbursement can be found at www.govst.edu/admin/t_admin.aspx?id=3660

(f) **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 the price of freight, installation costs, and maintenance contracts, as appropriate.

(g) **Supplies and Materials** should be itemized on the budget explanation (narrative)

page in general terms or as detailed as required by the guidelines.

(h) **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:

- 1) **Communications** - costs of telephone, electronic communications.
- 2) **Computer time** - Consult the Information Technology for rates, use, etc...
- 3) **Publication** charges, graphics and printing, duplication, media services, final report costs, etc. (University regulations apply as do program guidelines).
- 4) **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.

(i) **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 F&A costs.

(j) **Total Direct Costs** is obtained by adding up all of the line item costs above. This is the cost of direct charges to the proposal project.

3.4 Facilities and Administrative (Indirect) Costs: 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 to a specific project, are called indirect costs. The Federal Government is currently calling indirect costs, Facilities and Administrative Costs, or F&A, and expecting universities to cover costs such as secretarial support under the recovered F&A costs. Governors State University has, through its cognizant agency, applied for an approved, negotiated rate currently set at 55% of salaries and wages (no fringe benefits) only. This rate is in the process of being re-negotiated and may well change within the next six to twelve months.

3.5 Negotiated F&A Rate: Once a rate is negotiated, that rate is then 'allowed' as the cost of having a funded project on campus. However, because not all agencies accept the negotiated rate, many, 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 that is the rate accepted; by the institution. However, 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. Always check the language of the guidelines

regarding indirect costs so that the correct rate is charged.

3.6 University Commitment, frequently called match, is also a direct cost of the project and may be computed using the same categories as for the proposal direct costs. These costs, whether in the form of in-kind or cash are a direct cost to the project and may be computed in the same fashion. To determine University 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.

(1) **Total Project Cost** includes the Direct Costs and the F&A (Indirect) Cost as well as any required University Commitment. Only when all of these items are included do you have an idea of the real cost of your project. Of course, only the Direct and F&A costs are requested from the funding agency. It is important to understand that any match (in-kind or cash) committed by the University does impact the project and must be identified and value assigned to all activities. All costs, funded externally or matched internally are auditable. It is wise not to extend more institutional match to a project than necessary as every item identified as a match for the project will be subject to audit. The more match written into a project – the more records needed to meet audit demands.

Chapter 4

Post Award Procedures

Post Award procedures are the responsibility of the Project Director, the Office of sponsored Programs and Research and the Grants and Contract Accountant in the GSU Business Office. To start off the process in an informed manner the OSPR Director holds a meeting with all interested parties to discuss the budget, setting up the account, purchasing materials, travel regulations, etc. 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 Form, Award Management, may be accessed from the list of forms on the OSPR web page (www.govst.edu/ospr/forms,) or requested directly from the OSPR office.

4.1 Notice of Award

The Notice of Award may be sent directly to the President of the University in letter form, sent as an e-mail message to the Project Director/Principal Investigator or by phone call to the PD/PI or Director of OSPR. Whatever the method of informing the University of

the decision, the notice must be sent around as follows:

- a) **Notification received by President** – the Office of Sponsored Programs and Research will be sent the notification letter, e-mail or alerted by a phone call indicating that an award has been made.
- b) **Notification received by the PI/PD** – the notification is forwarded to the OSPR at the earliest moment.
- c) **Notification received by OSPR** will be processed immediately and PI and President’s Office will be notified. If award requires negotiation this will be the first order of business. If no negotiation is necessary the following will occur:
 1. Project Director/Principal Investigator will be notified.
 2. If negotiations are necessary, this will occur at this point. No further action, no spending, no account set-up occurs until negotiations are completed and the award is finalized.
 3. Business Office will be notified.
 4. 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 the Account Request Form will be completed if not already done.
 5. 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.
 6. Once assigned an account number, the information packet will be forwarded to the GSU Comptroller’s office and the project may go forward.

4.2 Setting up your Account. Every account set up in the Budget Office requires a budget. This budget is the plan under which the Grants Accountant identifies legitimate expenditures. The project will be assigned an Account Number. It is by using this account number that funds may be accessed by the Project Director or PI for purchase requests, information about expenditures, free balances, etc. The Account Number must be requested from the Budget Officer and contain the signatures of all those individuals approved to sign for purchases. The ACCOUNT REQUEST FORM may be obtain from the Budget Office or OSPR. This form is not currently online but should be available via intranet access very soon (5/07).

- a) **Line item budget.** Funds may only be expended for items approved in the budget.
- b) **Budget changes.** Generally, changes to the line items should be approved by the grantor prior to changing the budget. Some federal awards allow for a certain % of total award to be modified without prior approval. Currently under “expanded authority” the amount allowed is 10% up to 20% of the total funded amount for the current year. 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.

- c) **CARS**. 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.
- d) **PI spreadsheet**. 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.
- e) **Responsibility**. 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 but the fact remains, the grant recipient has the primary responsibility for accuracy and correct expenditures.

4.3 **Reports**. The number and type of report varies with each award. The reports required for any award are, at a minimum a financial report at the end of the grand period but generally, this is only part of the reporting necessary. The process, and who is responsible, is discussed in the following paragraphs. Also, this is a topic for discussion at the time of the award when all parties meet to discuss the award and its requirements. While consistency is good, ignorance can get you into trouble and will be no excuse. Read the award documents very carefully.

- a) **Programmatic Reports** are the responsibility of the PD/PI. The OSPR staff will assist in the preparation of these reports if requested. However, the activities to be reported should be available most directly to the PD/PI. Sometimes the OSPR staff can be of great help if the report has to be submitted electronically, or if the PD/PI wishes to have some editorial assistance.
- b) **Financial Reports** are generally prepared by the Grants Accountant and may be submitted directly by the accountant or in conjunction with the programmatic report. In this case, the two reports are usually submitted by the PI.
- c) **Time and Effort Reports**. These reports, 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.

The Time and Effort policy may be accessed from the OSPR web site as can the form for reporting time and effort for personnel paid under an external award, or providing in-kind services. Questions regarding the Time and Effort Report, which is required quarterly, may be directed to OSPR staff.

- d) **Copies of all reports** should be sent to OSPR for retention in the specific grant award file. In an effort to maintain accurate files, hard copy or electronic, each award should be fully updated and current at all times. Files, as they are processed in the OSPR receive a specific number. This number is based on a sequence as follows:
1. First three (3) numerical digits are sequential i.e. 001, 002, 003
 2. The next two letters indicate the University division within which the award is located i.e. HP (College of Health Professions), ED (College of Education), etc.
 3. The next two numerals are the funding fiscal year, i.e. 05, 06, 07
 4. The last letter, or letters, indicates status, F (funded, NF (not funded), P (pending)
 5. A number provided for an awarded project remains with the project until it is finished and the file closed.

4.4 **Closeout of completed projects.** Closeout of any award will be accomplished only after all program activities are completed.

- a) **The Grants Accountant** will close the file at the end of the grant award period unless notified by the PD/PI or the Director of OSPR that the project has been continued for another period of time, usually a 12 month extension. Frequently the Grants Accountant may be the requestor for such an extension. If this is the case, the OSPR and the PD/PI must be notified about the extension, when it was requested and whether or not it has been granted. Communication and cooperation are essential to the grants administration process.
- b) **The PD/PI** may, frequently, continue to work on a project even after it has been closed. Occasionally this happens if the particular project has been

‘institutionalized.’ In such cases. The funds to continue will be institution dollars and this is no longer a grant. Reporting and accounting responsibilities may change at this point and OSPR will only be involved in an historical perspective.

- c) **If the project is not institutionalized** then the PD/PI shall move to close the project. All paperwork will have to be filed and noted. Final financial and program reports will be completed by the PD/PI and the Grant Accountant and copies provided to OSPR. The Account in the Business Office will be closed. The file will be marked for destruction at the end of a specified period and held in storage until that date.
- d) **OSPR will review the completed project**, usually with the PD/PI and possibly also with the Grants Accountant. If there are unused funds, a decision will be made as to how these funds may be returned. It is always wise for the PD/PI to have spent all funds, but sometimes this just does not occur and funds must be returned. Governors State University and OSPR strongly encourage no funds be returned unless all other avenues of use have been exhausted.
- e) **When the account is closed** by the Grants Accountant, and the project is shut down by the PD/PI, or institutionalized, the file is then closed in OSPR. However, the file is not destroyed; rather it is kept in a ‘Dead/Closed’ file drawer for a defined period of time. (See (c) above and (f) following.)
- f) **Files kept for period of time.** How long to keep a closed file depends entirely on the regulations attached to the award of the funds. The file will be kept for the required period of time of six (6) years unless Federal and/or State regulations require a longer period. Once files have passed this date, they will be destroyed. Files will not be kept longer than the required period. To do so may cause audit questions at a later date.

4.5 **Compliance requirements.** Every award, whether grant or 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, the aspect of service or research or other contingencies. All policies may be found in electronic format at http://www.govst.edu/provost/t_provost.aspx?id=2225. Policies are identified by number and title. To view a policy click on the desired title. Some of the most significant are:

- a) **Record 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.

b) **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...

- 1) The GSU policy is found in the University Policies Manual in electronic format at [Policy 53](#) - Human Subjects Research Policy
- 2) IRB forms and other information about the review process may be located at <http://www.govst.edu/irb/>,
- 3) Training is required for all researchers using human subjects. The training program provided at GSU is called the CITI Program and, effective July 1 2007 will be required of all researchers at GSU, faculty, staff and students. Service on the IRB is considered University service and anyone wishing to serve on the board is encouraged to contact either the IRB Chairperson or the Director of OSPR.

c) **Intellectual Property and Copyright Compliance.**

- 1) Copyright compliance. Governors State University has a current Copyright policy which can be located at [Policy 62](#) - Fair Use of Copyrighted Works for Education and Research. All faculty and staff are expected to comply with this policy.
- 2) Intellectual Property Policy – an expansion of the ‘Copyrighted Works’ policy is under development.

d) **Other Compliance Policies**

- 1) Laboratory Animal Care and Use Policy - current policy exists as an Interim Policy - [Policy 57](#) - Policies and Procedures Pertaining to Research Involving the Use of Animals
 - i) Policy - in place
 - ii) Procedures
 - iii) Forms
 - iv) Committee
- 2) Hazardous materials -

- 3) Research Integrity Policy – [Policy 55](#) - Research and Scholarship
 - i) Policy – in place
 - ii) Procedures (?)
- 4) Conflict of Interest Policy – under development. Currently the state of Illinois has a conflict of interest policy that, while not totally adequate for federal awards, meets at least some of the criteria. A current Conflict of Interest Policy for Governors State University related to those individuals obtaining external federal funds should be developed to meet federal requirements and function with the State of Illinois Policy.
- 5) HIPAA – the Health Insurance Portability Assurance Act (**HIPAA**) was enacted by the U.S. Congress in 1996. GSU is not a ‘covered entity’ <http://privacyruleandresearch.nih.gov/irbandprivacyrule.asp>.

4.6 **General administration observations.** The Office of Sponsored Programs and Research is the primary point for Accounting and Programmatic activities to come together. If there are questions regarding how a process should go forward it is always wise to check with OSPR. Compliance issues are also part of the responsibility of OSPR. In most cases, to avoid any apparent conflict of interest, the Director of OSPR will sit on a compliance committee only as an ex-officio non-voting member.

4.7 **Non-funded Proposals.** If your proposal was not funded there are some things to be done.

- a) **Notification process** is the same as for a funded proposal except the business Office is not involved.
- b) **Request comments.** Grant writer should request comments of the reviewers.
- c) **Discuss the non-funded project.** Grant writer is encouraged to meet and discuss the project with the OSPR staff to determine the best course of action, applying for a new grant under a new program, or re-applying at the next deadline under the same program, or, completely changing the project and rethinking the entire activity.
- d) **Never throw out a proposal** – your work is worth more than that and portions, at least, can be recycled into new, improved proposals. Many federal grants are the result of several efforts at funding before they are successful. Do not give up on the first try.

Chapter 5

University Policies related to External Funded Projects

**MOST UNIVERSITY POLICIES CURRENTLY IN PLACE
MAY BE FOUND UNDER
THE PROVOST LISTING
ON THE GSU INTRANET SITE**

http://www.govst.edu/provost/t_provost.aspx?id=2225

Human Subjects Research (IRB) No. 53

Fair Use of Copyrighted Works for Education and Research No. 62

Intellectual Property Policy will expand the above policy

Conflict of Interest, State of Illinois Policy

Research and Scholarship Policy No. 55 (Research Integrity)

Policies and Procedures Pertaining to Research Involving the Use of
Animals (IACUC) No. 57

Hazardous Materials

Health Insurance Portability and Accountability Act (HIPAA)