

VI-1 Grant and Contract Proposal

NORTHWESTERN STATE UNIVERSITY Grant and Contract Proposal

- I. Purpose and Scope:** This procedure outlines the processes required for proposal preparation and submission to external sponsors (pre-award activities), as well as the processes required for grant management and non-fiscal administration of the award (post-award activities).
- II. Reference:** None
- NOTE: All links for **supporting documents** are found at the end of this policy. See Supporting Documents used to process Grant and Contract Proposal.*
- III. Responsible Area:** Academic Affairs
- IV. Procedures:**

PRE-AWARD

Office of Research and Sponsored Programs (ORSP)

1. Coordinates pre-award activities related to externally funded grants and contracts.
2. Furnishes opportunities information to potential investigators in both print and electronic form and by personal contact.
3. Conducts technical assistance workshops on general and specific topics related to external funding.
4. Assists individual investigators in preparation of proposals and budgets.

Principal Investigator/Project Director (PI/PD)

5. Coordinates grant and contract proposals through ORSP.

NOTE: Grant and contract proposals not routed through ORSP will not be processed.

6. For every proposal submitted, provides advance notification to ORSP via the required **Notice of Intent to Develop a Proposal for External Funding (NOI)**. Exceptions to submission of the required NOI and/or exceptions to its timely submission will be made only under Principal Investigator/ special circumstances, and generally Project Director only when conditions created by the (continued) sponsoring agency make the submission/timely submission of the NOI impossible.

NOTE: The Notice of Intent (NOI) should be forwarded to the Office of Research and Sponsored Programs as soon as the faculty member makes the decision to develop a proposal. The NOI is an extremely important mechanism used by ORSP to prepare itself and other required University offices to review and process the proposal through the University administration in sufficient time to meet the sponsoring agency's deadline, as well as any special requirements of the agency such as institutional matching funds.

*If necessary and justifiable, the PI/PD may request an exception to submitting the required NOI, but the **Request for Waiver of Notice of Intent to Develop a Proposal for***

External Funding must be used to do so. Such exceptions to standard ORSP policy will be considered on a case-by-case basis and must be approved by the dean of the applicant's College and the Dean of Research and Graduate Programs. PIs/PDs should note that, even if exceptions are approved by the two Deans previously referenced, ORSP cannot guarantee submission of the proposal to the sponsoring agency by the deadline date.

7. Prepares project plan for grant or contract proposal in accordance with specific instructions of the grantor agency.
8. Prepares budget and budget justification for the grant or contract proposal according to guidelines of grantor agency. The budget should be by program or activity as well as by expenditure category (personal services, travel, supplies, capital outlay, etc.). The budget should include all costs required to conduct the project; budget estimates should be based on the best information available.
9. Includes in the proposal budget as a charge to the sponsoring agency NSU's on- or off-campus federally-negotiated indirect-cost rate (i.e., 38% or 20%, respectively, of total salaries and wages charged to the grant or contract). Indirect costs are also known as "Facility and Administrative" (F&A) expenses.

NOTES: *(Waiver of F&A) F&A costs of funded projects may be paid by NSU, either in whole or in part, if: (a) a waiver is requested and justified in writing by the PI/PD; (b) the waiver request is approved by the dean of the PI/PD's College and the Dean of Research and Graduate Studies; and (c) the waiver is approved prior to the submission of the proposal to the funding agency. The **Request for Waiver of Facility and Administrative Costs** must be used to request this waiver. If the waiver is approved, the completed waiver form must be attached to the three-page **Routing form for Submission of Grant Proposals or Contracts to External Sponsoring Agencies**, and the amount waived should be included in the proposal budget as a University contribution to the project (i.e., as "cost sharing").*

(Basis for Approval of F&A Waiver) Facility and Administrative (F&A) costs are actual cash expenses of the University related to research and other activities. These costs are part of the total expenses of services provided by Purchasing, the Comptroller's Office, University Research, and Personnel, as well as other expenditures for utilities, office space, janitorial services, and insurance. Funded research projects need to pay their fair share of these costs. The basis for approval of a waiver, in part or in whole, of F&A costs is that the proposed project will directly contribute to student academic programs. The fact that a particular funding agency does not pay F&A costs is not sufficient justification in and of itself to warrant approval of the request for a waiver of F&A costs.

10. Completes page 2 ("Cost Sharing/ Matching Schedule"), with specific sources of funding identified, and page 3 ("Enhancement Analysis") of the three-page **Routing form for Submission of Grant Proposals or Contracts to External Sponsoring Agencies**.

NOTE: *Any matching funds for personnel services must include salary and related benefits relative to the type of appointment requested. It is the Principal Investigator's responsibility to secure index numbers and budget unit head signatures, which are required for all categories of proposed matching funds.*

11. Secures approvals of commitment of matching requirements from appropriate Budget Unit Head and Budget Unit Head's Vice President.

12. Reviews position requests with Director of Human Resources for compliance with Board of Trustees and University policies, Civil Service Rules and Regulations and Federal guidelines.

NOTES: *(Requesting Positions) The filling of clerical support positions relative to grant and contract proposals will be reviewed by the Director of Human Resources for compliance with University policies, Civil Service Rules and Regulations, and Federal guidelines.*

These clerical support positions will be filled on a temporary appointment (Job Appointment or Restricted Appointment), subject to benefits that apply to the type of appointment and will be monitored and reviewed by the Human Resources staff.

The University of Louisiana System (ULS) Board of Supervisors and University policy on nepotism will be adhered to in all hiring situations and will be subject to review by the Director of Human Resources.

(Effort Certification) Per OMB Circular A-21, all personnel working on grants and contracts must satisfy the percentage distribution of their total effort as specified in the grant award. At least once each semester, the Grants and Contracts Section of Business Affairs will forward an "Effort Certification Report" to affected employees for certification as to the percentage of time spent on a sponsored project. This report must be completed as instructed and returned to Business Affairs.

(Extra-Services Contracts) All personnel with extra-services contracts paid by external sponsors must keep a detailed log of work accomplished in accordance with Employee Involved in University Extra Services Employment Activities in the Fiscal Policy and Procedure User Guide, Employees Involved in University Extra-Services Employment Activities, including a description of the activity, as well as dates, times, and places the work was done. This log must: (a) indicate the hourly rate of pay, as well as the total number of hours expended on the project, for each payment requested; (b) be signed by the employee's immediate supervisor, thus serving as assurance that the work was not accomplished during the regular work day; and (c) be submitted to Business Affairs with each request for payment under the extra-services contract. Payments shall not be made without this documentation.

13. Completes page 1 of the **Routing form for Submission of Grant Proposals or Contracts to External Sponsoring Agencies**. Reviews completed proposal and budget schedules with appropriate Budget Unit Administrator and obtains signatures of the Department Head and Dean of College/Division, or Non-Academic Program Director indicating approved/recommended or not approved/not recommended.

NOTES: *It is the responsibility of the applicant (PI/PD) and his/her immediate approving agent (Department Head or Program Dean or non-academic Vice President, if the applicant is the department head) to determine whether additional review and approval of the proposal should be undertaken by the Physical Plant and/or the Institutional Review Board. It is also the responsibility of the PI/PD to obtain these signatures prior to submitting the proposal to ORSP for processing.*

*The three-page **Routing form for Submission of Grant Proposals or Contracts to External Sponsoring Agencies** should be forwarded with the completed proposal in sufficient time for all institutional approvals to be accomplished. The NSU Fiscal Policy and Procedures manual states that the university population strives to give a period of 10 working days prior to the grantor agency deadline. The PI/PD signature on this form additionally indicates the following:*

- a. Cost sharing and responsible index numbers have been negotiated and approved; and/or
- b. Faculty release time has been negotiated and approved; and/or
- c. New positions have been negotiated and approved.

*(Waiver of Ten-Day Prior Submission to ORSP) Submission of the completed proposal, required budget schedule, and three-page **Routing form for Submission of Grant Proposals or Contracts to External Sponsoring Agencies** to ORSP at least ten working days prior to the sponsoring agency's deadline is a requirement. Exceptions to the ten-day prior submission requirement will be made only under special circumstances, and generally only under conditions created by the sponsoring agency which make the ten-day prior submission of the required materials an impossibility. Requests for exceptions must be: (a) submitted in writing in the format required by ORSP (**Request for Waiver of ORSP's 10-Day Advance Deadline**); and (b) approved by the dean of the PI/PD's College and the Dean of Research and Graduate Studies. Requests for exceptions to this policy will be considered on a case-by-case basis. PIs/PDs should note that, even if exceptions to the required time frame are approved, ORSP cannot guarantee submission of the proposal to the external agency by the deadline.*

Department Head

14. Reviews proposal and budget schedules for compliance with University policies. With the PI/PD, determines whether review and approval of the proposal is required by the Physical Plant and/or the Institutional Review Board (IRB). If approved, instructs PI/PD to obtain additional approvals (e.g., Physical Plant) as needed, and then forward proposal to program Dean or Non-Academic Vice President. If not approved, provides reasons and returns to principal investigator.

Program Dean/Non-Academic Vice President

15. Reviews proposal and budget schedules for compliance with University policy. If approved, forwards to Office of Research and Sponsored Programs. If not approved, provides reasons and returns to Department Head.

Office of Research and Sponsored Programs

16. Reviews proposal and budget schedules for compliance with grantor agency guidelines and University policy. Confers with PI/PD to ensure compliance.
17. If approved, forwards completed proposal and budget schedules to the Vice President of Business Affairs for review. If not approved, notes reasons and returns to PI/PD.

Vice President for Business Affairs

18. Reviews proposal/contract and budget schedules to determine (a) compliance with University policies and (b) whether the grant application requires new unbudgeted cash and/or cash matching requirements from the University, to determine whether those fiscal commitments can be met. If the proposal is not approved because it does not meet one or more of the two criteria established, VP for Business Affairs cites reasons (for each unmet criterion) and returns to ORSP. If all criteria are met satisfactorily, the proposal is signed by the VP for Business Affairs and forwarded to ORSP for transmittal to Provost and VP for Academic Affairs.

Office of Research and Sponsored Programs

19. Submits Business Affairs' approved and unapproved grant proposals to the Provost/Academic Vice President. If the Provost/Academic Vice President approves the proposal, ORSP will make a copy of the final document and forward it to Business Affairs' Grant and Contract Section.

Academic Vice President and Provost

20. Reviews completed proposal and budget schedules for compliance with University policies. If not approved, notes reasons, signs and returns to ORSP for return to PI/PD. If approved, signs and returns to ORSP for final processing.

NOTE: Grant/contract funds are often spent in more than one of the University's fiscal years. It is important to identify the amounts of grant funds to be sought to assure that any matching contributions (if required) will be available within the appropriate fiscal year.

Office of Research and Sponsored Programs

21. Reviews unapproved proposals takes corrective action with Principal Investigator for re-submission, assuming reason(s) for disapproval are within the purview of the PI/PD to correct.

Submits approved proposals to President for review and approval when his/her signature is required, and/or when there is disagreement between Vice Presidents relative to whether a proposal/contract should be approved and/or forwarded.

President

22. When signature or review is required, considers recommendations of approving agents and reviews proposal as desired. If approved, signs proposal and assurances as indicated and forwards to Office of Research and Sponsored Programs. If not approved, notes reasons and returns unsigned to ORSP.

Office of Research and Sponsored Programs

23. Prepares required copies of approved proposals and forwards to grantor agency by or before deadline. Prepares and retains copies for appropriate offices and PI/PD.
24. Enters appropriate data into grant tracking system. POST-AWARD

Office of Research and Sponsored Programs

25. Coordinates post-award activities related to externally funded grants and contracts, as outlined in the Grant and Contract Proposals section of the PPM.

NOTE: (Unapproved Contracts Section) Notifies Business Affairs (Grants and when approved proposals Proposals) which had cash or "unbudgeted cash" match budgeted are rejected for funding. Un-budgeted cash matching funds are budgeted for approved grant and contract proposals. If a grant or contract proposal is not approved, the budgeted match, which is no longer required, is reported to the President for other use.

Principal Investigator/Office of Research and Sponsored Programs

26. When proposal is funded by sponsor, reviews award instrument and any special funding stipulations to ensure that terms are acceptable to NSU and to State.

NOTE: (Matching) It is the responsibility of the PI/PD to ensure all matching criteria are satisfied and documentation is available to support the match. Paperwork to encumber all cash, unbudgeted, and in-kind contributions should be forwarded to Business Affairs. This is to ensure funding dedicated to matching is not expended for other purposes. Documentation to support in-kind contributions should be forwarded as soon as the resources committed have been used to satisfy the matching requirements.

Office of Research and Sponsored Programs

27. Negotiates alternate terms when necessary. Routes document to Business Affairs (Grants and Contracts section), President's office, and other offices required to sign award documents. Contracts being executed will be routed with an ***Award Signature Request***. Notifies appropriate public relations offices.

President, Principal Investigator/Business Affairs

28. Signs approved grant/contract and forwards to Office of Research and Sponsored Programs.

Office of Research and Sponsored Programs

29. Forwards accepted award to awarding agency.
30. Prepares ***Project Award Notice*** and NSU ***Budget Revision Request*** document for the funded amount of the award according to the guidelines of the award and the University, identifying sources of revenue and categories of expenditures in accordance with Fiscal Policy and Procedure User Guides, ***Request for Budget Revision*** document.
31. Transmits ***Project Award Notice***, ***Budget Revision Request*** document, and a copy of the fully executed contract to Business Affairs.

NOTE: Budget revisions should be initiated by the PI/PD, in accordance with Budget Revision policy (i.e., after obtaining appropriate Budget Unit Head, Approving Agent, Dean and Vice President approval) then reviewed by ORSP to determine consistency with grant guidelines and whether the sponsor's approval is required. Thereafter, they will be sent to Business Affairs for approval.

Business Affairs

32. Assigns grant and fund number and forwards ***Fund Code Maintenance*** document for appropriate signature to PI/PD/Budget Unit Head, Dean and Vice President.

Principal Investigator/Budget Unit Head

33. Signs ***Fund Code Maintenance*** document and forwards for appropriate signatures.

Appropriate Vice President

34. Returns signed ***Fund Code Maintenance*** document to Business Affairs.

Business Affairs, Grants & Contracts Section

35. Sends copy of *Fund Code Maintenance* document with assigned Index Number and completed *Budget Revision Request* document to the Principal Investigator.

Business Affairs, Grants and Contracts Section

36. For those awards that provide student aid in the form of scholarships, stipends, or exemptions that must be fed through "Billing and Receivables" (AR) forwards a copy of the award notification--along with the Grant Fund-Organization-Program number that has been assigned to the award--to the Scholarship Office with a request that a AR detail code be established for the award.
(*Notification of Grant Award that contains Student Aid*)

NOTE: For all awards that provide funding to students in the form of scholarships, stipends or exemption payments, these payments must be processed through the Financial Aid/Scholarship Office. It is the responsibility of the PI/PD to provide the appropriate information (name, social security number, amount of award, etc.) to the Scholarship Office for the student to receive credit. The PI/PD should also provide the Scholarship Office with the Grant Fund-Organization-Program number to be charged. This will be verified by Business Affairs when the Scholarship Office requests that the "Billing and Receivables" (AR) detail code be established for use in charging the grant for the expenditures.

Principal Investigator

37. Conducts program activities and expends funds according to policies and procedures of the State and University and guidelines of the grantor agency. State policies and procedures apply in cases where its limits are lower than those of the grantor agency.

NOTES: (Eligibility Compliance) Project directors must familiarize themselves with the eligibility compliance requirements as defined by their specific program. This must be done to ensure that only eligible participants are selected for the program.

(Expending Funds) All transactions and expenditures involving grant and contract funds must be handled in accordance with University policies and procedures regardless of the source of funding. Travel reimbursements must be in accordance with Policy and Procedures Memorandum No. 49, the state general travel regulations. PPM No. 49 applies regardless of the source of funding.

Business Affairs, Grant and Contract Section

38. Reviews and approves all expenditures to assure allow ability, allocability, and reasonableness to grant to effect programmatic expenditure approval.

Grant expenditures must be requested in a timely way to allow sufficient processing time before expiration of the grant.

Grant and contract expenditures incurred at the end of the award period which appear unavailable to support the purpose of the grant or contract are typically disallowed by the grantor agency. All expenditures must be incurred in a timely way or they may possibly be disallowed.

Principal Investigator

39. Prepares and submits timely interim and final programmatic and technical reports according to guidelines of grantor agency.

Office of Research and Sponsored Programs

40. Monitors and forwards to sponsoring agency timely interim and final programmatic/technical reports according to the guidelines of the grantor agency.

Business Affairs, Grant and Contract Section

41. Prepares and submits invoices, reimbursement requests, electronic funds transfer requests and all fiscal and financial statements and reports according to State and University policies and procedures and guidelines of grantor agency. If partial payment is requested under a contract which requires this documentation, each request for payment must have adequate documentation to substantiate the payment amounts being requested.

Supporting Documents used to Process Grant and Contract Proposals:

[FOAPAL Maintenance Forms - Fund Code Maintenance](#)

[Notice of Intent to Develop a Proposal for External Funding](#)

[Request for Waiver of Notice of Intent to Develop a Proposal for External Funding](#)

[Request for Waiver of Facility and Administrative Costs](#)

[Routing form for Submission of Grant Proposals or contracts to External Sponsoring Agencies](#)

[Request for Waiver of ORSP's 10-Day Advance Deadline](#)

[Award Signature Request](#)

[Project Award Notice](#)

[Notification of Grant Award that contains Student Aid](#)