

**Southeastern Louisiana University
Office of Sponsored Research and Programs
OSRP HANDBOOK**

The following is a comprehensive guide to obtaining and managing grants and contracts at Southeastern Louisiana University. The purpose of this handbook is to describe the procedures that a Southeastern employee should follow in seeking external support and in administering an externally funded award.

There are 11 sections listed below for quick reference.

Section 1 - Introduction to Sponsored Research and Programs

Section 2 - Project Planning

Section 3 - Proposal Preparation

Section 4 - Institutional Information for Proposals

Section 5 - Institutional Review Board (Humans and Animal Subjects) & Other Reviews

Section 6 - Proposal Submission

Section 7 - Award Negotiation and Acceptance

Section 8 - Account Set-up and Administration of Sponsored Programs

Section 9 - Multi-Year Grants and Contract Renewal

Section 10 - Responsibilities of PI, Department Chair, and Dean

Section 11 - New Award Project Pointers

OSRP Handbook - Section 1

Introduction to Sponsored Research and Programs

Overview

Office of Sponsored Research and Programs

OVERVIEW

Sponsored projects are activities supported by external funds awarded as a result of a proposal or an application for funding submitted to an agency by Southeastern Louisiana University on behalf of faculty or staff members. Faculty and staff are encouraged to seek financial support from external sources for research, instruction, curriculum development, training, equipment, enhancement and community service activities. Sponsoring agencies may be federal, state, and local governmental agencies, private foundations, corporations, businesses and industries, non-profit organizations, and professional societies.

Grants, contracts or cooperative agreements support sponsored projects. The award agreement commits the sponsor to fund the project at a certain level and commits Southeastern to perform the activities specified in the proposal during a specified period of time.

Gifts and bequests to the University are administered through the Southeastern Louisiana University Foundation and are not intended for use with sponsored projects. In the event faculty and/or staff are financially compensated for some service or participation in a Foundation activity or there is a cash or in-kind match from the University, the award must be submitted to OSRP for University review.

Generally, when a grant award or contract is offered by a funding agency, it is awarded to the University on behalf of the project director or principal investigator (PI) who is primarily responsible for executing the requirements of the award. Faculty or staff members do not have the authority to bind the University in a legal manner.

Every request for external funds submitted by Southeastern is a legal agreement committing the University to engage in certain activities at a certain cost; therefore, the proposed project must accord with University, college, and department goals, capabilities and policies. All grant/contract proposals require review and approval of appropriate departments, colleges, Office of Sponsored Research and Programs (OSRP), Controller's Office, and Provost.

The project director, when developing and submitting a proposal and administering a project, is representing the University and is responsible for upholding the high standards expected of Southeastern projects. In most cases, the project director serves as the budget unit head with all responsibilities pursuant to fiscal management.

OFFICE OF SPONSORED RESEARCH AND PROGRAMS

The Office of Sponsored Research and Programs (OSRP) promotes externally funded research, instruction, public service, academic and institutional support, enhancement, and scholarship and fellowship projects at Southeastern Louisiana University. In addition to policies stated herein, all externally funded projects must adhere to all guidelines as stated in the faculty handbook pertaining to employment practices, summer and additional compensation, permissible release time, etc.

OSRP is a central source of information on major government agencies, foundations, and corporations that support research and scholarship. A wide range of services to faculty, administrators, staff and students are available, including:

- ❖ identifying potential external funding sources;
- ❖ assisting in development of proposal narratives and project budgets, and in preparation of standardized application forms;
- ❖ assisting in the electronic submission of proposals and electronic administration of funded projects;
- ❖ assuring compliance with federal and state regulations and university policies and procedures;
- ❖ assisting in the completion of internal requirements for proposal submission, including coordination of review of research protocols involving human participants and animal subjects;
- ❖ reviewing and approving proposals for submission to sponsors;
- ❖ negotiating grant awards and contracts;
- ❖ coordinating activities with the Grants Accounting section of the Controller's Office as required;
- ❖ processing forms for grant administration (budget adjustments, recommendation for employment forms-5.01/GA, purchase requisitions, requests for extensions);
- ❖ and maintaining a central file and database of all proposals submitted and awards received and generating reports of sponsored program activity.

OSRP Handbook - Section 2 Project Planning

Initial Proposal Development Budget Development Budget Justification

INITIAL PROPOSAL DEVELOPMENT

A request to an external funding agency is generally made in the form of a formal proposal. The faculty or staff member who will serve as the PI is responsible for preparing the proposal narrative and project budget. Assistance in proposal preparation and budget development is available from OSRP. Faculty are requested to consult with the Sponsored Research staff early in the project planning stages.

The first steps for the PI are to develop preliminary ideas and identify agencies with interests and priorities similar or consistent with research or project goals of the PI. The PI must consider the need for the project (contribution to the field and uniqueness), experience in the proposed research area (collaboration may be necessary), and needed funding, facilities, equipment and personnel to accomplish the research or project.

In identifying funding sources, it is important to retrieve current information from granting agencies, as there are changes from year to year. Southeastern's Sponsored Research site has numerous Internet links for funding information. Explore the SPIN (Sponsored Programs Information Network) /SMARTS database and specific agencies or foundations. For the selected agencies, obtain the program description, forms and guidelines. Read and reread the guidelines and any related information about the grant. Highlight critical information such as award amounts, project duration and submission deadlines. (If proposing to a foundation, contact OSRP for information prior to beginning a proposal.)

Read the program announcement carefully to determine what type of proposal or projects will be funded. Proposals are evaluated in terms of how well they match the purpose of the program as stated in the announcement. Tailor your proposal narrative to the award criteria stated in the announcement.

Most funding agencies encourage the PI to contact program officers to obtain specific information about the types of projects to be funded, target populations, etc. Information from these contacts can increase the chances of proposal award.

As the proposal is being developed, the PI is encouraged to consult with the department chair or director, dean, and colleagues to ensure that the project is technically and financially sound (can the project be completed with the time allowed and with the proposed funding). It is particularly important to discuss the need for course release time or buy out and matching or cost-sharing requirements with the department chair and the dean. The Office of the Provost must clear

requests for reassigned time or course load reduction, whether paid by grant or University funds. Additionally, if your idea involves a partnership with colleagues, other universities, or the private sector, early contact with OSRP is beneficial and necessary.

Early in the proposal process, contact OSRP regarding access to the PS Financial Grants module. This electronic routing will be used to track the proposal and obtain necessary signatures and assurances for the University and granting agency, facilitate accommodation of the project, and verify matching University commitments.

BUDGET DEVELOPMENT

Budget development should parallel project development and should reflect the cost of implementing the project. Budgets should be prepared according to the sponsoring agency's guidelines and University policies and should sufficiently cover all anticipated direct and indirect costs to be incurred under the proposed work. Except when a sponsor requires cost sharing or a matching commitment from the University, the principal investigator is expected to request sufficient funds from the sponsor to cover all the direct costs. Direct costs include salaries and wages, including the proportionate share of fringe benefits for all personnel involved, and equipment, travel, supplies and operating expenses, consultant services, other contractual services, participant support costs, and subcontract costs.

The budget represents the PI's best estimate of the costs to be incurred by the proposed project. It should be as detailed as the sponsoring agency guidelines require. Often, drafting the budget first will facilitate writing the proposal. Several aspects of budget preparation are addressed in the following paragraphs.

The PS Financials Grants module includes a budget summary page that matches proposed cost to the University budget categories. These categories may differ slightly from the agency budget forms. The routing form categories will aid in setting up the budget when a project is funded and assists in accounting for matching funds.

- Salaries and Wages

Salaries and wages must be estimated consistently, regardless of the funding source and in accordance with the approved University pay plan, rate or schedule. Proposed University personnel salaries should be based on the current academic or staff salary schedules for each particular job classification. Projected cost of living or merit increases (an average of 5% per year) should be included for each year of the project if appropriate (check with OSRP). University policies on compensation conform to OMB Circular A-21, Cost Principles for Educational Institutions. In no instance should external funding be used as a means to increase the regular academic salary of a University faculty member. It is appropriate to seek funding for summer and/or interim sessions.

- Guidelines for Approval of Supplemental Compensation

The Faculty Handbook addresses the policy relevant to Extended Workload and Supplemental Compensation in Part IV:3 and 4 of "Responsibilities and Duties of Faculty." Employees contracted on a 12- month basis may receive supplemental compensation not greater than 25% of the annual salary rate as stated in their contract for that fiscal year. Such supplemental compensation may be earned only for an additional workload undertaken entirely outside of regularly scheduled work hours unless annual leave is taken.

For example, a 12-month employee with an annual salary of \$40,000 will have a supplemental compensation limitation of \$10,000.

Employees contracted on a 9-month basis may receive supplemental compensation not greater than 25% of the salary rate as stated in their 9-month contract, plus 25% of full-time summer compensation whether or not the employee was employed in the summer (this summer compensation is calculated as 2/9 of salary rate stated in the previous 9-month contract). It is understood that the additional workload for supplemental compensation will be undertaken only when the additional duties will not interfere with regular university duties.

For example, a 9-month employee with a current academic salary of \$40,000 will have a supplemental compensation limitation of \$12,167 (25% of \$40,000 + \$8667 [2/9 of \$39,000 = summer salary for preceding academic year]).

- Fringe Benefits

For the purpose of estimating fringe benefits on salaries either included in the grant funds requested or as matching funds, 38% is used for full-time (employed at least 75% time) faculty and staff. Fringe benefits are not included for graduate or undergraduate students, or subcontractors, for the majority of proposals. For part-time employees, use 7.65%.

- Travel

Estimates of travel costs for in-state and out-of-state field and conference travel must comply with University and state regulations. This includes transportation, mileage, meals, lodging, etc. See Louisiana Travel Guide for regulations.

- Operating Services, Supplies, and Miscellaneous Budget Items

Estimates of costs of services and miscellaneous items should be made based on past experience and telephone or written quotations. Included are printing, copying, postage, telephone, advertising, etc. for Operating Services and consumable supplies (paper, printer cartridges), software and equipment items under \$1,000 for Supplies.

- Professional Services

Fees included for compensation paid to persons not employed by the University such as outside consultants and contractors.

- Other Charges

Included here are participant support costs, subcontracts, tuition and stipends from the agency, and other items not included elsewhere.

- Acquisitions

Equipment costing over \$1,000, furniture, and library acquisitions are included here. Estimates of the cost of each item or piece of equipment should be based on a catalogue, telephone, or written quotation. The estimate should include shipping and assembly costs, if applicable.

- Cost-Sharing and/or Matching Funds

Some sponsors require institutional cost sharing or matching funds from the University to indicate the University's commitment to the project. In general, the principal investigator should provide as much of the cost-share as possible as "in-kind" (e.g., contributions to the project that have a quantifiable value but do not require the University to commit additional cash). Do not include a match from Southeastern unless it is required. If there is a need to document salient efforts on the part of faculty and/or staff, do so in the proposal narrative and refrain from including such in the match budget. A contribution of personnel time for which the faculty is released from teaching assignments (with no salary funding from the granting agency) and the related share of fringe benefits are considered a cash match. When a cash match is required, the principal investigator must first consult with the department chair and the dean to identify departmental, school, and/or college sources of funds to meet the matching requirement. Amount of required or suggested cost sharing varies with agencies and types of proposals.

Cash Match: In general, this refers to items that require clearly identifiable and reportable cash outlay by the University, including the value of wages and salaries (i.e. % of secretary's time spent with project), supplies, travel, Xeroxing, equipment, printing, postage, etc. The use of faculty time spent teaching a course that supports or is relevant to the grant is sometimes used as a cash match. In this case, there is no "new" money as the faculty time for teaching is already accounted for in a departmental budget. Cash match items have a direct impact on the University budgets and must be identified by a source budget account number. Dean and department chairs need to be aware that if the project receives external funding, these amounts will be removed from the source budget and placed in a match budget for the project.

In-kind Match: Generally, this refers to providing or absorbing services with no cash commitment such as use of existing equipment or telephone lines, office space, and building space. Salary equivalent for faculty or unclassified time committed with no compensation or release time (gratis) can also be included. The value of indirect costs when no indirect costs are allowed, or the difference in the amount allowed and the University's rate, can also be used for in-kind matching.
Some grantors use "in-kind" to mean any kind of match (including cash); therefore, check individual grantor's definition of "in-kind" to be sure the

correct definition of in-kind is used for the grantor's forms. Additionally, be aware that for the purposes of the routing form and process, the University may define these matches differently than that defined by the agency. Please check with the Office of Sponsored Research.

See the [Match Checklist](#) in OSRP Forms for sample in-kind and cash match items.

- Indirect Cost/Facilities and Administration Costs (F & A Costs)

Facilities and administrative costs (formerly referred to as indirect costs) are costs incurred by the University as related to the grant activity. Examples of such costs are maintenance, depreciation, general and departmental administration, utilities, janitorial services, accounting and purchasing services, research administration, library operations, etc. Agencies recognize these expenses and allow the University to recover these costs through a negotiated F & A rate that is included in the grant expenses.

The PI must include in the project budget the maximum allowable amount of facilities and administration costs that the sponsoring agency will pay according to the program guidelines. Federal agencies will generally allow F & A costs at the University's federally negotiated rate (currently 36% of salaries/wages and fringe benefits). State and private funding sources often set a maximum allowable rate for a specific program. Should F & A costs not be allowed under the terms of the proposal guidelines, the University may include the value of these costs as an in-kind match.

BUDGET JUSTIFICATION

The budget justification should explain all requested expenses and matching funds included in the budget. This document should follow the agency budget form. Upon award, it will become part of the contract and will be used to set up the University budget account. This information is vital to budget renegotiations or requested changes.

OSRP Handbook - Section 3 Proposal Preparation

Title Page

Abstract

Table of Contents

Introduction (statement of problem, purpose and significance or research)

Background (literature review)

Objectives

Methodology

Description of Relevant Institutional Resources

List of References

Personnel

Budget

PROPOSAL PREPARATION

The responsibility of writing the proposal is that of the faculty or staff member; however, OSRP staff can facilitate refining ideas and identifying funding sources. Feedback regarding project design and proposal format, preparing and checking budgets, and reviewing compliance and assurance statements can be provided. Contact OSRP early in the planning process, even weeks or in some cases months before the submission deadline.

If the proposal involves several investigators, other institutions, a complicated budget, match requirement, or numerous agency certifications, bring the proposal to OSRP at least two weeks before the submission deadline. An uncomplicated proposal takes about 14 days for University routing; therefore, complex proposals need more lead-time. Also, if the proposal is to be submitted electronically, plan for more time. For a proposal to begin the routing process on campus an abstract, budget, budget narrative or justification, and draft of the narrative are required.

Writing a proposal to obtain grant funding is a complex process. To be written properly, several weeks, and sometimes months, are necessary in development of the proposal. Many agencies require several months to make a funding decision, so it is not unusual to begin at least a year before you intend to work on your project.

In planning the proposal, it is a good idea to consult your department head and dean early. Also, consult with the professional staff in the University's Office of Sponsored Research. The dean and department head should be informed of your intentions and any aspect of the proposed project that might affect departmental and college administration or duties. Early discussion of personnel and facility commitments will smooth the way for the proposal later.

OSRP has several good references on proposal writing and several workshops are provided throughout the year. Workshops can also be requested by groups of faculty and staff.

Writing a proposal for a grant or contract for research or a program is a practice in persuasion. It is well to assume the reader/reviewer is a busy, skeptical person who has no reason to give your proposal special consideration and is faced with more requests than can possibly be granted, or even read thoroughly. This reader wants to determine quickly and easily the answers to the following questions:

- ❖ What do you want to do, how much will it cost, and how long will it take?
- ❖ How does the proposed project relate to the sponsor's interest?
- ❖ What difference will the project make to the University, students, state, nation, etc.?
- ❖ What has already been accomplished in the project area?
- ❖ How do you plan to implement and evaluate the project?
- ❖ Why should you, rather than someone else, do this project?

These questions can be answered in different ways and receive different emphases, depending on the nature of the proposed project and on the agency to which the proposal is being submitted.

Selecting the right sponsor is an important first step. A call to the program officer at the potential sponsoring agency is often helpful. Once you have located a potential sponsor, study the detailed instructions or guidelines for the preparation of proposal to be sure your project fits with the sponsor's parameters before you begin writing the draft. For those agencies that do not have guidelines, the following format is generally acceptable. There may be some variations depending upon the nature of support you are seeking (research, in-service, curriculum development).

The following elements are standard for **most** research proposals:

- ❖ Title Page
- ❖ Abstract
- ❖ Table of Contents
- ❖ Introduction (statement of problem, purpose and significance or research)
- ❖ Background (literature review)
- ❖ Objectives
- ❖ Methodology
- ❖ Description of Relevant Institutional Resources
- ❖ List of References
- ❖ Personnel
- ❖ Budget
- ❖ Appendices

TITLE PAGE

Most sponsoring agencies specify the format for the title page or cover sheet, and some provide special forms to summarize basic administrative, fiscal and technical data for the project. Generally, the principal investigator (PI) and officials representing the university sign the title page. In addition, the title page includes the title of the proposal and sometimes the proposed starting date, budget period, and the total funds requested. If a title page/cover sheet is not required, include a

simple title page as part of the narrative section.

A good title is usually a compromise between conciseness and explicitness. Some agencies limit the character and spaces of proposal titles, yet PIs are expected to make titles clear and descriptive to indicate the nature of the proposed work. One good way to cut the length of titles is to avoid words that add nothing to a reader's understanding, such as "Studies on...," "Investigations in...," or "Research on some problems in...".

ABSTRACT

Every proposal, even short ones, should include an abstract. Most reviewers rely on it for a quick overview of the proposal and often return to it to refresh their memory on main issues. Some reviewers read only the abstract. The abstract is often used by agencies for compiling records on projects funded or for disseminating information about successful projects.

Though the abstract appears first, it should be written last. Guidelines usually specify the length (usually 200-250 words). It should appear on a page by itself with a small Roman numeral if the proposal has a table of contents and with an Arabic number if it does not.

A common problem is to summarize at length the need and rationale for the project, yet be concise with the objectives and methodology. In presenting the essential overview of the proposal, the abstract should summarize the answers to the questions listed earlier in this section, excluding the budget. The abstract should represent the entire proposal, even though parts may be read separately. Remember that the abstract is a first impression, a memory refresher, and sometimes, a last impression.

TABLE OF CONTENTS

For short proposals, a table of contents may not be necessary. A lengthy proposal may include a list of illustrations (or figures) and a list of tables, in addition to the table of contents. If this is the case, place the table of contents first and follow with the lists of illustrations and tables with each page numbered with a lower-case Roman numeral.

INTRODUCTION

Use a theme or capsule statement to begin introduction. Be direct. The main purpose of the introduction is to introduce the subject to a stranger, the reviewer. Administration and agency program officers need to get a general idea of the proposed work before having it reviewed by persons who will judge its technical merit. Therefore, both the abstract and introduction should be intelligible to informed lay people, giving enough background to allow readers to place your particular problem in a context of common knowledge and show how its solution will advance the field. Do not overstate, but don't be neglectful in stating how important your research is.

In introducing the research problem, it is helpful to say what it is not, especially if it can be confused with prior or related work. You may even need to explain the underlying assumptions or hypotheses to be used. This section often includes a literature review describing relevant work. For research projects, proposals must demonstrate familiarity with related research and explain how the project relates. With training or service projects, the proposal should use statistical or demographic data to document need.

If the exposition of the proposal tends to be long or complex, the introduction can end by specifying the order of the following sections, as this will assist the reviewer with an orderly impression of the proposal.

The tone of the introduction should reflect subdued self-confidence with some enthusiasm. It can show enthusiasm, but be careful with extravagant promises. (Take note, however, that solid self-assurance with a research proposal to a private corporation is advised).

BACKGROUND

This section may not be necessary if the introduction presented a relevant background in a few sentences. With complex proposals, pertinent works and your evaluation of them will contribute to your evidence of knowledge on the topic. Let this review of work done by others lead the readers to a clear impression of how you will be building upon what has already been done and how your work will be different.

A short background discussion of your own work relating to the proposed project is an opportunity to illustrate why you are suitable to undertake the project. This is also an opportunity to inform sponsors how your previous work was funded.

OBJECTIVES

Include a listing of long-term goals and short-term objectives written in measurable terms for easy evaluation. Typically with grants the objectives indicate that certain activities will be undertaken with the hope of achieving certain results. With contracts the indication is that for a certain number of dollars a certain activity, product or result can be expected. In light of this, state objectives to reflect the nature of the award whether it is a grant or contract. Remember, the objectives are what the agency is "buying".

METHODOLOGY

This section may include several sections and is the heart of the proposal. The following are some tips to strengthen this section.

1. The program of work should be realistic and feasible. A frequent comment from reviewers is that the research plan should be scaled down to be more manageable with a strong evaluation component.
2. Assumptions and hypotheses should be explicit.
3. The focus of the research should be clear.

4. If the project has several components or is multi-year, divide it into phases that can be evaluated easily and are conducive to progress reporting.
5. The schedule of proposed work should be detailed to provide the sponsor assurance that you are capable of step-by-step planning and implementation. This will also simplify justifying the budget.
6. The evaluation plan should be specific and related to the objectives or hypotheses.
7. The connection between the objectives, methodology, and evaluation should be evident.

DESCRIPTION OF RELEVANT INSTITUTIONAL RESOURCES

This area is dependent on the project, but generally addresses the resources available to the proposed project. It should convince the sponsor why your university is best suited to conduct the project. Some points to be made are the University's demonstrated competence in the pertinent research area, faculty expertise that may benefit the project, and supportive services that will have a direct benefit to the project.

LIST OF REFERENCES

A general rule of thumb is that if there are six or more references, use a reference list. If there are less, the references can be inserted into the text. The list of references usually precedes the budget. Use a format consistent with that of your discipline.

PERSONNEL

This section usually consists of an overview of personnel requirements with a short paragraph about each of the main participants and vitae for each participant. The length of detail on qualifications, experience and publications is usually limited in the guidelines. Any student or graduate student participation should be described.

BUDGET

Budgeting the cost of the project is a critical activity. Begin this process early and contact OSRP for instructions. Budget detail and accuracy and complete budget justification will facilitate the University routing process and demonstrate a well-planned project to the sponsor.

OSRP Handbook - Section 4
Institutional Information for Proposals

The following is a listing of frequently needed information when preparing a proposal. Also Southeastern's [Electronic Fact Book](#) has updated information and statistics to be used in preparing a proposal introduction or description of the University.

Number Identifications	
SLU Employer Identification (EIN/TIN) Number	72-6000816
DUNS (Data Universal Numbering System) Number	065470684
The Commercial And Government Entity (CAGE) Code Number	OKFF7
National Science Foundation Institutional Code for Southeastern	0020248000
Institutional Review Board (IRB) Number	IRB00005402 (expires 03/15/2015)
IACUC Assurance Identification Number	A4604-01 (Effective Date: 29 March 2010 Expiration Date: 11 March 2014)
Federal Wide Assurance (FWA) Number	FWA00011388 (expires 06/28/18)
Integrated Postsecondary Education Data System (IPEDS) ID	160612
Office of Postsecondary Education (OPE) ID	00202400
Other Identifications and Assurances	
Applicant Organization	Southeastern Louisiana University
Applicant Address, Telephone	c/o Office of Sponsored Research and Programs, Southeastern Louisiana University, SLU 10508, Hammond, LA 70402 (985) 549-5312
Authorized Institutional Representative	Cheryl E. Hall, JD, Director of Sponsored Research & Programs

Institutional Fiscal Officer	Ms. Nettie Burchfield , Controller
Carnegie Foundation for the Advancement of Teaching: 2000 Designation	Master's (Comprehensive) Colleges and Universities I
Southeastern Louisiana University Established	1925
DHHS (Department of Health and Human Services) F&A (Facilities and Administrative Cost Rate) or Indirect Cost Rate Agreement Date	July 1, 2011 - June 30, 2015
Misconduct in Science Assurance filed with the Office of Research Integrity	February 2014
Is organization delinquent on any federal debt?	No
Is organization debarred, suspended?	No
Congressional/Legislative Information	
U. S. Congressional District	1st
U. S. Representative	Steve Scalise
U. S. Senators	Mary Landrieu David Vitter
Louisiana Senate District	12
State Senator	Ben Nevers
Louisiana House District	86
State Representative	Chris Broadwater
Budget Calculation Information	
Fringe Benefits	<p>Full-time employees -- 38% of salary</p> <p>Part-time employees -- 7.65% of salary</p> <p>Faculty, academic year & summer -- 38% of salary</p> <p>Faculty/Staff, additional duties -- contact OSRP</p>
Note: No fringe is applied to student wages or graduate assistant stipends.	
Facilities and Administrative Cost Rate (F&A, formerly indirect cost)	<p>Federally negotiated rate: 36% of salaries/wages plus fringe (including graduate assistant stipend and student worker wages).</p> <p>Applies 07/01/11 through 6/30/15.</p>

	May be agency specific, check guidelines or with Office of Sponsored Research for maximum allowable under program guidelines.
Other Useful Numbers, Contacts, and Information	
OSRP Office Phone Number, Fax Number, e-mail	(985) 549-5312, fax (985) 549-5094, osrc@selu.edu
OSRP Location	East Stadium, Room 212
OSRP Director	Cheryl E. Hall , JD
OSRP Grants Development Specialists	<p>Margaret Adelman, MA: Grants Development Specialist for the College of Arts, Humanities, and Social Sciences; Florida Parishes Social Services Research Center; Center for Southeast Louisiana Studies; SELU Writing Project; KSLU/Southeastern Channel; College of Science and Technology; Institute for Biodiversity and Interdisciplinary Studies; Turtle Cove Environmental Research Center; Lake Pontchartrain Basin Research Program; Division of Extended Studies; Other University Divisions including the Counseling Center and University Police; and TRIO Programs</p> <p>Cindy Collins, MBA: Grants Development Specialist for the College of Business; Small Business Development Center; College of Education and Human Development; Center for Educational Services and Research; SELU Laboratory School; College of Nursing and Health Sciences; Division of General Studies; and Other University Divisions including Academic Affairs; Center for Faculty Excellence, Center for Student Excellence, and Athletics</p>
Information on Human Participants Compliance	Dr. Michelle Hall , Chair IRB, (985) 549-3639
Information on Animal Subjects Compliance	Dr. Penny Shockett , Chair IACUC, (985) 549-3434
Information on Hazardous Materials/Waste Compliance	Ms. Camille Moniotte , (985) 549-2157
Information on Radiation Compliance	Ms. Camille Moniotte , (985) 549-2157
Information on Bio-Safety Compliance	Ms. Camille Moniotte , (985) 549-2157

Southeastern Louisiana University [Strategic Priorities](#)

Southeastern's [Electronic Fact Book](#)

**OSRP Handbook - Section 5
Institutional Review Board (Human
Participants), Institutional Animal Care and Use
Committee (Animal Subjects)
and Other Reviews**

**Humans and Animal Subjects
Radiation Safety and Bio-Safety**

The appropriate University Institutional Review Board or committee must review sponsored research and projects involving human participants, animal subjects, biohazards, or radioactive materials. With applications to Public Health Service agencies (NIH, NIMH, etc.), an Assurance Committee certification of approval must be submitted with the proposal. For other agencies, approval may be obtained after the proposal is submitted. However, approval must be granted prior to acceptance of the award and before project work begins.

HUMANS AND ANIMAL SUBJECTS

The committee determines that the rights and welfare of research participants or animal subjects are protected; that risks to participants or subjects are out-weighted by the potential benefits of the knowledge to be gained; and that the informed consent for human participants is obtained by adequate and appropriate methods.

For Federal regulations, policies, and information regarding **human research**, go to the Office for Human Research Protections (OHRP) web site at:
<http://ohrp.osophs.dhhs.gov/>.

Information and forms for the University's Institutional Review Board (IRB) can be found at <http://www2.selu.edu/irb/>.

For Federal regulations, policies, and information regarding **animal research**, visit the web site of the Office of Laboratory Animal Welfare at:
<http://grants.nih.gov/grants/olaw/olaw.htm>.

Information and forms for the University's Institutional Animal Care and Use Committee (IACUC) can be found at
http://www.selu.edu/acad_research/depts/biol/iacuc/index.html.

RADIATION SAFETY AND BIO-SAFETY

The Director of Safety and Hazardous Materials Management, Campus Radiation Safety Officer and the Radiation Safety Committee set policies for procurement, handling, and storage of radioactive materials on campus. PIs must obtain approval before commencing work. For more information, contact Ms. Camille Moniotte, the

Director of Safety and Hazardous Materials Management and Campus Radiation Safety Officer, at cmoniotte@selu.edu or call (985) 549-2157.

For Federal regulations and policies visit the Occupational Safety and Health Administration (OSHA) web site at: <http://www.osha.gov/comp-links.html>.

OSRP Handbook - Section 6 **Proposal Submission**

Assurances, Certification, and Compliances
Internal Proposal Review and Sign Off
Required Review Time
Authorized University Official Signature
Proposal Submission
Electronic Proposal Submission
Proposal Revision and Resubmission

ASSURANCES, CERTIFICATION, AND COMPLIANCES

Most federal and state agencies require several legal assurances, representations, and certifications to accompany grant and contract proposals. Application packets usually contain these forms or reference the obligation to attach the forms to the proposal. Usually these forms require a signature of an institutional representative.

Some examples of the forms routinely submitted with proposals or contracts are those that assure that Southeastern maintains a drug-free workplace, is not a debtor institution, complies with equal opportunity legislation, and has a policy to process cases of research misconduct. Often representations and certifications that require additional information about Southeastern such as accounting procedures, travel policies, etc. are requested. With proposals to the National Science Foundation and National Institutes of Health, a statement of Investigator Significant Financial Interests Disclosure must be provided.

If a project involves human participants, animal subjects, or hazardous or radioactive materials, additional university forms must be completed (See Section 5). It would be advantageous to have these approvals prior to submission of the proposal, and some agencies will not review proposals that do not have validated university approval. No grant or contract award can be accepted by the university without documentation of necessary compliances.

INTERNAL PROPOSAL REVIEW AND SIGN OFF

When the proposal is finalized, the principal investigator enters the proposal information into the PS Financials Grants module to begin electronic routing on campus. Program guidelines or Request for Proposals information also should be provided to OSRP. This routing information, along with attachments of the proposal (including at a minimum the budget and budget narrative, abstract, draft of the narrative, and any forms to be signed) are electronically submitted to the department chair and the dean for each faculty/staff member committing time to the proposed project for review. By signing the routing, the department chair and dean are certifying that the faculty/staff time commitment is consistent with

faculty/staff assigned effort in the department and is within the maximum 100% time available for University duties should the proposal be funded. Also, these signatures indicate that the content of the proposal, the amount of external funding requested, and the source of any University funds contributed to the project are acceptable. If any other University budget units are contributing funds to the project, signatures from these budget unit heads must be obtained as well.

Once both the department chair and the dean have signed the routing, the proposal is forwarded to the Provost (if match is involved) and then to the director of the Office of Sponsored Research and Programs for final review.

At this time, if there are human participants, animal subjects, hazardous or radioactive materials involved, the PI also should submit certification forms to the Internal Review Board, Office of Safety/Hazardous Materials, or the Radiation Safety Committee as appropriate. These forms are available from OSRP or on the OSRP web site.

REQUIRED REVIEW TIME

Electronic internal review and approval of proposals must begin at least 14 days prior to the submission deadline. When submission deadlines preclude this time frame, the PI should notify the Office of Sponsored Research and Programs while the proposal narrative and budget are under development. OSRP may request a draft narrative and budget for review prior to proposal completion. This will facilitate an expedited review of the final proposal.

Allow plenty of time for the review process as many factors can cause delays. Typical delays can result from the proposal lacking information, difficulty in securing institutional commitment, and difficulty in securing signatures (depends on schedules of those who must review the proposal).

AUTHORIZED UNIVERSITY OFFICIAL SIGNATURE

The Authorized University Official for all grant and contract proposal submissions is the Director of Sponsored Research and Programs. Faculty and staff are not authorized to sign for the University, as the applicant or contractor is technically the University.

The Director of the Office of Sponsored Research and Programs also signs all compliance certification forms to indicate the University's compliance with federal regulations regarding lobbying, drug use policies, etc., and to ensure compliance with all federal and state regulations.

The Director of Sponsored Research and Programs will not approve proposals for internal routing until the department chair and the dean have signed the External Funding Proposal Routing form and all budget account numbers for matching funds are indicated.

PROPOSAL SUBMISSION

Following on-campus approval, the principal investigator will be notified. A cover letter of transmittal to accompany the proposal is written by the OSRP director to present the formal application to the sponsoring agency.

ELECTRONIC PROPOSAL SUBMISSION

Many agencies require the electronic submission of proposals and even electronic award administration. Most agencies requesting electronic submission require the sponsored research office to transmit electronic proposals or authorize in some fashion the submission of the completed proposal. Please check with OSRP early in the process for instructions regarding electronic submission.

The University review and approval process is the same for electronically prepared proposals as for traditionally prepared proposals. OSRP is the authorized University office for submission or transmission of proposals to a sponsoring agency. (Submission by an individual to an agency is prohibited).

PROPOSAL REVISION AND RESUBMISSION

Not all proposals submitted are accepted. In fact, many excellent proposals are turned down because of lack of funds or change in agency focus. Rejection can be disturbing; however, an effort to learn from the action should be made. For proposals not recommended, reviewers' comments and feedback from the program officer can be requested. OSRP staff and colleagues can assist in locating other funding sources or modifying the proposal idea or approach.

If an agency encourages resubmission, the success of a second try is high. Work with the agency program officer to refocus the proposal on reviewers' comments. Have a colleague and/or OSRP staff exam revisions to determine if the reviewers' suggestions have been included sufficiently and if unclear presentation on the first submission is now clear.

Remember, whether submitting a revised proposal to the same agency or a different agency, the proposal must receive University review and approval as with the original proposal.

OSRP Handbook - Section 7

Award Negotiation and Acceptance

Award notices may be mailed to the President of the University, to the Office of Sponsored Research or to the PI. In some cases, checks are mailed directly to the Controller's Office. In the event the PI receives an award notice by mail, phone, fax or email, contact OSRP immediately to ensure an award document has been received. OSRP staff will ensure that the terms and conditions of the award agreement are acceptable to the University.

When an award is the same as specified in the original or revised proposal or when the award is a continuation or supplement to an existing award, the Director of OSRP will sign as the institutional official. If an award requires further reviews or approvals or if there are major changes in the scope of work or budget, the revised proposal/agreement must then go through the same University review as was required for the original proposal. Primary responsibility for this negotiation rests with the principal investigator, although it is strongly recommended that the PI involve the Office of Sponsored Research and Programs in all negotiations. The PI's department chair and dean should also be consulted.

An increase in the cash or in-kind match of the University contribution also requires University approval. OSRP may negotiate the terms and conditions of the award with the sponsor and when an agreement with the sponsor is reached, OSRP will officially accept the award. PIs are not authorized to accept a grant award or sign a sponsored project contract on behalf of the University. The Director of OSRP is the Authorized University Official for grant award acceptance and sponsored project contracting.

If the terms of an award are in conflict with Southeastern or state regulations, OSRP will negotiate with the agency. Some awards have unique issues such as insurance requirements and additional certifications. Also at this time, the issues of intellectual property ownership, publication rights and managing of proprietary information are resolved.

Upon finalizing the award agreement and securing required agency signatures, OSRP sends the contract or agreement to the Controller's Office, Grants Accounting to set up a budget.

OSRP Handbook - Section 8
Account Set Up and Sponsored Program Administration

Initiating the Grant
Grants Accounting
Project Period Administration and Fiscal Management
Hiring Personnel
Purchasing, Contracts, and Other Expenditures
Travel
Budget Adjustments and Changes in Scope of Project
Personnel Activity Reporting (PAR)/Effort Reports
Grant Close Out

INITIATING THE GRANT

As soon as OSRP receives and approves the official award paperwork, OSRP will request that the Controller's Office establish an account for the award. Grant award paperwork and contracts must be fully executed prior to establishing an account for the sponsored program. If the award requires cost sharing, all sources of funding must be identified before the Controller's Office can assign a grant account number and a matching budget number.

Upon acceptance of the award or execution of the contract, the PI should make an appointment with the grants development specialist in the OSRP to plan project administration. At this time 5.01Ps will be approved for submission, and OSRP will forward all pertinent information about the project budget and the terms and conditions to the Office of Grants Accounting in the Controller's Office.

The PI should then make an appointment with the Controller's Office to set up the budget account prior to any expenditure of project funds. Categories in the budget are based on the award negotiation and the budget justification, which are parts of the contract.

OSRP serves as facilitator and liaison between the PI/project director and the funding agency by processing any necessary subcontracts and requests for budget adjustments, program adjustments and/or time extensions. Most agencies will not honor a project director's request for changes without accompanying correspondence from the Director of Sponsored Research.

OSRP and the Grants Accounting Office review and oversee expenditure of grant funds. Grants Accounting monitors agency fiscal requirements and serves as a coordinator between the University business office and the fiscal officers of grants and contracts. Grants Accounting invoices funding agencies at determined intervals within a grant period and prepares interim and final project expenditure reports.

GRANTS ACCOUNTING

The Grants Accounting Office provides all financial accounting and fiscal reporting and invoicing services. Principal investigators are not authorized to submit invoices or fiscal reports to the sponsoring agency. This office assists in resolving any problems with the financial management of the grant. Purchase orders and hiring of personnel are reviewed prior to submission to the Purchasing Office or Payroll, and if problems or discrepancies arise, these requests are returned to the project director.

The Grants Accounting Office also maintains the official University fiscal records for grants and contracts and provides such information for fiscal reporting purposes as requested by University officials, sponsors, and auditors. Each month Grants Accounting provides to the PI a budget printout for each grant assigned to the PI. The PI should use this information for grant administration.

PROJECT PERIOD ADMINISTRATION AND FISCAL MANAGEMENT

The principal investigator has primary responsibility for the technical conduct of the funded project and the management of all project funds. The principal investigator is responsible for completing and filing all technical reports including required interim progress reports and the final project report. Grant funds are spent in the same manner as other University funds. Each month, the Controller's Office/Grants Accounting will provide the PI with a budget statement reflecting balances and encumbrances at the end of the previous month. Carefully review these statements to insure the charges posted to your account are correct.

Grant personnel, purchasing, and travel activities must adhere to the state and University regulations. All budget adjustments, P-card purchases, and all purchase requisitions greater than \$1,000 must be approved by OSRP. Budget adjustments and purchase orders are routed from OSRP to the Grants Accounting Office and Purchasing for processing. For updated budget adjustment request forms, policies and procedures, go to <http://www2.selu.edu/Administration/Depts/Budgets/>.

HIRING PERSONNEL

Southeastern is an Equal Opportunity/Affirmative Action employer with a strong commitment to institutional diversity. University procedures must be adhered to when hiring a new employee or graduate assistant or when requesting additional duties or overload pay for faculty or staff with funding from a grant or contract. Appropriate forms for hiring must be completed and submitted **prior** to beginning the work. The Human Resources web site has Procedures for Hiring and appropriate forms.

All proposed hiring for grant and contract work (faculty, staff, graduate assistants, and consultants) must also be approved by OSRP. Visit Southeastern's Human Resource Office page

<http://www2.selu.edu/Administration/Depts/HumanResources/empforms.html> for information on employment policies and procedures for hiring including the Graduate Assistant Handbook, Classified Employee Handbook, and Extended Workload Policy. The Faculty Handbook also contains information regarding extended workload and general policy for sponsored projects. Policies and procedures for utilizing Personnel/Professional/Consulting Services are located on the Purchasing Department web site. **The appropriate Recommendation for Employment forms must be completed prior to the beginning of any grant-related work.** There is a separate Recommendation for Employment for Graduate Teaching/Graduate Assistants for graduate students that may be obtained from the Southeastern Human Resources web page.

PURCHASING, CONTRACTS, AND OTHER EXPENDITURES

Submit all Purchase Requisitions greater than \$1,000 with documentation using PS Financials for approval/signature prior to the Purchasing Office issuing a Purchase Order. This includes Purchase Requisitions that accompany contracts and sub contracts for hiring outside personnel. Please insure that the purchase requisition for the contract or sub contract is approved by the Office of Sponsored Research well in advance of any work commencing on the project. For purchasing guidelines and requirements, see

<http://www2.selu.edu/Administration/Depts/Purch/pscindex.htm>

Some sponsored projects allow for the use of the P Card (Purchasing Card). As such, budget unit heads are to be astutely aware of polices and procedures. Please see the link

<http://www.selu.edu/admin/purch/assets/pcard%20policy.pdf>.

Grant budget unit heads should be cognizant that certain expenditures may not be allowed in the last 90 days of a project; therefore, purchases should be made in a timely manner related to the activities of the project. Also, grant budget unit heads should be keenly aware of budget unit codes used for charges. Remember funding agencies do not always allow line items in budgets to be adjusted or may require prior approval to move money.

TRAVEL

As with any travel for the University, a travel authorization must be submitted prior to travel. Grant-funded foreign travel requires prior approval from OSRP. University and state guidelines apply in all instances related to travel.

BUDGET ADJUSTMENTS AND CHANGES IN SCOPE OF PROJECT

If it becomes necessary to modify a grant budget or there is a change in the implementation of the project, please contact OSRP. Most funding agencies allow reasonable flexibility in redistributing funds. After checking the contract and agency requirements, the Director of Sponsored Research will appeal to the agency

regarding the request. This is also the process to be used if an extension in the grant period is needed. Prepare a letter stating the request and provide a rationale and forward this to OSRP.

For allowed budget adjustments, submit the request to OSRP. In the section "Purpose of Request," include a specific rationale for the adjustment request.

PERSONNEL ACTIVITY REPORTING (PAR)/EFFORT REPORTS

Federal Law described in OMB Circular A-21 requires the University to certify the allocation of salaries and wages charged to federal grants. The University requires this after-the-fact certification of time and effort for all grant activities related to salaries and wages. Information regarding effort is generated by Grants Accounting at least one month after the summer, fall, or spring semesters. OSRP compiles a form for every person receiving salary, as buy-out or release time, or wages from a grant or contract. The employee validates the amount of effort (the proportion of time spent on an activity expressed as a % of total time) and provides a brief description of the work. Signatures of the employee, budget unit head, and department chair are required on the form that is then returned to OSRP and filed in the grant binder.

Salary charges not certified on the Effort Reporting Form are subject to audit disallowance. Incomplete, improper, or untimely Effort Reporting can jeopardize future funding.

GRANT CLOSE OUT

- Reviewing the Grant Account

When two months are left in the grant period, review the grant account and ensure that all remaining funds are expended or encumbered. If you have concerns, please contact Grants Accounting or OSRP.

- Progress and Final Reports

All funding agencies require a final project report and expenditure report. Most also require progress reports or yearly reports in the case of a multi-year grant. The PI is responsible for furnishing the progress and final reports, and Grants Accounting is responsible for providing the expenditure reports. A copy of the PI reports should be forwarded to OSRP for review 2 weeks before the due date. Additionally, several agencies are requesting that these reports be sent electronically through OSRP. Please coordinate timely submission with OSRP.

- Leaving the University during the Grant Period

Grants are awarded to the University and not to the individual; however, it may be possible to transfer a grant to another university in the event a PI leaves Southeastern. Please contact OSRP for directions.

- Record Keeping

Accurate records regarding the work performed on a grant project must be kept for 5 years.

OSRP Handbook - Section 9
Multi-Year Grants and Contract Renewals

As each budget cycle begins with a multi-year grant or when a yearly contract is renewed, the PI must submit new/updated information in the PS Financials - Grants module. This provides an update of the grant budget and personnel to be included on the project, as this information is recorded in the OSRP database.

OSRP Handbook - Section 10
Responsibilities of PI, Department Chair, and Dean

RESPONSIBILITIES OF THE PRINCIPAL INVESTIGATOR

The principal investigator has primary responsibility for the following:

- ❖ conceptualizing the project, selecting an appropriate sponsor, and developing the proposal narrative and project budget in accordance with the proposal guidelines or RFP;
- ❖ identifying the source(s) of any required matching funds and securing approval for that match from the department chair, dean, Provost, and/or other external funding sources;
- ❖ completing the internal proposal information in the PS Financials–Grants module to accompany the proposal attachments for the internal review process;
- ❖ participating in negotiation of the grant award or contract with OSRP;
- ❖ maintaining satisfactory progress in the technical conduct of the project;
- ❖ complying with University policies and procedures including conflict of interest; misconduct in research and scholarship; the use of human participants in research; the care and use of animals used in research; and intellectual property;
- ❖ complying with state regulations and University policies and procedures including those related to human resource management, procurement, travel, and research safety;
- ❖ responsibly managing project funds including expending funds within the project period and within designated budget categories and requesting budget modifications and no-cost extensions through OSRP, as needed;
- ❖ completing and submitting technical reports according to established time schedules; and
- ❖ providing documentation of grant/contract expenditures and matching contributions to the Grants Accounting Office in a timely manner including certification of time and effort.

RESPONSIBILITIES OF THE DEPARTMENT CHAIR

The department chair has primary responsibility for the following:

- ❖ encouraging faculty and staff to seek external funding for research, curriculum development, training, and community service projects in accordance with planning goals of the department;
- ❖ assisting the PI as necessary in preparing the proposal, with particular

emphasis on technical aspects of the project and with special attention to proposed protocols involving human participants or the use of animals in research;

- ❖ assessing departmental personnel needs in light of grant and contract activity and approving faculty and staff effort and buy-out or release time proposed for the project;
- ❖ approving the overall purpose and scope of the project through signature on the internal electronic proposal routing;
- ❖ assisting the PI in identifying sources of matching funds (cash and in-kind) if required by the sponsor and certifying the availability of such matching funds via account codes and signature on the internal electronic proposal routing;
- ❖ participating in negotiation of the grant or contract, as necessary;
- ❖ consulting with the PI as appropriate to ensure that work on the sponsored project is progressing satisfactorily;
- ❖ for sponsored projects involving human participants, the use of animals in research, or the use of biohazards, providing sufficient oversight to ensure compliance with governmental regulations and University and professional standards and
- ❖ assisting the principal investigator/project director as necessary in solving technical problems, completing and submitting technical reports on time, managing project funds, and certifying time and effort reports.

RESPONSIBILITIES OF THE DEAN

The dean has general sponsored project oversight responsibilities. The dean's signature on the internal electronic proposal routing indicates that the sponsored project is in accordance with the role and mission of the University.

The dean's signature also indicates approval of release time commitments and University cash and in-kind matches.

OSRP Handbook - Section 11
New Award Project Pointers

When notification of a grant award is made:

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| ❖ Contact your grants development specialist (even if proposal is rejected). |
| ❖ When the award and/or contract is finalized, make an appointment with Grants Accounting in the Controller's Office to set up a budget (ext. 3816). |
| ❖ Submit employment information in PeopleAdmin or prepare 5.01 (Recommendation for employment) form for all personnel prior to beginning any grant-funded activities. |
| ❖ Monitor all expenditures to make sure you are spending your money in a timely manner and purchasing those items approved in the budget by the funding agency. |
| ❖ During the grant period, contact OSRP for communication with funding agency regarding budget adjustments, extension requests, change in scope of project, etc. |
| ❖ Complete and submit, after approval by OSRP, all interim and final reports. |
| ❖ All financial reports will be prepared by the Controller's Office. |
| ❖ Familiarize yourself with agency regulations regarding grant administration. |