



# Lincoln University

LEARN. LIBERATE. LEAD.

Pre-Award Manual and Standard  
Operating Procedures

**Office of Sponsored Programs**

## TABLE OF CONTENTS

Role of Pre-Award Administration in the Office of Sponsored Programs (OSP) .....	2
Legal Framework .....	2
Regulatory Compliance .....	3
Pre-Award Administration .....	3
Professional Development Services .....	5
Professional Development Topics .....	5
Resource Support .....	6
Identify Faculty and Staff Capabilities .....	6
Identification of External Funding Sources .....	6
Faculty and Staff Grantsmanship Skills Development .....	6
Dissemination of OSP Funding Announcements / RFPS, Notices, and other Grants Related Information .....	7
Compliance Review .....	7
Liaison with Sponsors, Faculty, Departments, Units, and the Campus Community .....	8
Proposal Routing and Development Procedures .....	8
Requirements for Proposal Submission .....	8
Internal Notice of Intent .....	9
Documents needed for the Pre-Award Meeting (PAM) .....	10
Electronic Proposals .....	11
Ensure the Proposal is Routed Properly .....	12
Proposal Review .....	13
Budget Preparation, Development, and Review .....	13
AmpliFund .....	15
Award Notification and Acceptance .....	15
Appendix: Pre-Award Responsibilities and Key Processes .....	17
Key Responsibilities of the Pre-Award Specialist .....	17
Limited Submissions .....	18
Internal Review Board (IRB) Coordination .....	19
Key Processes Involved in Budget Review, Preparation and Development .....	23
Personnel Expenses .....	23
Fringe Benefits .....	23
Non-Personnel Expenses .....	23
Travel .....	24
Equipment .....	24
Contractors / Consultant / Professional Services .....	25
Student or Participant Costs .....	26
Other Direct Costs .....	26
Indirect Costs .....	26
Cost Sharing .....	26
Allowable and Unallowable Costs .....	27
Key Processes in Award Negotiation and Acceptance .....	31
Pre-Award Grant Terminology .....	32
Forms .....	39
Intent to Submit .....	39
Budget Matrix .....	40

## Pre-Award Policy and Procedure Manual

### **Role of Pre-Award Administration in the Office of Sponsored Programs (OSP)**

The Pre-Award staff within the Office of Sponsored Programs (OSP), currently located in first floor, Wright Hall (x7234), provides funding information, application guidelines and forms, proposal budgeting, proposal approval, award negotiations, consultation on all fiscal matters related to the proposals, and training seminars. OSP is responsible for assisting all facets of the University with pre-award services related to sponsored programs and research. All proposals involving sponsored programs and research are reviewed and approved by OSP prior to final submission to the external funding agencies.

The follow sections provide detailed information on the role of the Pre-Award Specialist, his/her responsibilities, legal requirements and guidance needed for effective pre-award administration.

#### Legal Framework

The Office of Sponsored Programs operates in a legal framework that is determined by the relationship between the institution and the sponsor, the type of agreement between the two, and the terms and conditions of the agreement. For example, a grant from the federal government will require Lincoln University to comply with appropriate Office of Management and Budget (OMB) Circulars, the guidelines and policies of the specific federal agency, such as NSF or HHS, and depending upon the nature of the program within the agency and the grant agreement used by that program additional program-specific terms and conditions. Lincoln University is required to operate within this legal framework and OSP staff must understand the entire legal framework in order to operate in the best interest of our unit, faculty, staff, students, and the University.

#### Regulatory Compliance

Grants and contracts are normally awarded to the institution, not the individual PI/PD. While the individual faculty or staff member is responsible for conducting the project, it is the institution that is accountable for the grant's management. Failure to comply with the regulations governing the grant may result in significant penalties to the institution, not the least of which is damage to the reputation and loss of trust.

In order to be a good steward of federal and sponsor funds, the institution must build a management system that facilitates and ensures compliance with the regulations and with the good practices of the profession. The structure of the regulations governing grants and contracts can be complex. For example, the federal Office of Management and Budget (OMB) establish the general framework that governs the management of all federal grants via the Uniform Guidance 2.CFR.200.

Individual agencies create their own set of terms and conditions within the framework established by the OMB Uniform Guidance (e.g. NSF's PPAPG, NIH, and HHS). Grants are also governed by other regulations, such as Executive Orders and Public Laws. Lastly specific programs within an agency may add special requirements. Private funding sources, both profit and non-profit, have their own sets of requirements and expectations.

The key elements of the regulatory framework for grants are defined by the aforementioned 2.CFR.200: *Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards* and may be accessed at the [Electronic Code of Federal Regulations](#) website. Federal regulations applicable to procurement actions such as contracts are contained in the Federal Acquisition Regulation (FAR).

In addition to these rules and principles, there are a number of other federal regulations that affect grants and contracts. Some of these regulations include the Bayh-Dole Act (Rights to Inventions), Davis-Bacon Act (Prevailing Wage), ITARs (International Traffic in Arms Regulations), EARs (Export Administration Regulations), USA PATRIOT Act, and the America COMPETES Act (ACA) and the Federal Funding Accountability and Transparency Act (FFATA).

Complying with the federal requirements for the management of grants and contracts demands careful attention. Issues such as meeting cost accounting standards, sub-recipient monitoring and time and effort reporting require specialized knowledge. Other issues, such as time extension and sub-contracting, demand management skills. The Post-Award specialist must understand the complex layers of regulation and who can develop and manage an appropriate system that ensures compliance with the regulations.

### Pre-Award Administration

The Pre-Award staff will assist prospective and current researcher investigators in conversations with Program Officers of various funding agencies in proposal development by clarifying sponsors' submission requirements and procedures and interpreting LU policies related to the submission of the proposal/application. Individuals are encouraged to consult with the OSP Pre-Award staff at any time during the proposal development process. Assistance provided at an early stage can help avoid problems that might result in a sponsor's rejection of a proposal or resolve issues that could delay acceptance of an award. It is particularly important to notify OSP at an early date when responding to detailed proposal solicitations.

Given the complexity of some solicitations, it is not possible to anticipate every question that can arise during proposal preparation. However, the OSP prepares for questions like: What certifications are required? How should subcontracts be budgeted and negotiated? What is "off-campus"? Is approval needed from an institutional review committee? Can sponsored funds be used for facility renovations? There is a list of frequently asked questions (FAQs) on the OSP website that may guide you in the development of our proposal.

Typical OSP input to the proposal development process includes:

- High-level proposal editing and drafting assistance;
- Budget preparation and proper costing;
- Providing logistical support for items such as space and personnel
- Assisting the investigator in complying with any relevant special reviews;

- Coordinating documentation for subcontracts and/or consultants;
- Preparing certifications and representations for signature;
- Coordinating department chair/unit/Center director signature(s)
- Coordinating human and animal subjects in research documentation
- Coordinating other Research Compliance documentation
- Coordinating Innovation, Technology, and Entrepreneurship documentation
- Coordinating Pre-Award Meeting (PAM) (must discuss the funding opportunity announce and highlight all grant submission requirements; provide potential PI with solicitation summary, submission checklist, agency submission policy, and guidelines manual, proposal and award guide, roles and responsibilities matrix, milestones and meetings calendar.

The Pre-Award staff is responsible for assisting prospective investigators with proposal development and submission. Pre-award Services provided:

- Stimulating Grant Proposals through Idea Exploration
- Funding Source Identification (funding search)
- Disseminating Funding Opportunity Announcements
- Consultation and Proposal Development
- Budget Development
- Proposal Routing, Processing, and Review
- Proposal Submission
- Award Negotiation and Acceptance

Other than for grammatical or typographic errors, please note that the Pre-Award Grants Specialist(s) does not review the content of the technical part of the proposal for specific areas of knowledge unique to each department and that would require in-depth knowledge of the field. Pre-award will review budgets, ensure appropriate approvals have been obtained, and check the proposal to make sure for compliance with federal and other sponsor requirements and to ensure that all necessary forms and information have been included.

#### *PI Eligibility Policy for Purposes of Assigning Accountability for Projects*

##### Principal Investigator Qualifications

OSP will determine if an individual is eligible to serve as a PI on a grant. To be eligible to serve as a Principal Investigator on the Proposal Approval Form, which is used for externally funded projects, an individual must be either a tenured or tenure-track faculty member or a member of the University's professional staff on a continuous appointment. If the staff member is below the level of director, she/he must have the approval of their director, supervisor, or vice president. Questions as to whether affiliates, collaborators, or adjuncts can serve as Principal Investigator should be directed to the Office of Sponsored Programs. This person must be deemed eligible and approved by the Director of OSP in consultation with the Provost and Vice President for Academic Affairs.

## *Pre-Award Services and Standard Operating Procedures*

Pre-award services can be categorized into five (5) broad areas: 1) *stimulating grant proposals*; 2) *disseminating funding information*; 3) *consultation and proposal development*; 4) *proposal review*; and 5) *proposal submission*.

Pre-award services include are wide-ranging and aim to advance the mission and goals of the University. Pre-award “wrap-around” services include non-financial fiscal management, sponsor steward ship, project management advice, and strategic planning. These diverse services are essential for helping faculty new to proposal writing learn about the grantseeking process and for helping seasoned faculty increase the competitiveness of their proposals.

Pre-award services are critical to helping the faculty and staff to obtain sponsored research and program awards. The amount of effort and energy that is devoted to making pre-award services a priority directly shapes the level of faculty and staff participation in grants and contracts. The pre-award services offered by OSP are the first line of defense in preventing barriers to faculty and staff grantseeking.

To build faculty and staff capacity, pre-award services must offer intensive *professional development* and *resource support* in identifying funding and in the proposal development and submission stages. Types of support services that will be offered through Pre-Awards Services often include, but are not limited to:

### Professional Development Services

- Funding search workshops
- Applying for federal grants workshop
- Apply for foundation and corporate grants workshop
- Proposal writing workshops
- Budget development workshops
- Brown-bag luncheons (or lunch and learns)
- Certificate Series
- Community of Practice

### Professional Development Topics:

- Identifying sources of funding from public and private grantmakers
- Matching sponsor funding priorities with institutional needs and the University’s Strategic Plan
- Understanding budget constraints and funding trends
- Persuasive writing
- General issues and avoid common mistakes in proposal development

## Resource Support

To prevent faculty and staff from feeling that they have to “go it alone”, pre-award services will offer support to help identify and qualify sponsors, analyze application guidelines, develop budgets, review and edit drafts, and assemble and submit proposals to the funder. In addition to these types of direct customer service, resource support is also offered in the form of *tip sheets*, *style guides*, *toolkits*, *outreach materials*, ***funding opportunity announcement summaries***, ***application submission checklists***, ***FAQs***, ***webinars***, ***resource library***, and ***short online videos*** that provide technical assistance through explaining technical and logistical dimensions such as completing Institutional Review Board (IRB) application forms, complying with federal administrative requirements and regulations and the responsible conduct of research.

Specific types of pre-award technical assistance, resource support, and professional development services that will be provided to faculty and staff include, but are not limited to:

### A. Identify Faculty and Staff Capabilities

- Compile a list of research and scholarly interests for faculty and staff.
- Maintain a database of faculty and staff areas of expertise and interest in order to be able to respond to requests for possible collaborators from institutions of higher learning and other researchers and organizations external to Lincoln.
- Match interests with potential funding sources.
- Other duties as assigned to offer resource support and identify faculty capabilities.

### B. Identification of External Funding Sources

- Develop lists of available funding opportunities from external sponsors through e-mail, the Daily Bulletin, and Request for Proposals (RFP) for disbursement
- Create and maintain a library of newsletters, publications, and electronic sources on funding opportunities and disseminate electronic notices to faculty and staff
- Establish and manage subscriptions to computerized databases including Grants.gov, the Grant Resource Center, the Foundation Center, and various federal government agencies.
- Contribute to the reference library and instructional materials related to the technical side of Sponsored Programs (articles, books, and reference manuals on applying for federal grants, managing federal grants, research administration, technology transfer, patent issues, indirect costs, faculty motivation materials, and risk management, for example).
- Manage the OSP Inbox by creating file folders to segregate agency and organization emails; disseminate relevant notices and distribute electronic funding opportunities/RFPs to faculty and staff in coordination with the Director.
- Other duties as assigned to identify and qualify sponsors.

### C. Faculty and Staff Grantsmanship Skills Development (Technical Assistance)

- Find and provide workshops on research marketing and sponsor relationships for distribution and posting on the OSP website.
- Find and provide workshops on pre-award grants administration to be delivered live or placed on the OSP website (webinars, self-paced trainings, etc.).
- Find, develop, and provide training in proposal planning and writing to be delivered live or placed on the OSP website (webinars, self-paced trainings, etc.).
- Find, develop, and provide training in how to prepare the proposal budget to be delivered live or placed on the OSP website (webinars, self-paced trainings, etc.).
- Other duties as assigned related to professional development and technical assistance.

#### D. Dissemination of OSP Funding Announcements/RFPs, Notices, and other Grants Related Information

- Manage and contribute materials and information to the OSP Quarterly Newsletter (sent out via email, the Daily Bulletin, and placed on the OSP website)
- Manage and contribute materials to the OSP Weekly Bulletin
- Manage and contribute to “faculty highlight” and “OSP News” (sent out via email, the LU Daily Bulletin, and place on the OSP website)
- Publish and distribute an annual report of proposal submissions, awards and other funding related topics.

#### E. Compliance Review (must be done when the proposal is received and before submission)

- U.S. Office of Management and Budget (OMB) Uniform Guidance 2. CFR.200
- Fiscal Compliance (e.g. Cost Principles/Allowable Costs & Allowable Activities)
- Program Statute, Regulations, and Guidelines
- National Policy Requirements/Statutory/Regulatory/Executive Based Compliance
  - Debarment, Suspension, and Delinquent Debt
  - Drug-Free Workplace
  - Lobbying
  - Civil Rights
- Budgetary Compliance (F & A (Indirect Costs) & Fringe Benefits)
- Ethical Compliance
  - Human Subjects Protection
  - HIPPA
  - Conflict of Interest (COI)
  - Misconduct in Research
  - Responsible Conduct in Research (RCR)
  - Biosafety and DNA
  - Hazardous Materials
  - Data Ownership
- Intellectual Property, Technology, and Export Control
  - Copyrights/Publications, Software, Patents, and Inventions

- Classified Research
- University Affiliation for Project Director
- Intergovernmental Personnel Agreements
- Sponsored Programs
- Federal Acquisition Regulation (FAR)

#### F. Liaison with Sponsors, Faculty, Departments, Units, and the Campus Community

- Keep abreast of faculty, departmental, unit, and campus needs relative to Sponsored Programs (changing interests, personnel needs, office needs, etc.)
- Discuss upcoming proposals with funding sources.
- Visit with sponsors and invite sponsors to Lincoln University.
- Review and interpret program priorities, funding levels, and eligible entities.
- Undertake post-submission inquiries and tracking (Follow up with submitted proposals and attempt to expedite their review, where applicable).

#### *Proposal Routing and Development Procedures*

The Office of Sponsored Programs oversees and coordinates the preparation, review, and submission procedures in the grants process. All research and sponsored activities grant proposals must be internally reviewed and approved by OSP before being officially submitted to an external funder. OSP's pre-award Grants and Contracts Specialist will work with faculty, staff, deans, chairs, and other University officials to help locate funding opportunities, review and interpret external sponsor requirements and guidelines, assist in proposal preparation, and submit proposals by the announced deadline.

The pre-award Grants and Contracts Specialist identifies external funding sources, provides information on specific funding entities, executes electronic proposal submission, and advises on budget development/modification as well as develops and offers training about new sponsor requirements and processes for potential PIs. The pre-award unit also processes award notifications, reviews newly funded grant proposals, creates the budget matrix, and facilitates account set-up on the shared drive and in Amplifund.

#### Requirements for Proposal Submission

The PD/PI is responsible for preparing the proposal. In doing so, it is imperative that she/he works with the Pre-Award Specialist(s) in reviewing the sponsor guidelines carefully. Most sponsors require preferred formats and specific forms. In addition, each solicitation details the requirements for that particular submission.

All proposals to external sponsors by LU faculty and staff require internal approval prior to submission. The process and procedures for submitting proposals to state and federal agencies follows these specific steps:

1. Consult with the Pre-Award Specialist(s) to discuss research/program plans, funding opportunities, and submission process.

2. Once a funding opportunity has been identified, the Pre-Award Specialist (s) will work with the PD/PI on the application. She/he will prepare a checklist of all documents needed for submission and develop a timeline for the submission of application documents to OSP.
3. The prospective PIPD completes the '*Intent to Develop & Submit a Proposal*' form, that is inclusive of timelines, in collaboration with assigned Pre-Award staff person, to move his/her ideas into concepts and finally into a fundable proposal.
  - a. **Internal Notice of Intent**: After identifying the funding opportunity or 30 days prior to the proposal due date, the potential PI should start the process of officially notifying the Office of Research and Sponsored Programs of their intent to submit a proposal to a funding agency by submitting an "Intent to Submit" form. The form is a document submitted to OSP to alert the office of the intent to submit a proposal. General information is completed such as program name, sponsor name, due date, principal investigator name. It takes no more than five minutes to complete the submission of the form.

The form not only notifies OSP but appropriate Chairs, Deans, and other supervisory or administrative individuals of proposed research or sponsored activity, since these persons need to agree that the proposed activity is consistent with the missions of their respective units. Moreover, they may be called upon to provide space, release time, and certify effort for the project if funds are granted.

**NOTE**: If a proposal is to involve Human Subjects, Laboratory Animals, Recombinant DNA, Hazardous Materials and Radioisotopes, there are specific procedures to follow and approvals to be obtained. Lincoln University's Institutional Review Board (IRB) must review and approve any relevant activity that will involve human subjects. PIs/PDs should consult the IRB section on Lincoln's website for information on projects that required review as well as all documents that need to be submitted. Review and approval should be completed before final acceptance of the award. The project cannot commence prior to IRB approval. Attention must be given to these issues early in the proposal development because they may require committee approval prior to proposal submission.

4. Once the "Intent to Develop & Submit" is received, the Pre-Award Specialist(s) sends the PIPD the following (within 2-3 business days):

Invitations to a Pre-award Meeting (PAM) to discuss submission the application package, clarify grant submission requirements, and create a timeline for submission. If the form is submitted electronically, the Pre-Award Specialist(s) will respond via email accepting the "Intent to Submit" form and requesting a pre-award meeting to discuss in detail the agency announcement guidelines. Additional processing procedures and key information links that may be needed are provided in the pre-award specialist's email request for a pre-award meeting.

Generally, a PI/PD will have two documents to follow when completing the application. The announcement provides general information on the program for which the PI is interested in submitting your proposal. Application and Submission information guides are available as a download for completing the forms and other documents as required by the agency. Using the application and guidelines, OSP will prepare a summary of the funding opportunity announcement as well as an application submission checklist. In addition, OSP will prepare a list of tasks and milestone target dates based on the application and submission guidelines to keep the proposal preparation on track.

#### Documents needed for the Pre-Award Meeting (PAM)

- i. An OSP Intent to Develop & Submit a Proposal for Funding Opportunities form
  - ii. An OSP Budget Template or Template from the funding agency
  - iii. A proposal application summary detailing the requirements of the grant opportunity (using the official request for proposal (RFP) published on the [federal register](#) and/or the funding agency's website).
  - iv. An application checklist of all mandatory documents
  - v. Agency submission policy and guidelines manual
  - vi. Proposal and award guide
  - vii. Roles and responsibilities matrix
  - viii. Milestones and meetings calendar
  - ix. Proposal Approval Form
- b. Creates an electronic folder on the OSP shared drive (under the "Intent to Submit" folder) with the name of the funding agency, grant name and P.I. last name; saves an e-copy of the Intent to Develop & Submit form in the folder, along with any other documents related to the grant.
  - c. Create a folder/binder to keep the hard copy of the file the Intent to Develop & Submit form and other related documents. Label should have the first initial and last name of the P.I., the agency name and the year submitted. Folder/binder kept on bookshelf in corresponding Grants/Contracts Specialist office.
  - d. Create a folder in the "Pre-Award" module within Amplifund and upload all relevant documents and forms into the system. The Pre-Award Specialist should also input all grant related information into Amplifund such as funding agency, the requested amount, the budget, etc.

**NOTE:** The Pre-Award Specialist (s), for all documents for any grant proposal must create and upload/place them in an e-file on the shared drive, in a hardcopy binder, and create a file and upload documents into Amplifund.

- e. **Complete and Sign Proposal Approval Form:** At the Pre-Award Meeting the Principal Investigators (or co-PIs) or Program Directors (PDs) are given a Proposal Approval Form. This document also serves as a proposal routing form. Each PI must complete and

sign the form and route it appropriately. By signing the Proposal Approval Form, the PI/PD:

- Certifies that the information submitted is complete and accurate to the best of her/his knowledge;
  - Acknowledges that any false, fictitious, or fraudulent statements or claims may subject the PI/PD to criminal, civil or administrative penalties; Agrees to accept responsibility for the conduct of the project and to provide progress reports; and
  - Attests to having submitted a report of non-University activities that accurately lists financial and other relationships (and those of one's spouse/partner and dependent children) that might reasonably appear to be considered a conflict of interest (COI).
5. The Proposal Approval Form should be returned to OSP within 3-5 business days.
  6. PI/PD prepares proposal narrative and budget narrative (with assistance from Pre-award Specialist(s) and other OSP staff as needed). The Pre-Award Specialist should request draft proposal and budget narratives for review, consultation, and editing from the PI/PD as soon as they are readily available.
  7. OSP prepares all standard forms and necessary application documents. The Pre-Award Specialist will work collaboratively with the prospective PI/PD and provide high-level support in this process to ensure that all application documents are complete and ready for submission.
  8. OSP, upon receiving the signed Proposal Approval Form, obtains approval from the Director of OSP to proceed with setting up the grant.

### **Electronic Proposals**

Most agencies, both private and governmental, require that proposals be submitted electronically. The submission may occur via email (attaching all relevant documents), or through a specialized online proposal submission system. Regardless of the type of submission, the policy and procedures described in the preceding section, "Requirements for Proposal Submission," apply. Electronic proposals must be approved in the same manner as hard copy paper proposals prior to submission to an external sponsor. All copies of all documents pertaining to the grant application should be saved with the OSP, electronically and in hard copy. Proposals that are submitted to external sponsors without first completing the internal approval process may be withdrawn.

9. **Set-up the Electronic Application Package:** Many agencies, both private and governmental, require that proposals be submitted electronically. The submission may

occur via email (attaching all relevant documents), or through a specialized online proposal submission system. Regardless of the type of submission, the policies described in this section apply. Electronic proposals must be routed and approved in the same manner as hard copy paper proposals prior to submission to an external sponsor.

If the proposal is submitted through an electronic portal, the Pre-Award Specialist(s) will create an account for application submission process in funder portals like NSF FastLane, eraCommons, and Grants.gov's WorkSpace. For proposals submitted through NSF Fastlane and other private electronic portals, OSP will provide guidance.

Depending on the submission portal, the Principal Investigator may have to complete the cover page, budget sheet, supplemental information, abstract, project narrative, other attachments required by the agency, and budget narrative. Detailed instructions for the abstract, project narrative, other attachments, and budget narrative are provided in the application guidelines. In most instances, particularly with Grants.gov, OSP will complete the cover page and other supplemental information.

10. PI/PD submits a completed proposal, finalized budget, and finalized budget justification to the Pre-Award Specialist(s) a minimum of 7 business days before the funder's deadline with the completed Institutional Routing Form. The routing form must be signed by the Dean and Department Chair (if an academic program) prior to submission to OSP.
11. OSP will route the proposal through the final approval stages.
  - a. **Ensure the Proposal is Routed Properly:**
    - i. The PI/PD routes the Proposal Approval Form and the following items for approval:
      - a. Project Narrative;
      - b. Budget;
      - c. Budget Narrative;
      - d. A link to the RFP on the web;
      - e. A copy of the approved Intent to Submit form and the appropriate approvals;
      - f. A justification for any items in the proposal that require cost share;
      - g. Notice of IRB approval or pending IRB approval (if required);
      - h. A list of subcontractors and collaborators and their contact information
    - ii. The following approvals are required:
      - a. The Principal Investigator or Project Director
      - b. For faculty in academic departments: Chair, Dean;

- c. For non-academic departments: Director/Supervisor, Associate Vice President
- d. The proposal is then routed to OSP;
- e. Proposals involving faculty from multiple units, or faculty with joint appointments, must be routed through all applicable administrative lines;

**NOTE:** A minimum of seven (7) business days is required by OSP Office to review proposals and obtain the necessary approvals. Proposals that are submitted to external sponsors without first completing the internal approval process may be withdrawn at the discretion of the Director of OSP. Lincoln University is not obligated to honor proposals submitted without internal approvals by the designated officials.

#### Proposal Review

In an effort to protect and minimize risk to PI/PD(s) and the University, the Pre-Award Specialist is responsible for reviewing the proposal prior to submission in consultation with the Director of OSP. In particular, the application is evaluated to ensure all federal, state, and institutional requirements and sponsor assurances and certifications have been met (proposal, federal, agency, and University requirements). The proposal should also be reviewed for regulatory compliance issues such as IRB approval, training in the response conduct of research, disclosures of financial conflict of interest, and licenses needed to satisfy export control requirements.

In addition to IRB concerns, proposals must be reviewed to assure that they conform to academic, financial, research conduct, personnel, animal welfare, hazardous materials/waste handling, and health/safety restrictions and guidelines imposed on upon and by the University.

The Pre-Award Specialist(s) must use the application submission checklist to confirm that all required documents and attachments are included in an application, the Pre-Award Specialist is responsible for proposal proofreading services to faculty and staff as a means to get an early alert of potential red flag items as well as to help strengthen the overall quality of each grant application. The Pre-Award Specialist is accountable for assessing proposals for responsiveness to the evaluation criteria within the funding opportunity announcement (FOA). The Pre-Award Specialist must also budget and budget justification review services.

Even under normal circumstances (with no special conditions), completing the review takes time and is often subject to the availability of responsible individuals (reviewers). The Pre-Award Specialist must, in the proposal development stage, request and ensure that PI/PDs plan their proposal development strategy accordingly by utilizing the “**Roles and Responsibilities Matrix**” and the “**Milestones and Meetings Calendar**” in an effective and efficient manner. Every effort will be made to accommodate all proposal submissions in meeting the deadline.

#### Budget Preparation, Development, and Review

A proposal to an external sponsor normally includes a detailed budget and budget justification/narrative. Sponsor guidelines should always be consulted for specific directives on budget preparation. Budget development must occur at the proposal stage and revised, if need be, at the award stage. Proposal budgets must be carefully prepared, with attention given to details. This section provides general guidance on the preparation and development of a proposal budget.

The budget is just as important as the technical proposal. It is the financial plan for the project or program. It is an all-inclusive planning tool that integrates all of the financial details to support the objectives of the proposal. It includes both the sponsor and non-sponsor share of the total project cost. Proposed project costs are comprised of allowable direct costs, indirect costs (also known as facilities and administrative or F&A costs), and cost sharing (if applicable). Allowable costs are those that are reasonable and allocable to the sponsored project and allowable under University and sponsor policy.

The budget and budget justification/narrative should also be examined to ensure that cash and in-kind contributions are appropriate and have not been committed to another project. The items must be reviewed to ensure that the fringe benefits rate is calculated correctly, and the right F&A or indirect cost rate is being used and appropriately calculated. The budget and budget justification/narrative must also be reviewed to make certain that costs are allowable, allocable, reasonable, and consistently treated.

Also, within the budget review process, the Pre-Award Specialist(s) must review and assess the proposal narrative in relation to the budget and budget justification to ensure that coordination exists between them. For instance, certain items listed in the budget and budget narrative must be explained in the proposal narrative and some items discussed in the proposal narrative must be detailed in the budget and explained in the budget justification. Essentially, a budget justification should be prepared to explain how the budgeted costs relate to the project.

The budget development process should take into account preparation for the long-range goals, as well as the short-term objectives. For multi-year agreements, the budget should account for expenditures on a project budget year basis. If cost sharing is included, each budget period should include columns for both Sponsor and University costs. Please note that cost share must be approved by the Dean and the Provost.

A budget narrative should be prepared to explain how the budgeted costs relate to the project. The justification/narrative should provide sufficient detail to allow the sponsor to determine whether the proposed costs are reasonable and appropriate. Key elements to include in the justification/narrative are:

- A detailed justification of the expense or service;
- How the expense relates to and benefits the project;
- The anticipated cost;
- The time period in which it will be utilized;
- Other information that will aid the sponsor in evaluating the proposed item.

Most funding agencies expect that the PI/PD will adhere to the budget, and may require prior approval before certain changes are made. A number of foundations also require prior approval for budget modifications subsequent to an award. Such approvals must be requested and approved in writing. This process will be cited in the award Terms & Conditions.

**NOTE:** Final review of all budgets with external reporting requirements is the responsibility of the Pre-Award Specialist(s) in consultation with the Director of OSP. This policy applies to both pre-award budget estimates and post-negotiation sponsor approved budgets.

1. After all revisions and edits have been made, if necessary, the Pre-Award Specialist(s) receives final project proposal, budget, budget narrative and any other documents required from the PI/PD. When the final project proposal is received, the Pre-Award Specialist(s) evaluates that all appropriate routing and supervisory channels have been made using the "Proposal Review and Certification Form" (Proposal Cover Page) (see Appendix B). Signature approvals are needed from the PI, Co-I's, Department Chair and Dean/Research Director. OSP will obtain the approval signatures for Associate Vice President and others as needed to complete the review process.

**Note:** In signing the Proposal Cover Page, the PI is approving the entire proposal and assuming responsibility for: (1) the scope of scientific and technical effort; (2) preparation of the required technical reports; (3) management of the project within the budget and time restraints of the proposal in compliance with sponsor regulations and University policies; and (4) Certification of Effort.

2. Proposal is routed to the Director of OSP for final review, approval, and submission
3. Once submitted, move electronic folder into "Pending" on Amplifund or to "Submitted" on the shared drive.
4. Update the "Grant Submission Log" accordingly.
5. Award acceptance

**NOTE:** If PI/PD(s) are interested in grant opportunity that requires matching or cost-share, please refer to the OSP Matching Fund Policy in the Sponsored Programs shared drive for special instructions.

### Amplifund

Make certain to set-up and maintain the proposed grant in Amplifund in "Pending" folder and then move to "Active" if awarded; or "Denied" if not funded, "Cancelled" if withdrawn by the PI or funding agency. Be sure to make the same adjustments on the shared drive.

### Award Negotiations and Acceptance

When a sponsor has approved a proposal for funding, the University will receive notice that an award has been made and documents are being prepared. This notice may come in the form of a contract, grant, email notification, or award letter. The notice may be sent to the University President, OSP, or to the PI/PD. If the PI/PD or the President's Office receives such a notice, the notice must be forwarded to OSP immediately to become part of the official record of the award. OSP cannot administratively initiate the project without official sponsor notification.

When OSP receives notice of an award, the terms and conditions will be reviewed. OSP will manage any necessary award negotiations and the preparation of any additional documents requested by the sponsor during the course of those negotiations. (Pre-Award Specialist handles preparation of any documents whereas the Post-Award Specialist with handled negotiations. Both Specialists will work in consultation with the Director).

If the award requires that a contract or agreement be initiated, it will be reviewed initially by OSP. No award can be accepted until all sponsor terms and conditions have been reviewed and approved by the OSP. The Pre-Award Specialist(s) will then prepare an award package that consists of the award letter, the budget and budget justification, budget matrix and the terms and conditions of the grant. Copies of award package will be sent to the Dean, the Sr. Grants Accountant, and the Post-Award Specialist.

The Post-Award Grants Specialist will request a Post-Award Acceptance Meeting with the PI. At the Post-Award Meeting the terms and conditions and other contents of the package will be discussed with the PI to ensure that the PI understands, agrees to, and accepts the terms and conditions associated with the grant project. Following the Post-Award Acceptance Meeting, the Post Award Specialist will forward the package to the Sr. Grants Accountant who will then set up the award in the financial system and notify the PI when the funds will be available. If any review committee approvals are required, such as Institutional Review Board, the grant will not be setup in the financial system until all approvals have been obtained.

An account having an assigned name and number must be set up in the Business Office. A Budget Matrix (see Appendix B) will be created by the Office of Sponsored Programs (OSP) to initiate this process. No financial obligations are to be made on a grant without the award letter, a Post-Award Meeting, and the appropriate account being established. If any review committee approvals are required, such as Institutional Review Board, the grant will not be setup in the financial system until all approvals have been obtained.

## Appendix: Pre-Award Responsibilities & Key Processes

### Key Responsibilities of the Pre-Award Specialist:

Pre-award services can be categorized into six (6) broad areas: *stimulating grant proposals*, *disseminating funding information*, *consultation and proposal development*, *proposal review*, *proposal submission* and *award acceptance and negotiation*. Specific pre-award services provided within each of these five categories often include, but are not limited to:

- Brainstorming fundable ideas.
- Identification of funding opportunities and sources; disseminate program announcements, solicitations, and other funding opportunity information, as assigned.
- Track proposal submissions, awards, rejections, resubmissions, and withdrawals
- Collecting information on public and private grantmakers.
- Interpreting application guidelines.
- Conducting preproposal contacts with potential PIs.
- Seeks clarification and additional information from program officers.
- Developing department, college, unit, or institutional boilerplate language for proposals in consultation with the Director of OSP.
- Maintaining databases of faculty and staff research, program, and scholarly interests
- Set up potential awards in Amplifund
- Presenting guest lecturers on grantseeking in faculty classes and university staff programs.
- Providing faculty and staff professional development workshops in consultation with the Director of OSP.
- Ensuring proposals are consonant with the institutional mission and University Strategic Plan.
- Review requests for proposals/responses and conducts research on grant funding agencies (agency/fiscal guidelines, grant-making history, regulations, application requirements, etc.).
- Prepares reviews and helps to develop budgets and justifications, current and pending support information, application cover pages, certifications, assurances, and other required proposal components.
- Manages application, assurances, and certification forms during the proposal development stage.
- Assists in proposal preparation & submission process utilizing electronic submission systems, such as, but not limited to NSF Fastlane, NIH ERA Commons, Grants.Gov and other electronic submission systems.
- Pre-award compliance monitoring: Performs initial and final reviews of proposals to be submitted to external sponsors, as assigned, to determine that all proposals are completed in accordance with University policies and sponsor guidelines.
- Communicates any cost share requirements with appropriate campus units.

- Assist faculty and staff in researching and analyzing internal and external reports and data for use in need statements and program design components of grant proposals.
- Coordinate faculty and staff grant development teams; coordinate inter-divisional/college/department grant development teams.
- Facilitate development of partnership proposals with other institutions of higher education, community-based organizations, public school districts, regional coalitions, and/or other entities; helps to form and formalize relationships with collaborative partners in the proposal development stage.
- Assist faculty and staff in developing line item project budgets.
- Assist faculty and staff in editing proposals before submission to external funding agencies; completes the final review of the proposal and submits on behalf of the Institution to external sponsors; coordinates final submission notices with faculty and other staff.
- Assist with the completion of required reports to funding agencies.
- Develop and maintain information systems for frequently required data (general university information, available facilities, biographical sketches, etc.).
- Assists in compiling and analyzing a variety of data, as required.
- Assist in the development and presentation of workshops, newsletters and other communications for the Lincoln University community
- Negotiate the terms and conditions of grants, contracts, and cooperative agreements with the sponsor
- Communicate and make sure that PI, department, program support personnel and other relevant staff/entities are aware of and enforcing the grant terms and conditions
- Other duties as assigned by the Director.

### **Limited Submissions**

WHAT are limited submissions?

Some funding agencies limit the number of proposals or other types of responses (e.g. preliminary proposals, applications, letters of intent, or nominations) that an institution may submit to a particular solicitation. These opportunities are called “limited submissions.” In the event that OSP receives more “Intent to Submit” forms than the number of proposals the funding agency will accept, internal competition procedures are in place to select the candidates who will submit the limited number of applications to the funding agency.

Internal Limited Submission Pre-proposals will follow either:

- A format prescribed by a specific solicitation (for example, a shortened version of a preliminary proposal identified in the solicitation)

- A format that includes a cover sheet, project summary, goals and objectives, budget estimate, specific statement specifying who will provide the cost share and a brief biosketch/CV for the PI and each Co-I.

Why does the university have a limited submission review process?

The purpose of the limited submission review process is to select the highest quality proposals that have the potential to advance the research and educational goals of Lincoln University. Applications or nominations submitted without institutional endorsement or submission of a number over the limit may result in an automatic rejection of all Lincoln University proposals for that competition.

Internal procedures provide the vehicle and format for potential applicants to describe their project in relation to the solicitation's requirements, and allow internal reviewers to compare similar information to facilitate the selection.

An evaluation checklist will be provided to the review committee. The evaluations will be based on the following:

- Does the project fit with Lincoln University's strategic strengths or identified areas of interest?
- Does the project fit the agency's program objectives?
- Does the internal pre-proposal follow the internal guidelines?

Limited submissions that involve only a single department or departments within a single college may be selected by the affected department chair/s and the dean.

Limited submissions that allow for only one proposal from the institution may be reviewed by a committee in consultation with the Provost/Vice President for Academic Affairs.

For opportunities where Lincoln University is limited to a single response, an alternate pre-proposal will be identified to proceed if the PI of the first pre-proposal selected does not meet proposal schedules or is unable to submit.

PIs must complete the Intent to Submit form and indicate solicitation is a limited submission.

### **Institutional Review Board (IRB) Coordination**

The purpose of the Institutional Review Board (IRB) is to assure, both in advance and by periodic review, that appropriate steps are taken to protect the rights and welfare of humans participating as subjects in a research study.

The functions of the IRB are to review all research and teaching involving the use of human subjects and to report to the Provost and Vice President for Academic Affairs at least once a year on such activities. The chief objectives of every IRB protocol review are to assess the scientific merit of the research and its methods, to promote fully informed and voluntary participation by

prospective subjects who are themselves capable of making such choices (or, if that is not possible, informed permission given by a suitable proxy) and to maximize the safety of subjects once they are enrolled in the project. The IRB does not evaluate its potential contribution.

The IRB may, at its discretion, invite individuals with competence in special areas to assist in the review of issues that require expertise beyond or in addition to that available on the IRB. These individuals may not vote with the IRB.

All research involving human subjects (including course projects, capstone projects, master's theses, and independent student research) must be formally reviewed and approved by the Lincoln University Institutional Review Board (IRB) before any data are collected. The Pre-award office is responsible for coordinating and facilitating the IRB approval process as well as storing all documents related to the process. For more information on the general policies and procedures of the Lincoln University IRB, please reference the "Policies & Procedures" folder in the Sponsored Programs shared drive, under "IRB".

The process follows these general steps:

1. The Pre-award Specialist will receive notification of a pending IRB application from the Chair of the IRB.
2. The Chair of the IRB will instruct the Pre-award Specialist to send the following required documents to the IRB applicant:
  - a. IRB Cover Sheet
  - b. Certification of Investigator Responsibilities
  - c. Summary of project (explanation of the study in non-technical terms)—one page limit
  - d. Complete protocol
  - e. Informed Consent and/or other explanation of study to subjects or parents/guardians
  - f. Instruments (surveys, tests, etc.)
  - g. Curriculum vitae of researcher
  - h. NIH Certificate of Completion for NIH web-based training course "Protecting Human Research Participants" (for new IRB Applicants)
  - i. Progress report (if renewal)
  - j. Confirmation of approval by other IRBs (if applicable)
3. The IRB applicant will submit these documents to the IRB Chair and the Pre-award Specialist.
  - a. Once IRB documents are received, the Pre-award officer will create an electronic folder in the IRB folder, under the Sponsored Programs shared drive.
  - b. Hard copies of the IRB documents must also be kept in the IRB drawer; folders should be labeled with IRB applicant's first and last name.
4. The IRB will review the submitted documents and will send the "Criteria for HSC/IRB approval of Research Protocol" form to the Pre-award officer; there should be at least two of these forms, completed by two members of the IRB.

- a. These forms require a Protocol **ID #** (on the last page) – the Protocol ID # should follow the following format: Year-Month-Day-Initials of applicant.
  - i. Example – if the approved form is sent to the Pre-award officer by the IRB Chair on behalf of Professor George Jones on May, 5<sup>th</sup> 2016 then the Protocol ID # is **2016-05-05-GJ**
5. After the review of the IRB application the IRB Chair will instruct the Pre-award Specialist to draft an unrestricted approval or provisional approval letter.
  - a. The approval letter must include the Protocol ID # and the IRB Approval date.
  - b. The provisional approval letter must list the edits and/or documentation needed for the issuance of the unrestricted approval letter.
  - c. Examples of both are available in the Sponsored Programs shared drive, in the IRB folder.
6. Once the unrestricted approval/provisional approval letter has been drafted it is then sent to the IRB Chair for signature. IRB Chair will then send the signed letter to the IRB Applicant. Pre-award officer should save signed letter as both an electronic and hard copy.

**NOTE:** IRB approvals are typically valid for 12 months. Multi-year grants may require IRB renewals.

### Student or Participant Costs:

- Student tuition and/or scholarships are usually an unallowable cost for many federal grant opportunities, but read the application conditions and agency guidelines in making that determination.
- Student Worker stipends are usually listed in the non-personnel section of the budget because the University does not pay fringe benefits on stipends.
- Student travel
- Student subsistence

### Other Direct Costs:

- Other Direct Costs should be itemized and described in the Narrative.
- Memberships, postage, and food are typically deemed to be unallowable unless they are going to be main elements of the project.

### Indirect Costs:

- Proposal budgets are expected to include the maximum indirect cost rate allowed by the sponsor. If the sponsor has not set a maximum indirect cost rate, the University indirect cost rate will be used.
- Lincoln University maintains federally negotiated modified indirect cost rates with the federal government for both on campus and off campus activities. The rate that applies to where the majority of the project activity will take place should be applied to the entire proposed budget.
  - The indirect cost rate for on campus activities is 55% of salaries and fringe
  - The indirect cost rate for off campus activities is 20% of salaries of fringe
- All proposal budgets are expected to include indirect costs at the federally negotiated rate, unless the funding opportunity announcement explicitly states that a different rate must be used with the application (e.g. a de minimis rate).
- Any proposal budget that requires a waiver of the indirect cost rate, does not include indirect costs, prohibits the use of the University's federally negotiated rate must be accompanied by an approval letter or waiver from the Vice President for Fiscal Affairs.

### Cost Sharing:

Unless the sponsor requires cost sharing, cost sharing is highly discouraged. Any request for cost sharing must be approved by the Provost and Vice President for Academic Affairs. Approved cost share may only include expenses that are allowable on and allocable to the project. It must also be incurred during the project period. Indirect costs are not to be considered part of the cost share. The establishment of a separate University account will be required to record and track University cost sharing commitments. It is the college's responsibility to provide documentation (such as accounts to be charged) which supports the cost sharing commitment on the proposal approval form.

## **Key processes involved in Budget Review, Preparation, and Development:**

PIs and the OSP pre-award specialist must ensure that proposal budget adheres to university and sponsor guidelines and that particular detail is paid to the following budget items:

### **Personnel Expenses**

Salaries:

- The salary category should include the names of all individuals who will be involved in the project, if known, otherwise use To Be Determined (TBD) and the position title. Dependent upon specific sponsor guidelines, either the percent effort or person months that will be applied to the project should also be shown. An annual increase of 2% should be applied to full-time faculty salary beyond the first fiscal year, per [the Lincoln University Faculty Collective Bargaining Agreement \(CBA\)](#). Part-time faculty and staff salaries are not eligible for annual increases.
- Guidelines should be consulted for agency-specific salary and effort caps, either the percentage of effort or person months that will be applied to the project.
- The salaries of administrative and clerical support staff are normally classified as indirect costs and are not allowable costs. It may be appropriate to charge these costs to a major project where administrative and clerical services can be explicitly budgeted to a major project, and the time and effort of the staff involved can be specifically identified with the sponsored project. Support for administrative and clerical staff should be detailed in the budget narrative to provide the sponsor with adequate information to evaluate whether these costs are allocable to the project.

### **Fringe Benefits:**

- Fringe benefits are charged as direct costs to the project. The most current Lincoln University fringe benefit rates should be applied to all LU faculty, staff and student salaries. Current rates are available from the Business Office and the Senior Grants Accountant.
- Fringe benefits cover the costs for insurance (health, unemployment, life, and long-term disability), FICA, worker's compensation, pension, etc.
- Fringe benefits are a real cost to the university and can only be waived with the approval of the Vice President for Fiscal Affairs.
- LU is required to use the fringe benefit rate that is negotiated with the federal government.

### **Non-Personnel Expenses**

#### Materials and Supplies:

- Supplies (with life expectancy of one year or less) are items used exclusively in support of project objectives.

- It is generally acceptable to sponsors to provide a breakdown of materials and supplies by broad categories as opposed to the detailed listing of individual items.
- Check official grant application and agency guidelines to determine what is a material/supply vs. equipment (e.g. depending on the funding agency a laptop can be considered a piece of equipment because of its shelf life, for others it may be considered a supply because of its price).

#### Travel:

- Costs for travel, lodging and subsistence may be charged on, a) an actual cost basis or b) a per diem or mileage basis.
- Charges incurred by employees for travel, lodging and other subsistence should be reasonable and allowable to the extent of both the University policy and the funding agency policy.
- Costs should be calculated using current University travel reimbursement rates.
- The project narrative and/or the budget and budget justification/narrative should provide information regarding destination and names of conferences, if known, number of travelers, duration of travel and estimated total cost.
- Foreign and domestic travel should be itemized and justified separately.
- **\*NOTE:** Most federal government grants only permit air travel on U.S. carriers.
- Sponsor guidelines should be consulted to verify the allow-ability of travel costs.

#### Equipment:

- Major items of equipment proposed for acquisition should be itemized by descriptive name and estimated cost, and an adequate justification should be provided in the budget narrative.
- Items with a useful life of more than one year and costing \$500 or more, but less than \$5,000, normally should be included and justified under "Materials and Supplies."
- If equipment is wholly pledged as cost sharing, it must be purchased by the University or responsible Department during the project's period of performance.

#### Lincoln University as Sub-awardee or issuing a Sub-award

Individuals and/or organizations that will be performing work under a sponsored project must be issued a sub-award from the University.

- The anticipated use of subcontractors should be clearly identified in the text of the proposal.
- Subcontractor/subawards must be included as a line item in the budget.
- A formal proposal from the subawardee, including a statement of work, budget, budget justification, and letter of administrative approval from the subawardee's institution should be provided when the proposal is submitted to the Pre-Award Specialist. OSP will not submit proposals without this information from the subawardee.
- A copy of the review of a sub recipient's A-133 audit reports must be included.

- All subawardee organizations must complete a Subrecipient Form to determine whether the organization has the policies and procedures in place to adequately assure compliance with subawardee requirements. The requirement for a Subrecipient Form may be waived if the subawardee is a member of the Federal Demonstration Partnership (FDP) and its information is on the Expanded Clearinghouse website.
- In the event the sub-awardee's proposal is not available at proposal submission, it must be provided to the Pre-award office and approved by the sponsor prior to any sub-award being issued.

If Lincoln University is applying to become a sub-awardee under another institution (Prime Recipient), then OSP requires the following documents from the sub-awardee P.I.:

- Statement of work
- Budget
- Budget justification
- Letter of Commitment or Institutional Support
- Subrecipient Commitment Form

If the University is issuing a sub-award, the same documentation listed above is also required by OSP.

**Note:** Refer to the Lincoln University's Subaward Policy and Procedures (dated \_\_/\_\_/18 for additional guidelines and requirements.)

Contractors/Consultant/Professional Services:

- Consultants are individuals providing technical assistance or services and are not Lincoln University employees. The estimated cost for the consultant may include payment for professional services, up to the sponsor's maximum allowable rate, and related costs such as per diem and travel. The consultant's expertise and the need for obtaining his or her services should be described in the proposal narrative and include a letter of commitment/intent or personal services agreement.
- Consultants may not be current or former University employees performing same or similar duties. If they are, they must be paid through the University payroll system.
- Upon award, the eligibility of the proposed consultant will be evaluated by Lincoln University; a consultant cannot be hired without Lincoln University's and OSP's review and approval.
- Consultants may not be current University employees performing the same or similar duties.
- The maximum allowable amount that can be charged to a Federal grant for consulting services changes annually. Flat rates are allowable. Amounts should be based on the consultant's regular salary and actual services being performed.
- Consultants must have a signed and dated contract, MOU, or personal services agreement dealing compensation with begin and end dates and a termination clause.

### Student or Participant Costs:

- Student tuition and/or scholarships are usually an unallowable cost for many federal grant opportunities, but read the application conditions and agency guidelines in making that determination.
- Student Worker stipends are usually listed in the non-personnel section of the budget because the University does not pay fringe benefits on stipends.
- Student travel
- Student subsistence

### Other Direct Costs:

- Other Direct Costs should be itemized and described in the Narrative.
- Memberships, postage, and food are typically deemed to be unallowable unless they are going to be main elements of the project.

### Indirect Costs:

- Proposal budgets are expected to include the **maximum** indirect cost rate allowed by the sponsor. If the sponsor has not set a maximum indirect cost rate, the University indirect cost rate will be used.
- Lincoln University maintains federally negotiated modified indirect cost rates with the federal government for both on campus and off campus activities. The rate that applies to where the majority of the project activity will take place should be applied to the entire proposed budget.
  - The indirect cost rate for on campus activities is 55% of salaries and fringe
  - The indirect cost rate for off campus activities is 20% of salaries of fringe
- All proposal budgets are expected to include indirect costs at the federally negotiated rate, unless the funding opportunity announcement explicitly states that a different rate must be used with the application (e.g. a de minimis rate).
- Any proposal budget that requires a waiver of the indirect cost rate, does not include indirect costs, prohibits the use of the University's federally negotiated rate must be accompanied by an approval letter or waiver from the Vice President for Fiscal Affairs.

### Cost Sharing:

Unless the sponsor requires cost sharing, cost sharing is highly discouraged. Any request for cost sharing must be approved by the Provost and Vice President for Academic Affairs. Approved cost share may only include expenses that are allowable on and allocable to the project. It must also be incurred during the project period. Indirect costs are not to be considered part of the cost share. The establishment of a separate University account will be required to record and track University cost sharing commitments. It is the college's responsibility to provide documentation (such as accounts to be charged) which supports the cost sharing commitment on the proposal approval form.

As part of the internal approval process of the award by the University, the following are required in cases of cost sharing:

1. Cost share commitment approved by the Dean and Provost/VP for Academic Affairs
2. Separate account and fund provided by the Dean and Provost/VP for Academic Affairs

**Table: Allowable and Unallowable Costs**

Type of Payment	Federal Sponsor	State Sponsor	Private Sponsor
Advertising and public relations costs	Allowable when necessary to meet the specific requirements of the sponsored agreement.	Same as Federal sponsors	Same as Federal sponsors
Alcoholic beverages	Unallowable	Unallowable	Unallowable
Automobile Costs for Personal Use	Unallowable	Unallowable	Unallowable
Bad Debt	Unallowable	Unallowable	Unallowable
Books and journals	Allowable when necessary to meet the specific requirements of the sponsored agreement; otherwise provided as part of the University's library services.	Same as Federal sponsors	Same as Federal sponsors
Consulting services	Consultant services rendered by persons who possess a special skill (not officers or employees of LINCOLN UNIVERSITY) are allowed up to a maximum amount of \$540 per consultant per day.	Same as Federal sponsors	Same as Federal sponsors
Defense and Prosecution of Criminal and Civil Proceedings, Claims Appeals and Patent Infringement	Unallowable	Unallowable	Unallowable
Donations and contributions	Unallowable	Unallowable	Unallowable
Entertainment	Unallowable	Unallowable	Unallowable
Equipment – special purpose (e.g., scientific equipment)	Allowable provided that items with a unit cost of \$5,000 or more have the prior approval of the sponsor	Same as Federal sponsors	Same as Federal sponsors
Fines and Penalties	Unallowable	Unallowable	Unallowable
Goods and services for personal use	Unallowable	Unallowable	Unallowable
Insurance	Costs of insurance required or approved pursuant to the sponsored agreement are allowable; otherwise treated as an F&A cost.	Same as Federal sponsors	Same as Federal sponsors

Interest and Investment Management Costs	Unallowable except for cost related to the physical custody and control of monies and securities and for interest cost paid to external parties for assets (buildings and equipment) used to support government contracts.	Same as Federal sponsors	Same as Federal sponsors
Lobbying	Unallowable	Unallowable	Unallowable
Losses on Government or Other Contracts	Unallowable	Unallowable	Unallowable
Materials and supplies	Allowable when necessary to meet the specific requirements of the sponsored agreement.	Same as Federal sponsors	Same as Federal sponsors
Meetings and conferences	Allowable provided the primary purpose of the meeting or conference is the dissemination of sponsored agreement-related information.	Same as Federal sponsors	Same as Federal sponsors
Memberships, subscriptions, and professional activity costs	Generally unallowable as a direct cost except when necessary to meet the technical requirements of the award. The cost of membership in any civic or community organization is unallowable.	Same as Federal sponsors	Same as Federal sponsors
Office Supplies	Unallowable as a direct cost except where extensive use of office supplies is necessary to meet the requirements of the sponsored agreement.	Allowable provided the supplies are reasonable and directly related to the work of the sponsored agreement.	Same as State sponsors
Personal Housing and Living Expenses	Unallowable	Unallowable	Unallowable
Postage	Unallowable as a direct cost except when extensively used (FedEx, UPS, etc.) or necessary to meet the technical requirements of the award.	Allowable provided the postage is reasonable and directly related to the work of the sponsored agreement.	Same as State sponsors
Pre contract costs	Unallowable unless approved by sponsoring agency.	Same as Federal sponsors	Same as Federal sponsors
Prizes & Awards	Unallowable	Unallowable	Unallowable
Professional journal publications	Allowable where the article reports sponsor-supported work and the costs are levied impartially on all papers published by the journal.	Same as Federal sponsors	Same as Federal sponsors
Proposal development costs	Unallowable	Same as Federal sponsors	Same as Federal sponsors
Scholarships – Merit	Allowable only when the purpose of the sponsored agreement is to provide training to selected participants and the charge is approved by the sponsor.	Same as Federal sponsors	Allowable when approved in advance by the sponsor
Taxes	Unallowable when exemptions are available to the University or are	Same as Federal sponsors	Same as Federal sponsors

	available to the University based on exemptions afforded the Federal government.		
Telephone – local	Unallowable	Same as Federal sponsors	Same as Federal sponsors
Travel – domestic	Allowable provided the travel is reasonable and directly related to the work of the sponsored agreement. Any costs in excess of the lowest available commercial discount or standard coach airfare are unallowable.	Same as Federal sponsors	Same as Federal sponsors
Travel – international	Generally unallowable unless specifically approved in advance by the sponsor.	Same as Federal sponsors	Same as Federal sponsors
Tuition Remission	The charge must be approved in advance by the sponsor.	Same as Federal sponsors	Same as Federal sponsors
<b>Salary, Wages, and Stipends</b>			
Faculty and professional staff	Allowable provided the salary is reasonable, directly related to the work of the sponsored agreement, and documented in accordance with OMB Uniform Guidance.	Allowable provided the salary is reasonable, directly related to the work of the sponsored agreement, and documented in accordance with University procedures	Same as State sponsors
Post-doctoral associate	Allowable provided the salary is reasonable, directly related to the work of the sponsored agreement, and documented in accordance with OMB Uniform Guidance.	Allowable provided the salary is reasonable, directly related to the work of the sponsored agreement, and documented in accordance with University procedures	Same as State sponsors
Administrative and clerical staff	Unallowable as a direct cost except where a "major project" explicitly budgets for administrative services and the staff involved can be specifically identified with the award. See OMB Uniform Guidance.	Allowable provided the wages are reasonable, directly related to the work of the sponsored agreement, and documented in accordance with	Same as State sponsors

		University procedures	
Graduate Assistant wages	Allowable provided the wages are reasonable, directly related to the work of the sponsored agreement, and documented in accordance with OMB Uniform Guidance.	Allowable provided the wages are reasonable, directly related to the work of the sponsored agreement, and documented in accordance with University procedures	Same as State sponsors
Graduate Teaching Assistants salary	Allowable only when the purpose of the sponsored agreement is instruction or training and the charge is approved in advance by the sponsor.	Same as Federal sponsors	Same as Federal sponsors
Graduate Research Assistant stipend	[Stipends are no longer allowed, GR must be paid salaries] Allowable when a degree seeking graduate student performs original, professional research related to his or her academic program. The student must be fully matriculated in a graduate or Ph.D. degree program and be under the supervision of an appropriate faculty member.	Same as Federal sponsors	Same as Federal sponsors
Other Stipends	[Stipends are not allowed by LINCOLN UNIVERSITY] Allowable only when the purpose of the sponsored agreement is to provide training to selected participants and the charge is approved by the sponsor.	Same as Federal sponsors	Same as Federal sponsors
Student Wages - Academic Year	Allowable provided the wages are reasonable, directly related to the work of the sponsored agreement, and documented in accordance with OMB Uniform Guidance.	Allowable provided the wages are reasonable, directly related to the work of the sponsored agreement, and documented in accordance with University procedures	Same as Federal sponsors

## **Key processes in Award Negotiation and Acceptance**

- Review and negotiate budgets.
- Review and negotiate publication rights.
- Review and negotiate indemnifications.
- Review and negotiate patents and copyrights.
- Review and negotiate licensing and royalties.
- Review and discussion contract/agreement including terms and condition an project implementation.

## **Pre Award Grant Terminology**

**Applicant:** the entity requesting a grant; the agency or organization seeking funds.

**Application notice:** The Application Notice is published on grants.gov and invites applications for one or more discretionary grant competitions. It provides basic program and fiscal information on each competition, informs potential applicants when and where they can obtain applications, and cites the deadline date for a particular competition.

**Application package:** The Application Package contains the application notice for one or more programs, and all the information and forms needed to apply for a discretionary grant.

**Appropriations legislation:** a law passed by Congress to provide a certain level of funding for a grant program in a given year.

**Assurances:** a variety of requirements, found in different Federal laws, regulations, and executive orders, which applicants agree in writing to observe as a condition of receiving federal assistance and may include legally-binding statements signed by the applicant which states the applicant will do or refrain from doing certain things; when assurances are required by the grantor, assurance forms are usually included in the grant application package.

**Authorized Representative (AOR):** The AOR is the official within an applicant organization with the legal authority to give assurances, make commitments, enter into contracts, and execute such documents on behalf of the applicant as may be required by a grant maker. The signature of the Authorized Representative certifies that commitments made on grant proposals will be honored and ensures that the applicant agrees to conform to the grant maker's regulations, guidelines, and policies. Note that the Authorized Representative is not necessarily the Project Director.

**Authorizing legislation:** A law passed by Congress to establish or continue a grant program.

**Budget narrative:** the section of a proposal that explains the budget. Explanations can include the derivation of amounts (for example, a \$1,250 budget item derives from 100 people at five meetings each using a \$2.50 expendable item), the itemization of totals, the purpose of purchased supplies and services, and the justification of the size of salaries, fringe benefits, and indirect costs.

**Budget period:** periods of time (usually 12 months) into which a project is divided for budget and reporting purposes; for multi-year projects, a continuation proposal is usually required each year the project continues.

**Cash Match:** cash contributions made to a project by the grantee or another party,

usually at the requirement of the grantor.

**Catalog of Federal Domestic Assistance (CFDA)** lists all domestic assistance programs of the Federal Government. It includes information about a program's authorization, fiscal details, accomplishments, regulations, guidelines, eligibility requirements, information contacts, and application and award process. It is maintained by the General Services Administration in both a printed publication and a database.

**Certification:** a statement, signed by an applicant or grantee as a prerequisite for receiving Federal funds that it meets or will adhere to certain conditions and/or will undertake or not undertake certain actions.

**CFDA Number:** an identifying number for a Federal assistance program, composed of a unique two-digit prefix to identify the Federal agency (e.g., 10 for the Department of Agriculture), and followed by a period and a unique three-digit code for each authorized program.

**Competitive Review Process:** used by multiple granting agencies to select discretionary grant applications for funding, in which applications are scored by subject-area experts and the most highly scored applications are considered for funding.

**Contract:** A mutually binding legal relationship obligating the seller to furnish supplies or services and the buyer to pay for them. Contracts do not include grants and cooperative agreements.

**Cooperative Agreement:** An award mechanism used in lieu of a grant in which substantial programmatic involvement by the sponsor is anticipated.

**Cost-sharing:** a requirement that a portion of the project costs be assumed by the grantee; also known as matching.

**Deadline date:** the date by which a discretionary grant application must be received by the granting agency in order for it to be considered for funding.

**Direct Costs:** total costs directly attributable to carrying out a grant project, including salaries, fringe benefits, travel, equipment, supplies, services, etc.

**Discretionary grant:** an award of financial assistance in the form of money by the Federal government to an eligible grantee usually made on the basis of a competitive review process.

**Discretionary grants:** A competitive grant program in which the applicant designs the proposal, and the funding agency ranks the proposals received and determines which will receive grant awards; also called competitive grants or project grants.

**DUNS Number:** A number specifically designated by Dun & Bradstreet, on behalf of the federal government for federal accounting purposes. It is required on all grant applications.

**Time and Effort Reporting:** Mechanism, by which faculty /administrative effort commitments and salary charges made to sponsored projects are documented, reported on and signed by the individual working on the award, or by an individual possessing firsthand knowledge about personnel working on the award.

**Electronic Research Administration (ERA):** Electronic and Web-based systems designed to support the administration, management and knowledge base of sponsored research.

**Employer Identification Number (EIN):** the number issued by the federal government to identify the entity, also known as the federal tax ID number.

**Evaluation:** an assessment of the project's success in meeting its intended outcomes; usually includes a formative evaluation and summative evaluation (see formative and summative evaluation).

**Federal Register:** a daily compilation of Federal regulations and other Federal agency documents of public interest, which is prepared by the National Archives and Records Administration for public distribution by the Government Printing Office.

**Financial Conflict Of Interest (COI):** The revealing of relevant significant financial interests of faculty and or staff (including those of their spouses and dependent children) which could appear to affect their research. Conflict of Interest Disclosure statements are required by the College for National Science Foundation or Health and Human Services.

**Fiscal Year:** A twelve month period, for which an organization plans the use of its funds; for the federal government, the fiscal year runs from October 1 through September 30; for the State of Georgia, the fiscal year runs from July 1 through June 30. The fiscal year is designated by the calendar year in which it ends (for example, in the State of GA, FY 2007 runs from July 1, 2006 through June 30, 2007).

**Formative Evaluation:** conducted during the operation of a project, generally for the purpose of providing immediate feedback to the project administrators about the status of project activities so that project revisions may be made.

**Formula Grants:** funds made available to the school district based on a formula prescribed in legislation, regulations, or policies of the agency; formula grants are non-competitive.

**Fringe Benefits:** amount paid by the employer for employee benefits such as retirement, health insurance, unemployment insurance, etc.; salary plus fringe benefits equals the total

personnel costs.

**Funding priorities:** A mechanism used to focus grant competition on the areas in which the agency is particularly interested in receiving applications. Priorities can be absolute, which the applicant must address in order to be considered for funding; competitive, which the applicant has the option of choosing whether or not to address and for which they may receive additional points, or invitational, which the applicant is encouraged but not required to address.

**Grant Award Notification:** an official document signed by the authorized official stating the amount and the terms and conditions of an award for a discretionary grant.

**Grant Period:** the period of time specified in the grant award notice or contract during which costs may be charged against the grant or contract.

**Grant:** An arrangement under which there is a transfer of funds, property, services or anything of value from the sponsor to the institution to assist the institution in reaching a particular institutional goal or public purpose. Typically, no programmatic involvement between the institution and the sponsor occurs under a grant. Financial assistance in the form of money, or property or technical assistance in lieu of money, awarded by a government agency or private organization (foundation or corporation) to an eligible applicant to accomplish some public purpose.

**Grantee:** an individual or organization that has been awarded financial assistance under one of the agency's grant programs; the legal entity to which a grant is awarded and which is accountable to the funding agency for the use of funds provided.

**Grantor:** (also known as funder or funding agency) any legal entity, public or private, that awards grants to the school district, individual schools, or departments; grantors include local, state, or federal government agencies, private foundations, private or public non-profit organizations, and corporations.

**Guidelines:** set of general principles used in preparing proposals, also known as Request for Proposals (RFP).

**Indirect cost rate:** the percentage established by a Federal department or agency for a grantee organization, which the grantee uses in computing the dollar amount it charges to the grant to reimburse itself for indirect costs incurred in doing the work of the grant project.

**Indirect Costs:** overhead; costs incurred in the overall functioning of the institution; costs not readily identified as direct project expenditures (i.e., accounting services, space, utilities). Indirect costs must be requested when funding is from a federal or state source, unless specifically prohibited by the agency.

**In-Kind or In-Kind Contribution:** dollar value of non-cash contributions to a project by the grantee or another party other than the funder, which directly benefit a grant (examples: volunteer services, equipment use, facilities, staff time).

**Institutional Review Boards (IRB):** Review boards established by institutions to ensure the protection of the rights and welfare of human research subjects participating in research conducted under their auspices. IRB's make an independent determination to approve, require modification in, or disapprove research protocols based on whether human subjects are adequately protected, as required by federal regulations and local institutional policy.

**Key Personnel:** Individuals who contribute in a substantive way to the scientific development or execution of a project, regardless of whether or not they receive compensation from the grant supporting that project. Must include Principal Investigator and any other personnel that the PI designates.

**Lead Agency:** in a consortium of entities applying for a grant, the lead agency the fiscal agent responsible for overall project management & fiscal and issuing subcontracts to other partners.

**Local Education Agency (LEA):** school district or county office of education that will receive and disburse grant funds.

**Matching Or Cost Sharing:** The value of third-party in-kind contributions and the portion of the costs of a project or program not borne by the sponsor. Matching or cost sharing may be required by law, regulation, or administrative decision. Costs used to satisfy matching requirements are subject to the same policies governing allowability as other costs under the approved budget.

**Matching:** grantee's cash or in-kind contribution to a project, usually a percent of the total budget; see also cash match, in-kind.

**Misconduct In Science:** Fabrication, falsification, or plagiarism in proposing, performing, or reporting research, or in reporting research results.

**Notice of Grant Award (NGA):** The legally binding document that notifies the grantee institution that a grant or a cooperative agreement has been made. This document contains references to the award's terms and conditions.

**Organizational Capability:** the previous experience, productive capacity, personnel, and other resources that indicate that the applying organization can carry out a proposal.

**Outcome Objective:** refers to the measurable change (increase or decrease) in conditions or behaviors as a result of the project's implementation (i.e., By the end of year one, the average

CST score in mathematics for students participating in the project will increase by 5 percentile points).

**Peer Review:** System for evaluating research applications that use reviewers who are the professional equals of the applicant.

**Pre-application:** (pre-proposal or letter of intent) A statement in summary form of the intent of the applicant to request funds. May be used to determine the applicant's eligibility and the competitiveness of the project with other applications and to eliminate proposals for which there is little or no chance for funding.

**Principal Investigator (PI) / Co-Investigator:** Faculty or staff member who directs the technical and administrative work of a sponsored project. Co-PI is a faculty member who collaborates with the Principal Investigator (PI) in the execution of the research project.

**Process/Product Objective:** a major project activity/milestone and timeline for its accomplishment; helps project staff to monitor the project activities and management plan (i.e., By the end of the second month, the in-service workshops will be scheduled); can also refer to a concrete item to be produced by the project, such as a manual or a film (i.e., By the end of the sixth month, the curriculum supplement will be completed).

**Program Announcement (PA):** Process by which federal agencies publicize and implement new extramural grant programs and priorities, or update existing programs.

**Program Announcement:** press release, booklet, catalog, form or notice telling of an opportunity to apply for a grant or contract.

**Program regulations:** implement legislation passed by Congress to authorize a specific grant program, and include applicant eligibility criteria, nature of activities funded, selection criteria under which applications will be selected for funding, and other relevant information.

**Progress Report / Final Report:** Documentation required by sponsor at a defined time providing status of a project; May include financial, technical, or other reports. The final report is the technical or financial report required by the sponsor to complete a research project.

**Project period:** the total amount of time during which FNS authorizes a grantee to complete the approved work of the project described in the application.

**Project/Program Director:** individual designated by the grantee to be responsible for the administration of a project including project management, submission of all required documents, communicating with the grantor and other appropriate agencies, and carrying out project activities.

**Project/Program Officer:** the official at the grantor agency who is responsible for the grant program, i.e., supervises technical and program aspects of grants; may also be responsible for administrative and fiscal aspects.

**Proposal:** formal written document that provides detailed information to a funder on the components and cost of a proposed project in response to some substantiated need or problem; often confused with the term 'grant' proposal represents a plan for change whereas grant is the financial award, the money.

**Request For Applications / Requests For Proposals (RFA / RFP):** Formal announcement by sponsor of a funding initiative to support research projects within a well-defined area. Typically RFA's are published in the Federal Register, agency announcements, or in a foundation announcement.

**Request For Proposal (RFP):** The funder's request, which includes the program overview, expectations, the guidelines, instructions, and forms necessary for the applicant to submit a proposal, and the criteria or rubric for judging proposals.

**Sponsored Award / Restricted Funds:** A sponsored award is an external funding instrument, usually in the form of a grant, contract, or cooperative agreement, from a sponsor, typically for a research or training project under an agreement that includes any one of the following:

- terms which bind the College to a line of scholarly or scientific inquiry specified to a substantial level of detail
- a line-item budget
- terms which require financial reports to be given to the sponsor
- terms which require the award to be subject to external audit
- terms which require unexpended funds be returned to the sponsor at the conclusion of the project
- terms which provide for the disposition of either tangible or intangible properties that may result from the activity (tangible property includes equipment, records, theses, inventions, etc.).

**Summative Evaluation:** reporting or measurement of final program results.

**Target Population/Group:** A specified group of individuals or cohort that the project will identify, recruitment among, and deliver program services to.

**Timeline:** a management tool, which details the schedule of project, tasks to be accomplished, by whom, and over what period of time.

Forms

Intent to Submit

	<b>Lincoln University</b> LEARN. LIBERATE. LEAD.	<b>Office of Sponsored Programs</b> 1570 Baltimore Pike Lincoln University, PA 19352 484-365-7234 phone 484-365-7691 fax osp@lincoln.edu	
(Sponsored Program is operationally defined as Grants, Contracts, & Cooperative Agreements)			
<b>Intent to Develop &amp; Submit a Proposal for Funding Opportunities</b>			
<input type="checkbox"/> New	<input type="checkbox"/> Resubmit	<input type="checkbox"/> Other (please indicate) _____	
<input type="checkbox"/> Grant	<input type="checkbox"/> Contract	<input type="checkbox"/> Cooperative Agreement	
<b>Today's Date:</b> _____ <b>Funding Agency's Submission Deadline:</b> _____			
<b>Funding Agency:</b> _____		<b>Solicitation #:</b> _____	
<b>Name of Appropriate Program Officer:</b> _____			
<b>Program Officer Contact Information:</b> _____			
<b>PROSPECTIVE PRINCIPAL INVESTIGATOR (PI):</b> _____			
<b>CONTACT TELEPHONE#</b> _____		<b>E-MAIL:</b> _____	
<b>DEPARTMENT / OFFICE:</b> _____		<b>DIVISION:</b> _____	
<b>Brief description of the proposed project:</b>			
<b>PROJECTED DATE OF SUBMISSION OF <u>COMPLETE DRAFT</u> TO OSP FOR INTERNAL OSP REVIEW:</b> _____			
(Note: This date should be at least 5 business days before the Funding Agency's Submission Deadline above.)			
_____ Prospective PI	_____ Date	_____ Departmental Chairperson / Supervisor	_____ Date
_____ Dean of Faculty	_____ Date	_____ Director, Sponsored Programs	_____ Date

Budget Matrix



Office of Sponsored Programs  
 2100 S. University Blvd.  
 Lincoln, NE 68502  
 404 363 7214  
 404 363 7811  
 osp@lincolnu.edu

**OSP BUDGET MATRIX**

Grant Name:

Principal Investigator:

CFDA #s:

Granting Agency:

Notice of Funding Opportunity (NFQ) Number:

Agency Contact:

Grant Type: Prime

Contract Beg Date:

Contract End Date:

Contract Award:

TITLE	OBJECT CODE	ANNUAL BASE SALARY	RELEASE %	(2) MONTHS	GRANT FUNDS	LINCOLN COST SHARE
Dr. Hayes				\$0	\$0	\$0
Full-time Fringe benefits - 33%						\$0
Part-time Fringe benefits						
Total Salaries and Fringe						\$0

LINE ITEM	OBJECT CODE	NOTES	BUDGET AMOUNT BY FUNDER BUDGET	GRANT FUNDS	LINCOLN COST SHARE

Total Direct		
Indirect		\$0
Total Project Budget		

Approval, Principal Investigator \_\_\_\_\_

Approval, Senior Grants Accountant \_\_\_\_\_

Approval, VP for Fiscal Affairs \_\_\_\_\_