



OFFICE OF SPONSORED PROGRAMS AND RESEARCH MANUAL

Pre-Award Post-Award

An overview of policies and procedures governing sponsored programs and research at Tougaloo College

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Developed:
May 2004
Last Updated:
February 2014

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ABOUT THE OFFICE OF SPONSORED PROGRAMS AND RESEARCH

The OFFICE OF SPONSORED PROGRAMS AND RESEARCH (OSPR) for Tougaloo College has the responsibility for all pre-award activities, as well as certain post-award activities. Broadly, its role is to facilitate the funding process by providing information on and assuring compliance with both sponsor and College policies and procedures. Specific functions include the following:

- Disseminating information about funding opportunities and funding trends.
- Presenting workshops on topics such as funding searches, proposal development, and electronic research administration.
- Reporting on sponsored research and program activities at Tougaloo College.
- Reviewing and approving all proposals for external funding.
- Coordinating submission for all proposal requests for external funding.
- Accepting grants and negotiating contracts on behalf of the College.
- Serving as liaison between the College and its sponsors.
- Approving programmatic and budgetary changes to sponsored projects.
- Serve as staff for the Institutional Review Board.
- Working with College administrators to develop and implement research policies and procedures.

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INTRODUCTION

This manual contains the policies and procedures that relate to sponsored research, programs, service, and training at Tougaloo College, Tougaloo, Mississippi. It covers the development, review, and submission of proposals soliciting external support, as well as post-award requirements.

The purpose of this manual is to guide the user through the necessary steps to follow and to provide the rules that apply when submitting a proposal or administering a grant, and is intended primarily for the faculty, administrators, and staff of the Tougaloo College campus.

A few words are in order here to clarify the term “sponsored project” (or “sponsored program”), and to distinguish this from a “fit” or “grant” provided by a donor. The term “sponsored project” relates only to a research, service, or instruction project that is conducted with support provided by some entity outside the campus (the sponsor). A sponsored project grant or contract is based on a commitment from the College to carry out a program in keeping with terms agreed upon by both parties. The sponsored project will always require some use of university resources and the sponsor will receive some benefit (which could range from a single technical and financial report through substantial material benefits). By contrast, a gift or grant from a donor may carry a stipulation as to its use, but there can be no expectation of benefit back to the donor including the technical and financial reports common to sponsored project grants and contracts; it is donative in its purpose.

The differences are based on the purpose of the funds provided and are completely independent of the source of funding. The distinction is important because project directors, divisions, departments, and the campus are required to administer the agreements and account for the funds in different ways.

PRE-AWARD

Identifying Funding Sources
Preparing the Proposal
 Informal Inquiry
 The Formal Proposal
Processing the Proposal
 Institutional Review Board

IDENTIFYING FUNDING SOURCES

Finding the right match between funding source and proposed project is an important step in the proposal process. The Office of Sponsored Programs and Research has a variety of resources to assist faculty and staff in identifying funding sources.

All faculty, staff and administrators should periodically complete an “I’m Interested In ...” form (see Appendix A) setting out areas of interest for which funding is sought. The completed form should be sent to the Office of Sponsored Programs and Research.

In addition, faculty and staff are encouraged to perform their own searches for funding opportunities. Web site addresses for various federal and state funding agencies, as well as corporate and private foundations are provided in Appendix B.

PREPARING THE PROPOSAL

Informal Inquiry

Principal Investigators should communicate with the Office of Sponsored Programs and Research via an Intent to Apply form (see Appendix C) before any informal or formal inquiry is sent the funding agency.

Principal Investigators are then urged to communicate with agency technical representatives at the very earliest stages of proposal preparation. The information that may be gained via an early dialogue with potential sponsors may prove useful in structuring the final proposal. The Office of Sponsored Programs and Research will work with Principal Investigators to develop appropriate questions and concepts to be presented to agency technical representatives.

A well prepared short prospectus can present the important points of a proposed project. Submitting an informal proposal to an agency can serve as a starting point for expressions of interest or further comment. A personal visit (where permitted by travel funds) preceded by a telephone call can be even more useful, since it may result in some guidance by agency personnel in structuring the final proposal so that the project meets agency priorities without significant deviation of the Principal Investigator's original ideas.

Informal proposals should have overall cost estimates rather than detailed budgets. An informal proposal does not require campus endorsement; therefore it does not have to proceed through the formal review and approval procedure. It is suggested however, that budgetary matters be discussed with department or division administrators or with the Office of Sponsored Programs and Research in order to avoid confusion or misunderstanding at a later date. A lack of correlation between the technical proposal and the budget may lead to rejection of the proposal. A copy of the informal proposal will be helpful. Departmental concurrence even at this early stage is important.

Informal proposals are not accepted by Federal agencies when the submission is in response to a "Request for Proposals" since that is a competitive contract award process with strict guidelines and deadlines.

THE FORMAL PROPOSAL

General Considerations

The format and content of any proposal or application will necessarily vary with the requirements of the potential sponsor. An unsolicited grant proposal will differ somewhat from a proposal submitted in response to a competitive contract bidding situation, while new, renewal, or continuation proposals will differ from each other. The Office of Sponsored Programs and Research is available for assistance in these matters.

Some sponsoring agencies provide instructions for proposals, others require the use of preprinted forms and some have few prescribed rules. Applications or proposals submitted to some sponsors must meet certain deadlines; other sponsors will accept proposals at any time. Unsolicited grant proposals may be submitted concurrently to several agencies; a statement of concurrent submission should be included in such cases citing the other agencies to which the proposal was submitted.

Proposal Content

A proposal requesting support from any sponsor will most often consist of the following:

- Title Page - For those sponsors that do not provide application forms or have other specific requirements, the Principal Investigator must construct some form of title page. Generally the title page will contain:
 - The title of the proposed project,
 - The College and Department or Institute,
 - Name and title of the Principal Investigator(s),
 - Time period and inclusive dates of the proposed project,
 - Total support requested, and
 - Name and address of the sponsoring agency.

An example of a suggested model appears in the appendix. (See Appendix D.)

- Table of Contents - With page numbers.
- Abstract - A brief description covering the purpose, important features, and significance of the project.
- Description of the Project - The detailed description of the project may contain many or all of the following:
 - ▶ Project Rationale
 - Introduction
 - A Statement of the Needs and Problems

- Goals and Objectives of the Project
- Relation of the Project to the State of Knowledge in the Field
- Significance of the Project

▶ Procedures

- Statement of Approach
- The Means by Which Objectives Will be Met
- Problems that are Anticipated

▶ Evaluation

▶ Management

- Organization of the Project
- Project Staff and Their Roles
- Project Schedule

- Facilities - Available facilities and special equipment that will be important to the project should be described. Any additional facilities and equipment to be acquired under the sponsored project funded either by the College or the sponsor should be described in detail. The importance of these facilities or equipment in relation to the success of the project should be made clear.
- Personnel - Generally, biographical sketches including pertinent publications of the Principal Investigator(s) and senior faculty and professional collaborators should be included.
- Budget - The budget serves to identify the cost of the project to the sponsor. The budget also serves as a further measure of the Principal Investigator's capabilities since there must be a reasonable correlation between the project as described and the Principal Investigator's assessment of the various cost elements. A sample budget page is included in the Appendix. (**See Attachment E.**)

The budget will always contain a listing of the Direct Costs and the Facilities and Administrative ("Indirect") Costs. Direct costs are those that can be distinctly identified as benefiting the project such as salaries and fringe benefits, equipment, supplies, travel and computer time among others. Indirect Costs are those expenses that are incurred by the Campus through the cost of facilities and services for common or joint objectives such as general administration, physical plant maintenance and operation, and research administration expenses.

- Direct costs will include some or all of the following:

Salaries include all personnel, titles, the percentage of time each will devote to the project, the rate of pay, and amount requested from the sponsor to support each person per year (or for the budget period).

Faculty are on a 9-month academic year appointment or in some cases faculty may

receive compensation based on a 12-month calendar year service period. An appropriate percentage of the academic year or calendar year salary is specified in the budget. A faculty member on a 9-month appointment may elect to devote additional time during the summer to a sponsored project beyond the academic year and may request and receive additional compensation beyond the base academic year salary for this effort. A maximum of 3 months of summer effort and salary (calculated at $\frac{3}{9}$ x base salary for the new fiscal year) is possible in those cases in which this is acceptable to the sponsor. A faculty member on a 12-month appointment may not receive additional salary for summer research effort.

Other professional research staff and technicians may be compensated for periods during which their services will benefit the project.

In no case can funds be requested or used to augment salaries of any faculty or staff beyond College-approved rates.

Fringe Benefits include the College's contributions to Social Security, retirement programs, health insurance, and unemployment compensation. Where applicable, tuition allowance should be added for permanent full-time employees and dependents. For undergraduate assistants (hourly workers), no employee benefits apply except during the summer. If the assistants are not attending Summer School classes, then Social Security and unemployment compensation are applicable. Permanent part-time employees are entitled to all benefits if employed one-half time or more. Part-time employees who work less than one-half time, temporary personnel, and hourly employees are entitled only to Social Security and unemployment compensation. All questions regarding fringe benefits amount should be referred to the Human Resources Office or the Sponsored Programs and Research Office.

Permanent Equipment needs must be itemized and justified. In addition, the Principal Investigator must determine that the equipment requested is not already available within the College. The cost of equipment generally includes needed accessories, installation, and delivery costs. In some cases the sponsor may provide the equipment directly rather than provide acquisition funds, or short-term rental may be preferred.

Consultant fees may be paid only to experts outside the College who provide a unique contribution to the project. Federal agencies specifically prohibit the payment of consultant fees from federally-supported projects to persons employed by the Federal government.

Supplies and Expendables should be identified and justified. They include, for example, chemicals, glassware, small electronic components, unusually large quantities of paper supplies as in the preparation and distribution of questionnaires or other brochures and forms, etc.

Travel. The need for Principal Investigator(s) to consult with colleagues and disseminate new knowledge through scholarly discourse (i.e. meetings, conferences, symposia, etc.) is an expected practice and an accepted cost in most projects. There must be a correlation between the project and the purpose of the meeting. Such costs may include transportation, room and board.

If the project requires travel to various locations in order to perform the work, these costs should also be identified. An itinerary may be required if travel is a significant portion of the total cost. Some examples would be travel to various localities to collect samples, to interview respondents, to provide training, or to make special measurements.

Publication. This should include manuscript illustration, costs of reprints, and page charges to be incurred in publishing articles resulting from the project. The publication costs of a book or monograph are not generally allowed; special permission should be obtained from the sponsor.

Other Direct Costs may have to be identified such as:

Copying and Duplication costs.

Subcontracts with other entities which provide a substantial programmatic contribution to the project. Specific approval of the sponsor is required, thus the proposal must include documentation (i.e., work statement budget and institutional endorsement) by the subcontractor of the services to be performed, and their cost.

Renovation of space that is necessary in order to carry out the project.

Rental of space in those special cases where this is necessary.

Maintenance of specialized equipment which is necessary to the project.

Communication costs such as long distance telephone costs and postage charges where large volumes of mailing are required.

Special costs such as the purchase or lease of airplanes, boats, or other vehicles.

Stipends for participants in special training programs are allowable when specified by the sponsor.

- Facilities and Administrative (F & A) Costs (“Indirect Costs”) allowed is 29% on-campus and 17% off-campus of Modified Total Direct Cost, which exclude: permanent equipment over 5,000 dollars; renovations and/or construction; and, subaward expenditures in excess of \$25,000. The College

calculates its indirect cost rates and negotiates these with the U. S. Health and Human Services Audit Agency acting on behalf of all federal agencies. There is an off-campus and an on-campus indirect cost rate determined by the project's location. Projects partially performed off-campus for a period of at least three consecutive months may be apportioned between the two applicable rates. It is the position of the Campus that all proposals requesting support from any sponsor, either government or non-government, must include a request for full indirect cost recovery. However, some sponsors, particularly some foundations, have specific written policies that preclude the use of the Campus' full indirect cost rates.

The rate or administrative fee allowed by the sponsor may be used in these cases.

- **Cost Sharing or matching.** In some cases a Federal sponsor may require that the College make a contribution towards the total costs of a project. The amount of such contribution required may vary from less than 5% to greater than 50% of the total project cost. The College's share of such costs may come from several sources:
 - other support for the same project, i.e. from non-Federal sources if the project is to be Federally-funded;
 - a portion of the faculty member's project time for which no support funds are being requested;
 - a portion of the indirect costs may have to be contributed (special College approval is required);
 - donated computer time, with the written consent of the computer center/lab involved;
 - and/or contributed resources from the Department or College.

Cost-sharing should be included only where absolutely required by the Federal agency. It is never to be assumed to be a voluntary or gratuitous gesture. Cost sharing imposes a substantial burden on the principal investigator to provide supporting documentation to the Grants Management and Compliance.

A Proposal Template is provided in Appendix F. The template is also available from the College's web site.

Budget Check List

The following is a listing of possible costs chargeable to a sponsored project. It may be useful in avoiding costly omissions when preparing proposal budgets.

Salaries

- Faculty:
 - academic year
 - calendar year

- summer months
- Other Professional Research Staff
- Technicians
- Graduate Research Assistants
- Hourly Personnel

ANTICIPATE!

Budget adjustments for salary increases in all budgets that are for more than one year or that span College fiscal years.

Fringe Benefits

- 25% of Personnel costs

Equipment

- Non-expendable equipment
- Accessories
- Freight
- Installation

Consultants

- Fees
- Travel

Supplies and Expendable Equipment

- Questionnaire forms
- Animals and animal maintenance supplies
- Chemicals
- Glassware
- Electronic Components
- Brochures and Announcements
- Audio & Video Tapes
- Film and film processing supplies

Travel

- Domestic and Foreign
- Field Work
- Conferences
- Subsistence costs
- Transportation

Publications

Sub-Contracts

Other Direct Costs

- Space Rental

- Equipment Rental
- Alterations & Renovations
- Human Subjects or Informant Fees
- Service Contracts (e.g. equipment maintenance, photographic services)
- Communications
- Stipends for Participants
- Vehicle Lease or Purchase

Indirect

Costs

- On-Campus (29% of MTDC)

Cost Sharing

(where required)

Submittal Process

Most sponsors require electronic submission through www.grants.gov. The OSPR is the submission agent on Campus. All proposals to be submitted must be processed by OSPR. In rare cases a sponsor might require a specific number of paper copies of the formal proposal to be mailed along with one or more signature copies. The appropriate number of copies can be found in the sponsor's guideline.

Deadlines

Some sponsoring agencies have specific deadlines for proposal submission. This information is available directly from the sponsor. Alternatively, department/division administrators or the Office of Sponsored Programs and Research can provide assistance. Note that all Requests for Proposals (RFP) have strict deadlines that cannot be modified; this information is always in the RFP application package obtainable from the issuing agency.

Classified Research and Restrictions of Publication

Tougaloo College does not enter into agreements to carry out research if the grant, contract or other award instrument restrains the freedom of the College and its faculty to disclose the existence of the grant or contract, the general nature of the inquiry to be conducted, and the identity of the sponsor.

The College reserves for its faculty the right to publish the results of the research without the prior approval of the sponsor.

Quick Reference Numbers and Information

Some sponsoring agencies require the insertion of certain other information such as:

CFDA NUMBER:

<http://aspe.os.dhhs.gov/cfda/index.htm>. This site allows you to search for the correct CFDA number.

GRANTEE OR PERFORMING ORGANIZATION:

Tougaloo College

TYPE OF ORGANIZATION:

4-Year Private HBCU

ADDRESS OF GRANTEE:

Office of Sponsored Programs and
Research Tougaloo College
500 W. County Line Road
Tougaloo, MS 39174

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Office of Finance and Administration
Tougaloo College
500 W. County Line Road
Tougaloo, MS 39174

DUN AND BRADSTREET NUMBER (DUNS):
072618572

EMPLOYER IDENTIFICATION NUMBER:
64-0303093

CONGRESSIONAL DISTRICT:
2nd

MISSISSIPPI SENATE DISTRICT:
26th

MISSISSIPPI HOUSE DISTRICT:
65th

YEAR FOUNDED:
1869

YEAR INCORPORATED:
1966

INSTITUTIONAL POLICIES AND FEDERAL REGULATIONS (ALLOWABLE versus UNALLOWABLE COSTS)

OMB Circulars and Cost Principles

Overview: A significant majority of the institution's sponsored funding comes from the federal government. As steward of the taxpayer's money, the government has issued principles for determining costs allocable to research and administrative regulations to augment these principles. The institution uses the following federal requirements in establishing its Institute procedures for administering all awards for research and other sponsored agreements:

- Office of Management & Budget (OMB) A-21: Cost Principles for Educational Institutions
- OMB Circular A-110: Administrative Requirements for Grants and Agreements with Institutions of Higher Education, Hospitals, and Other Non-Profit Organizations.
- OMB Circular A-133: Audits of States, Local Governments, and Non-Profit Organizations
- Federal Acquisitions Regulations (FAR): Contracting requirements: The provisions of the OMB Circulars and the FAR are applicable to all agencies that award federal funds. The institution has translated these principles into its policies.

Significance of OMB A-21: The cost principles in A-21 provide the general accounting "rules" for colleges and universities. A-21 spells out **Four Cost Principles** that apply to all award costs:

A cost is allowable when:

- It serves an institutional business purpose, including instruction, research, and public service
- It is permissible, according to the institution's policy and federal regulations (regardless of whether or not it is a sponsored project)
- It is permissible (for a sponsored project) according to the terms and conditions of the Sponsored Agreement
- It does not meet the rules of "unallowable"

A cost is allocable:

- When the cost benefits the project that is being charged

A cost is *reasonable* if a prudent person would purchase the item at that price:

- The cost is necessary for the performance of the activity
- Incurrence of the cost is consistent with established Institute policies and practices

A cost is *consistent* when like expenses are treated in the same manner in like circumstances. For sponsored projects, consistency means that sponsors pay for costs either as a direct charge or as an indirect cost, but not both directly and indirectly. The institution establishes policies that, if followed, ensure consistency.

Unallowable Expenses

Both activities and transactions could be considered unallowable due to regulations put in place by the federal government or other sponsor. Unallowable costs may also be identified in the specific terms and conditions of a sponsored project. These can be more specific than those outlined in OMB Circular A-21. For example, if a sponsor specifies that international travel costs cannot be charged to a particular project, then those costs may not be charged to that project, even though general institutional policies and federal regulations may allow them.

Unallowable activities include but not limited to:

- Alumni activities
- Commencement and Convocation
- General public relations and alumni activities
- Student activities such as intramural activities and student clubs
- Managing investments solely to enhance income
- Prosecuting claims against the federal government
- Defending or prosecuting certain criminal, civil, or administrative proceedings
- Housing and personal living expenses of institutional officers
- Selling or marketing of goods and services
- Organized fundraising
- Lobbying

Unallowable transactions include but not limited to:

- Advertising (only certain types are allowable)
- Alcoholic beverages
- Entertainment
- Fundraising or lobbying costs
- Fines and penalties
- Memorabilia or promotional materials
- Relocation costs if employee resigns within 12 months
- Certain recruitment costs, such as color advertising
- Certain travel costs, such as first-class travel
- Cash donations to other parties, such as donations to other institutions
- Interest payments, except certain interest specifically coded as paid to outside

parties and authorized by the Office of Finance

- Membership in civic, community, social organizations or in dining and country clubs (seldom reimbursable by the institution)
- Goods or services for the personal use of employees, including automobiles
- Insurance against defects in the institution's materials or workmanship

PROPOSAL PROCESSING

A formal proposal to conduct a research or training project with support from an external agency represents an offer by Tougaloo College. It is necessary therefore that any such proposal has the endorsement of those responsible for carrying out the project as well as those authorized to commit the College to a legal offer. For proposals, the authority to officially commit the campus rests with the President of the College. A review and routing procedure has been established in order to ensure that each proposal or application for sponsored research or training has been reviewed and endorsed by the various responsible persons and that compliance exists between the sponsor and the College. All proposals for external support of training, research, or service projects must concur with the routing process.

Internal Routing/Review and Approval

The people or offices involved in the internal review and processing are as follows:

- **Principal Investigator** is responsible for the budget, technical content, quality and preparation of the proposal.
- **Dean** is responsible for certifying to the academic soundness of the project, the compatibility of the project with the Principal Investigator's other commitments, the availability of space and facilities, cost-sharing commitments, assuring that the project is in keeping with department objectives, and concurring that the proposal should be submitted to the agency named.
- **Sector Vice President** is responsible for determining the appropriateness of the project within College programs, that resources will be available, and authorizes the submission of the proposal.
- **The Office of Finance and Administration** is responsible for issues of institutional financing, cost sharing, prior acceptance of contractual terms and budget matters.
- **The Office of Sponsored Programs and Research** is responsible for ensuring that there is compliance with applicable laws and regulations, and with College administrative rules. Concurrently for ensuring that the content meets with acceptable rules and standards of the Campus, and for reviewing matters involving the College's Institutional Review Board (IRB). Academic policy issues that may arise are resolved here. The Office of Sponsored Programs and Research is the Campus unit responsible for formal submission of all proposal—electronic, e-mail or paper copies.
- **The President** is the authorizing official for all legally binding documents.

The Review Cycle

Each proposal must be accompanied by a Proposal Routing Form (See Appendix G). The Proposal Routing Form must have appropriate endorsement signatures before submission of the proposal to the Office of Sponsored Programs and Research. **THIS INCLUDES PROPOSALS SUBMITTED ELECTRONICALLY.** Proposals proceed from the Principal Investigator to the Department Dean, to the Office of Finance, Administration, and Information Technology, then to the Office of Sponsored Programs and Research, and finally to the President's Office. The Office of Sponsored Programs and Research upon review will forward to the President's Office for final signature if applicable.

In regard to submitting the proposal to the agency, a distinction exists between those proposals submitted in paper ("hard copy") format and those submitted electronically.

Paper: When all approvals are in hand, the Office of Sponsored Programs and Research working with the Principal Investigator will copy, bound and prepare the proposal for submission. A Notice of Transmittal memo (see Appendix H) will be sent to the Principal Investigator, as evidence of proposal transmission. Proposals are sent via first class mail to the sponsoring agency. A Principal Investigator may elect to assume responsibility for delivery by special courier or any other means.

Electronic: Since agencies that offer or mandate electronic proposal submission all have their own individual systems, specifics of submission protocols will vary somewhat. Typically, the Principal Investigator electronically submits the proposal to the Office of Sponsored Programs and Research. Upon review and approval, the Office of Sponsored Programs and Research will then electronically submit the proposal to the agency. The Principal Investigator will receive electronic confirmation of submission. **NOTE:** Three paper copies of the final version of the electronically submitted proposal must accompany the routing form. The Proposal Routing Form must be completed **BEFORE** the Office of Sponsored Programs and Research will consider electronic submission to the agency.

PRINCIPAL INVESTIGATORS SHOULD BEAR IN MIND THAT THEIR SPONSORING AGENCY MAY HAVE A SPECIFIC DEADLINE DATE AND THAT THE SUBMISSION OF A PROPOSAL TO THE OFFICE OF SPONSORED RESEARCH AND PROGRAM WELL AHEAD OF THIS DEADLINE IS NECESSARY IN ORDER TO COMPLETE THE INTERNAL REVIEW CYCLE.

HISTORICALLY, THE EASE OF SUBMITTING ELECTRONIC PROPOSALS IS DIRECTLY RELATED TO LENGTH OF TIME SUBMISSION OCCURS PRIOR TO THE DEADLINE, AS SYSTEM FAILURES DUE TO OVERLOAD MAY RESULT ON DEADLINE DATES.

INSTITUTIONAL REVIEW BOARD (IRB)

The IRB is an administrative body established to protect the rights and welfare of human research subjects recruited to participate in research activities conducted under the auspices of Tougaloo College. The College's IRB has the authority to approve, require modifications in, or disapprove all research activities that fall within its jurisdiction as specified by both the federal regulations and the College's policy.

Federal policy requires that IRBs have at least five members, with varying backgrounds to promote complete and adequate review of research activities commonly conducted by the institution. The IRB must be sufficiently qualified through the experience and expertise of its members and the diversity of their backgrounds, including considerations of their racial and cultural heritage and their sensitivity to issues such as community attitudes, to promote respect for its advice and counsel in safeguarding the rights and welfare of human subjects.

In addition to possessing the professional competence necessary to review specific research activities, the IRB must be able to ascertain the acceptability of proposed research in terms of institutional commitments and regulations, applicable law, and standards of professional conduct and practice. The IRB must therefore include persons knowledgeable in these areas. No IRB, however, may consist entirely of members of one profession.

The IRB must include at least one member whose primary concerns are in scientific areas and at least one member whose primary concerns are in nonscientific areas. It must also include at least one member who is not otherwise affiliated with the institution and who is not part of the immediate family of a person who is affiliated with the institution.

The IRB must make every nondiscriminatory effort to ensure that it does not consist entirely of men or entirely of women. Selections must not, however, be made on the basis of gender.

The IRB policy for Tougaloo College can be found in Appendix I.

POST-AWARD

Acceptance of an Award
Principal Investigator's Responsibilities
Records
Budget Revision
Charges to the Project
Personnel
Travel
Consultants
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Change of Principal investigator
Transfer of Contract or Grant
Program Income
Computer Equipment and Computer Time
Inventions and Patents
Copyright
Reporting
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ACCEPTANCE OF AN AWARD

An award to the College from a sponsoring agency is a legal document which obligates the College. An award may be simply in the form of a letter issued by an authorized agent of the sponsor or it may consist of a lengthy contractual document. In some cases acceptance by the College (and then by the agency) is required before the award is in force, while in other cases no formal acceptance is required. The Office of Sponsored Programs and Research is the office authorized to accept and execute awards on behalf of the College. The Office of Sponsored Programs and Research will consult with the Principal Investigator if the award differs from the submitted proposal, so that the award may be accepted, modified, or rejected. No charges may be incurred against a sponsored project until such time as the Office of Sponsored Programs and Research has received and processed an original award notification from the sponsor, and an account number has been issued by the Office of Finance and Administration-Grants Accountant to the Principal Investigator.

In some cases an award may be issued by the agency after a series of negotiations which may involve revisions to the scope of the project and/or to the proposed budget. The Office of Sponsored Programs and Research is the authorized agent for conducting and approving such revisions, but no changes to a project or a budget are authorized without the express consent of the Principal Investigators. Faculty researchers are reminded that the acceptance of a revised scope of work or budget is a judgment that only they can make; it is not a judgment or condition that may be unilaterally imposed by the granting agency. If the agency requires the submission of a revised work plan or budget, this must be prepared by the Principal Investigator and submitted to the Office of Sponsored Programs and Research for institutional endorsement and for forwarding to the agency.

Upon receipt of an official award at the Office of Sponsored Programs and Research the Principal Investigator will receive an *Award Transaction Summary* (See Attachment ___) informing the Principal Investigator of pertinent award information and of the project number established for this project.

PRINCIPAL INVESTIGATOR'S RESPONSIBILITIES

Upon acceptance of an award for support of a research or training project, the Principal Investigator assumes primary responsibility for the technical conduct and management of the project to assure that contractual conditions are met, and to make certain that the program stays within its budget.

The Principal Investigator and the Dean are all expected to exercise responsible judgment in the administration of the project, particularly with regard to the terms of the agreement and College policies. In particular, financial liabilities which result from failure to comply with the grant or contract become the responsibility of the Principal Investigator's department.

RECORDS

A separate account is established for each project. Each account will bear a unique Project Account number assigned by the Office of Finance and Administration-Grants Accountant. This information is provided to the Principal Investigator.

The issuance of the project number for the project is a form of credit line against which the Principal Investigator may charge obligations and expenditures without concern for sponsor payments and cash flow considerations. In reality, sponsoring agencies most often do not pay the College until expenditures are incurred and invoices are submitted to the agency by the Office of Finance and Administration-Grants Accountant. Once the account has been established the Principal Investigator will receive monthly financial statements showing the status of the account. The Principal Investigator is expected to keep sufficient internal records to control expenditures, particularly those budgetary lines which may not be exceeded without special approval.

BUDGET REVISIONS

Reallocations within awarded budgets are usually possible, but the sponsoring agencies have different restrictions on deviations from the approved budget. Principal Investigators should consult the Office of Sponsored Programs and Research for approval and further processing. Principal Investigators uncertain of the budgetary restrictions imposed by any particular sponsor should consult the Office of Sponsored Programs and Research.

CHARGES TO THE PROJECT

The Principal Investigator is responsible for assuring that all approved expenses in support of a project are properly charged to it. Charging departmental budgets for sponsored projects is normally not appropriate. Prompt and accurate charging to the correct project number will preclude costly department labor and paperwork later to effect cost-transfers to rectify errors.

PERSONNEL

Personnel assigned to sponsored projects, like all other personnel, must be appointed and compensated in keeping with College personnel rules. Classified staff matters are covered by the *Employee Handbook* issued by the Human Resources Department. Faculty policies are covered in the *Faculty Handbook*; questions may be addressed to the Office of Human Resources.

In July 1994, the Federal Government began implementation of new budgeting and costing principles embodied in the U.S. Office of Management and Budget (OMB) Circular A21, "Cost Principles for Educational Institutions". (available at <http://whitehouse.gov/OMB/circulars>). According to these principles, federally sponsored projects (either awarded directly by a Federal agency or by virtue of a subcontract through another prime contractor) may not normally be charged for secretarial and administrative salaries, office supplies, postage or telephone costs unless a particular project requires an unusual and extensive degree of administrative support.

OMB A-21 also requires that the College maintain records that will substantiate the effort of each individual charged to a sponsored project. Therefore, time records must be carefully maintained. For faculty and staff, effort is recorded on the Time & Effort Report form. A copy of this form may be obtained from the Office of Sponsored Programs and Research. Since the great majority of costs associated with sponsored projects are attributable to labor charges, it is incumbent upon the Principal Investigator to assure that these records are properly maintained.

TRAVEL

College travel regulations govern travel performed with project funds. In some instances a particular contract or grant may specify travel regulations different from the College policy and these take precedence. Approval for all travel is secured through the completion of the Travel Authority Request form. Principal Investigators should note that all federal agencies have restrictive regulations concerning international travel. Even though the awarded proposal may have included a line item for international travel, agency prior approval may still be required.

PLEASE NOTE: FEDERAL AGENCIES REQUIRE THE USE OF US AIR FLAG CARRIERS EVEN IF IT IS MORE EXPENSIVE

Requests for reimbursement of travel expenses will not be honored in excess of the dollar amounts allowed by College policy.

CONSULTANTS

In some cases, a sponsored project may require the use of one or more consultants. Care should be taken that this is an approved expense for the particular project, and follows all applicable purchasing policies.

EQUIPMENT

The sponsoring agency's award may include provision for the acquisition of special-purpose equipment. The equipment in some cases may be supplied directly by the sponsoring agency, in which case title to the equipment generally remains with the agency, and it must be returned at the completion of the project. In the majority of cases, the approved equipment is purchased through the College. The Principal Investigator has the responsibility for:

1. Assuring that the equipment is not already available within the Campus;
2. Determining the proper specifications and issuing the requisition for the equipment; and
3. Assuring proper receipt, inventory identification, and functioning of the equipment prior to authorizing vendor payments by the College.

It should be noted that any equipment that is to be purchased which has not been specifically approved in the award notification must be authorized in writing by an agency official. Such requests by Principal Investigators, stating the need for the equipment and the source of funds (additional funds or budget reallocation), must be submitted to the Office of Sponsored Programs and Research for institutional endorsement.

CHANGE OF PRINCIPAL INVESTIGATOR

Circumstances may on occasion warrant the designation of a new temporary or permanent Principal Investigator. A sponsor must be advised and permission obtained before a new Principal Investigator may be designated. If the Principal Investigator finds it necessary to nominate someone, such requests must bear the signed endorsement of the Department Dean and the sector Vice President. A request to a sponsoring agency for designation of a new Principal Investigator will normally state the reasons for such change and will include curriculum vita of the principal investigator-designate. Such requests must be submitted to the Office of Sponsored Programs and Research for institutional endorsement, before they are forwarded to the sponsor.

TRANSFER OF CONTRACT OR GRANT

To Another Institution:

A Principal Investigator who is transferring to another institution may wish to continue his or her sponsored research projects there. Steps may be initiated to transfer the grant or contract only upon concurrence of the Department Dean.

Permission must be obtained from the sponsoring agency for such transfers (transfers are by no means automatically granted by all sponsors); arrangements must proceed through the Office of Sponsored Programs and Research. There may be instances in which the College may elect to retain a project and nominate an alternate Principal Investigator; this also requires agency approval.

From Another Institution:

A faculty member coming from another institution who will be appointed to the College may have a sponsored project he or she wishes to transfer here. Such transfer requires the home institution's approval in addition to the approval of the sponsoring agency. A new proposal (or the revised original) with new budgetary information must then be processed through the normal routing and approval cycle, prior to submission to the sponsoring agency.

PROGRAM INCOME

Income derived from services or goods that form part of a project supported in whole or in part by a sponsoring agency must be reported to the agency, with few exceptions. Such income should be deposited to the appropriate account.

Any Principal Investigator expecting to recover income through a sponsored project should discuss this with the Office of Finance and Administration-Grants Accountant.

COMPUTER EQUIPMENT AND COMPUTER TIME

The acquisition of computer equipment and peripherals requires prior approval of all federal agencies; this is true of virtually all other sponsoring agencies whether government or non-government.

Academic Computing Services serves as the central campus facility that provides services and computer time for faculty and students. The need for such services should be discussed with the staff of ACS. The cost of computer time must be included in the proposal budget and all awardees will be expected to reimburse ACS for time and services (cost sharing through donated ACS services needs their special approval).

INVENTIONS AND PATENTS

The College defines the rights and responsibilities of any inventor who is a member of the College in order to safeguard the interests of the inventors, the College, and the

public. All inventions must be disclosed to the College. This must be done through an invention disclosure submitted to the Office of Sponsored Programs and Research. This office also obtains all required sponsored project invention reports from faculty researchers.

Except in cases of statutory or other legal restrictions the College does not waive its rights to inventions arising from projects performed under its auspices. The College will make every effort to have inventions evaluated, patented, and licensed, so that the results of research can benefit the public.

COPYRIGHT

The College's Copyright Policy (See Attachment ____) defines and preserves the interest of faculty authors and of the College. The policy is administered by the College; questions may be addressed to the Office of Sponsored Programs and Research or the Office of Finance and Administration.

REPORTING

With few exceptions, every sponsored project will require a number of reports during the life of the project and most certainly at its conclusion. Every Principal Investigator should be prepared to submit a final technical report at the very least. The importance of the submission of such a report on a timely basis cannot be overstated. In a grant or contract arrangement, unlike a gift, the sponsor expects and deserves to be informed of results. Negligence by the Principal Investigator may substantially impact his or her (and the College's) ability to receive other support from the sponsor; it will also result in a loss of payment to the College for costs already incurred. Such losses could become a liability chargeable to the department.

In addition to the technical report(s), other reports may be required relating to inventions, equipment accountability, fiscal data, and voucher submissions. The latter three are the responsibility of the Grants Accountant Office. The Office of Sponsored Programs and Research will provide assistance with invention reports.

ACCOUNTING

Primary responsibility for technical and fiscal management of any project begins with the Principal Investigator. Many departments have services that provide assistance in fiscal and other administrative matters. The Office of Finance and Administration-Grants Accountant is the entity responsible for recording and facilitating all financial matters relating to expenditures and revenues. The Office of Finance and Administration-Grants Accountant will make no adjustments such as encumbrances, expenditures, or cost transfers without initiation of such adjustments from the Principal Investigator or his

or her designee. In order to

transfer incorrect charges from one account to another the proper form must be filled out, authorized and submitted to the Office of Finance and Administration-Grants Accountant.

AUDIT

Financial and other sponsored project records are regularly audited. Such records are maintained primarily by the Office of Sponsored Programs and Research, Office of Finance and Administration, and Information Technology. In addition each Department is expected to maintain records at the local level, such as those recording and justifying charges to sponsored accounts for personnel appointments, salaries, payroll documents, purchase requisitions and orders, and other primary documents.

Records at the Offices of Office of Finance and Administration-Grants Accountant and Sponsored Programs and Research are audited regularly by federal, state, and other external auditors. However, no external auditors may examine records or interview staff within any campus department or unit without first presenting a letter of authorization to the division dean.

The letter of authorization will be issued by the Office of Finance and Administration if deemed appropriate and Departments will be given advance notice of such audit visits by Finance and Administration.

These procedures are designed to protect campus departments from audit "fishing expeditions," and from unnecessary and unauthorized audit reviews.

INSTITUTIONAL POLICIES AND FEDERAL REGULATIONS

OMB Circulars and Cost Principles

Overview: A significant majority of the institution's sponsored funding comes from the federal government. As steward of the taxpayer's money, the government has issued principles for determining costs allocable to research and administrative regulations to augment these principles. The institution uses the following federal requirements in establishing its Institute procedures for administering all awards for research and other sponsored agreements:

- Office of Management & Budget (OMB) A-21: Cost Principles for Educational Institutions
- OMB Circular A-110: Administrative Requirements for Grants and Agreements with Institutions of Higher Education, Hospitals, and Other Non-Profit Organizations.
- OMB Circular A-133: Audits of States, Local Governments, and Non-Profit Organizations

Federal Acquisitions Regulations (FAR): Contracting requirements: The provisions of the OMB Circulars and the FAR are applicable to all agencies that award federal funds. The institution has translated these principles into its policies.

Significance of OMB A-21: The cost principles in A-21 provide the general accounting “rules” for colleges and universities. A-21 spells out Four Cost Principles that apply to all award costs:

A cost is **allowable** when:

- It serves an institutional business purpose, including instruction, research, and public service
- It is permissible, according to the institution’s policy and federal regulations (regardless of whether or not it is a sponsored project)
- It is permissible (for a sponsored project) according to the terms and conditions of the Sponsored Agreement
- It does not meet the rules of “unallowable”

A cost is **allocable**:

- When the cost benefits the project that is being charged

A cost is **reasonable** if a prudent person would purchase the item at that price:

- The cost is necessary for the performance of the activity
- Incurrence of the cost is consistent with established Institute policies and practices

A cost is **consistent** when like expenses are treated in the same manner in like circumstances. For sponsored projects, consistency means that sponsors pay for costs either as a direct charge or as an indirect cost, but not both directly and indirectly. The institution establishes policies that, if followed, ensure consistency.

Unallowable Expenses

Both activities and transactions could be considered unallowable due to regulations put in place by the federal government or other sponsor. Unallowable costs may also be identified in the specific terms and conditions of a sponsored project. These can be more specific than those outlined in OMB Circular A-21. For example, if a sponsor specifies that international travel costs cannot be charged to a particular project, then those costs may not be charged to that project, even though general institutional policies and federal regulations may allow them.

Unallowable activities include but not limited to:

- Alumni activities
- Commencement and Convocation
- General public relations and alumni activities
- Student activities such as intramural activities and student clubs

- Managing investments solely to enhance income
- Prosecuting claims against the federal government
- Defending or prosecuting certain criminal, civil, or administrative proceedings
- Housing and personal living expenses of institutional officers
- Selling or marketing of goods and services
- Organized fundraising
- Lobbying

Unallowable transactions include but not limited to:

- Advertising (only certain types are allowable)
- Alcoholic beverages
- Entertainment
- Fundraising or lobbying costs
- Fines and penalties
- Memorabilia or promotional materials
- Relocation costs if employee resigns within 12 months
- Certain recruitment costs, such as color advertising
- Certain travel costs, such as first-class travel
- Cash donations to other parties, such as donations to other institutions
- Interest payments, except certain interest specifically coded as paid to outside parties and authorized by the Office of Finance
- Membership in civic, community, social organizations or in dining and country clubs (seldom reimbursable by the institution)
- Goods or services for the personal use of employees, including automobiles
- Insurance against defects in the institution's materials or workmanship

SPONSORED AWARDS CLOSEOUT AND RETENTION

REPORTING AND CLOSING OUT AN AWARD

Objective: When a project has reached the end date reflected in the award document and no additional time or funding is needed to complete the project tasks and objectives, the account will terminate. Several types of reports are generally required at the termination of a sponsored project. The Principal Investigator (PI) and various offices have specific and shared responsibilities to assure that a project is brought to a timely and complete closure and that all required reports have been provided to the sponsor.

For federal grants and cooperative agreements, A-110 states that financial records, supporting documents, statistical records, and all other records pertinent to an award should be retained for a specified period of time. Legal and audit requirements generally dictate how long financial and project records should be retained.

ROLES AND RESPONSIBILITIES IN CLOSING OUT:

Principal Investigator (PI)

The PI has overall responsibility for the technical and fiscal management of sponsored project and **submitting technical, quarterly and/or annual reports to the Office of Sponsored Programs and to the sponsor in accordance with the award requirements. The PI is also responsible for retaining scientific and technical data as well for related compliance documentation.**

Office of Finance and Administration-Grants Accounting

After a sponsored project/research account terminates, the Grants Accountant within the Vice President for Finance and Administration Office performs a closeout analysis, which is typically a review of the account activity over its lifetime. If open items need action after the closeout audit, Grants Accountant will notify the administrative/academic unit responsible for the grant management associated with the project. The Office of Finance and Administration is responsible for retaining records for paper source documentation for project transactions.

Office of Sponsored Programs and Research (OSPR)

The OSPR responsibilities in the closeout and retention process include working with the administrative/academic unit responsible for grant management to confirm the closeout of any subawards; verifying whether any inventions or patents were created and preparing and sending a patent report to the sponsor if required. OSPR also tracks the submission of all final reports.

The Closeout and Retention policy for Tougaloo College can be found in Appendix J.

APPENDICES

APPENDIX A



DEVELOPING WINNING PROPOSALS

Technical Assistance Workshop

Please take a few moments to answer the following questions so that we may have a better understanding of the interests and needs of the Tougaloo community.

I'm Interested In...

▶ I'm interested in potential funding sources for the following areas:

▶ I'm interested in funding opportunities from (check all that apply):

_____ Federal	_____ State	_____ Local (MS)
_____ Foundations	_____ Corporations	_____ Other _____

▶ I'm interested in funding opportunities for:

Academic Year _____	Summer _____	Other _____
---------------------	--------------	-------------

▶ Please feel free to provide your contact information:

Name/Department

Phone	E-mail

APPENDIX B

FUNDING RESOURCE LIST

Updated: April 1, 2004

Federal Sources:

All Federal Grants

www.fedgrants.gov

United Negro College Fund Special Programs (UNCFSP)

www.uncfsp.org

National Endowment for the Arts (NEA)

<http://arts.endow.gov>

National Endowment for the Humanities (NEH)

<http://www.nch.gov>

Institute for Museum and Library Services (IMLS)

<http://www.imls.gov>

National Aeronautics and Space Administration (NASA)

<http://www.nasa.gov>

U.S. Agency for International Development (USAID)

<http://www.usaid.gov>

U. S. Department of Agriculture (USDA)

<http://www.usda.gov>

U. S. Department of Commerce (DOC)

<http://www.commerce.gov>

National Oceanic & Atmospheric Administration (NOAA)

<http://www.ofa.noaa.gov>

National Telecommunications & Info. Administration (NTIA)

<http://www.ntia.doc.gov>

National Institute of Standards & Technology (NIST)

<http://www.nist.gov>

U. S. Department of Education (ED)

<http://www.ed.gov>

U. S. Department of Defense (DOD)
Air Force Office of Scientific Research
<http://www.afosr.af.mil>
U.S. Office of Naval Research (ONR)
<http://www.onr.navy.mil>
U.S. Army Research Office Funding Opportunities
<http://www.aro.army.mil>
U.S. Department of Energy (DOE)
Grants and Contracts
<http://www.sc.doe.gov>

U. S. Department of Health and Human Services (DHHS)
Grant Application Forms
<http://www.aoa.gov>

National Institutes of Health
<http://nih.gov>

U. S. Department of Justice (DOJ)
<http://www.ojp.usdoj.gov>

U. S. Department of Housing and Urban Development (HUD)
<http://www.hud.gov>

U. S. Department of State
Request for Grant Proposals
<http://exchanges.state.gov>

U. S. Department of Transportation (DOT)
<http://www.dot.gov>

U. S. Environmental Protection Agency (EPA)
<http://www.epa.gov>

U. S. Department of Veterans Affairs (VA)
<http://www.va.gov>

National Science Foundation (NSF)
<http://www.nsf.gov>

Substance Abuse and Mental Health Services Administration (SAMHSA)
www.samhsa.gov

FirstGov
www.firstgov.gov

State Sources:

EduTech

www.educationtech.com

Mississippi Agencies

www.ms.gov

Mississippi Arts Commission

www.arts.state.ms

APPENDIX C

**TOUGALOO COLLEGE
OFFICE OF SPONSORED PROGRAMS AND
RESEARCH
INTENT TO APPLY SUBMISSION POLICY
POLICY # 2012-A**

Subject: OFFICE OF INSTITUTIONAL ADVANCEMENT
INTENT TO APPLY SUBMISSION POLICY

Purpose: THIS POLICY ESTABLISHES GUIDELINES FOR SUBMITTING
INTENT TO APPLY FOR EXTERNAL FUNDING TO THE
OFFICE OF SPONSORED PROGRAMS AND RESEARCH

References: OSPR Policies and Procedures

Date: July 1, 2012

I. POLICY

This communication is to establish a policy that will govern the manner in which intents to apply for external funding for Tougaloo College will be handled. The Office of Sponsored Programs and Research must review all intents to apply for external funding. The principle objective of this protocol is to ensure that sectors and/or departments are not submitting competing proposals to a funding agency.

II. GENERAL GUIDELINES FOR SUBMITTING LETTERS OF INTENT TO APPLY FOR FUNDING FROM EXTERNAL SOURCES

The following steps must be followed and completed:

1. Faculty or staff members decide to seek external sponsored support and/or funding for an idea or concept.
2. An agency, organization, or foundation is identified as a potential funder.
3. The Intent to Apply for External Funding is completed and submitted to the Office of Sponsored Programs and Research (OSPR). OSPR will verify and return.

ATTACHMENT I



TOUGALOO COLLEGE

AUTHORIZATION TO APPLY FOR GRANT OR CONTRACT

<p>APPLICATION STATUS</p> <p><input type="checkbox"/> New</p> <p><input type="checkbox"/> Continuation</p> <p><input type="checkbox"/> Renewal</p> <p><input type="checkbox"/> Revision</p>	<p>DUE DATE _____</p> <p>FUNDING AGENCY _____</p> <p>AMOUNT REQUESTED _____</p> <p>TOTAL AMOUNT OF PROJECT _____</p> <p>MATCHING FUNDS REQUIRED Yes No (Indicate Percent or Amount)</p> <p>_____</p> <p>PROJECT DATES: START _____ FINISH _____</p>
--	---

1. PROPOSAL (S) TITLE _____

2. LIST PROPOSED MAJOR GOAL (S) _____

3. OTHER PERTINENT PROGRAM AND FISCAL BACKGROUND DATA

*Any new staffing requirements? ____ Yes ____ No

If yes, list positions to be filled and give percent of time for each position.

<u>Position</u>	<u>Percentage of Time</u>
_____	_____
_____	_____
_____	_____

(Use additional sheet if necessary)

* Will current employees be needed to ensure success of the project? Yes No

If yes, will release-time or supplemental pay be requested in the proposed budget? Yes No

If yes, explain _____

* Will student(s) be employed by the project? Yes No If yes, explain.

* Will scholarship or stipend support be provided under the proposed agency? Yes No

If yes, explain _____

* Are human subjects involved in this project? Yes No Human Animal

If yes, additional assurances/compliance issues may have to be addressed. The OSPR will assist in this requirement.

4. ADMINISTRATIVE ISSUES

* Is indirect cost overhead allowed by the sponsoring agency? Yes No

If yes, please indicate percent. _____

* Will matching funds be required? Yes No

If yes, please indicate the percent. _____

_____Cash _____In-kind _____Other Sources
(as partners for the project)

Please list potential source(s) of matching funds _____

* Are there other requirements? Yes No

Facilities (offices, classrooms, labs, buildings) Yes No (If Yes, Explain)

Equipment (computers, furnishings) Yes No (If Yes, Explain)

Information Technology Resources (Internet access, technical support) Yes No (If Yes, Explain)

Services (library resources, food, housing, transportation) Yes No (If Yes, Explain)

Other (please list) _____

5. REQUIRED REVIEW PROCESS FOR ALL AUTHORIZATIONS TO APPLY:

(All signatures are required in Item 5 for a proposal to be approved for submission.)

_____	_____	_____	_____
PI/Project Director	Date	Vice President for Academic Affairs	Date
_____	_____	_____	_____
Sector Dean	Date		
_____	_____	_____	_____
Sector Vice President	Date	Director, Sponsored Programs & Research	Date

6. APPROVAL SIGNATURES FOR ALL AUTHORIZATIONS TO APPLY REQUIRING MATCHING FUNDS: (Signatures in Item 6 are required if proposal requires cash or in-kind matching dollars.)

Vice President for Finance and Administration	Date
President	Date

FINAL PROPOSAL MUST BE SUBMITTED USING THE ATTACHED ROUTING FORM

APPENDIX D

SUGGESTED [Sample] Proposal Cover Page

**TOUGALOO COLLEGE
OFFICE OF SPONSORED PROGRAMS
AND RESEARCH**

A Proposal Submitted to:
[Name of Sponsor]

[Address of Sponsor]

Title of Proposed Project: _____

Submitted By:
[Department/Unit] _____

Project Period:

FROM Start Date: ____/____/____

TO End Date: ____/____/____

Amount Requested: \$ _____.

Principal Investigator:

[Name] _____

[Unit] _____

Institutional Endorsement:

[Authorizing Signature] _____

[Date Signed] ____/____/____

APPENDIX E

SAMPLE BUDGET PAGE (One variant of many possible models)

CATEGORY	AMOUNT	TOTAL
A. SALARIES & WAGES		
1. Principal Investigator(s)		
Name		
_____ % effort, 9 months	\$xx,xxx	
_____ % effort, Summer	xx,xxx	
2. Co-Pi(s)		
_____ % effort, 12 months	xx,xxx	
3. Research Assistant(s)	xx,xxx	
4. Others:		
a. Names(s); Position Title(s); (\$xxx/month)	xx,xxx	
b. Names(s); Position Title(s); (\$xxx/hour)	xx,xxx	
 TOTAL: SALARIES & WAGES		 \$xxx,xxx
B. FRINGE BENEFITS		
25% of Total Salaries & Wages		xxx,xxx
C. CONSULTANTS (List by name)		
1. Fee	xx,xxx	
2. Travel and per diem costs	xx,xxx	
 TOTAL CONSULTANTS		 xxx,xxx
D. PERMANENT EQUIPMENT		
Itemize: include name and model number	xx,xxx	
 TOTAL EQUIPMENT		 xxx,xxx
E. EXPENDABLE SUPPLIES AND EQUIPMENT		
Itemize: as much as reasonable	xx,xxx	
 TOTAL SUPPLIES		 xxx,xxx
F. TRAVEL (itemize)		
1. Domestic	xx,xxx	
2. Foreign	xx,xxx	
 TOTAL TRAVEL		 xxx,xxx
G. PUBLICATION COSTS		
		xxx,xxx
H. COMPUTER COSTS		
		xxx,xxx
I. OTHER DIRECT COSTS		
		xxx,xxx
Itemize (Examples include graphics, photography, audiovisual, postage, long distance phone charges, rental equipment, conference costs, services, etc.)		

J. SUBCONTRACTS (List names and attach budget details)	xxx,xxx
K. TOTAL DIRECT COSTS	xxx,xxx
L. INDIRECT COSTS	<u>xxx,xxx</u>
M. TOTAL COSTS	\$x,xxx,xxx

Attach Budget Justification

APPENDIX F

PROPOSAL TEMPLATE

Specific layout, formatting, and questions to be answered are provided in the RFP or grant guidelines of a funding agency. This template is to be used only as an example of what might be asked for or when guidelines are not available.

COVER LETTER

TABLE OF CONTENTS

ABSTRACT

Example:

The National Council on the Aging will develop a nationwide, online service that enables older people as well as their family caregivers and community organizations that serve them to quickly and easily determine their eligibility for federal and state benefits programs. The system, BenefitsCheckUp, will include a 50-state database with over 1,000 programs and 40,000 local entry points, allowing users to check eligibility and learn how and where to apply for various programs. In 2004 and 2005, three model communities will participate—the Chicago area, Denver area and three rural counties in southern Colorado. In 2006, three additional sites will be selected from areas currently developing the requisite local resources and infrastructure.

The demonstration project will include an array of organizations in rural and urban communities, including local aging services programs, religious human service agencies, neighborhood health centers and Community Action Agencies. The project will target low-income and disadvantaged elderly people, who historically have been intimidated by the complex application process for assistance. Consumers will have free 24-hour-a-day, every day, access to the service directly through the Internet. In addition, participating organizations will help guide users through the application process and online tools.

The primary objective of this multi-site demonstration project is to increase the number of older adults in the model communities who are screened and who enroll in needed benefit programs. Over three years, we expect to serve 193,000 older persons in the model communities, including 74,500 low-income elders and help more than 12,000 seniors obtain Medicaid, 15,000 obtain Food Stamps and 4,900 obtain SSI. In addition, the project will compare results across the various sites to learn more about adoption rates of this new technology by communities and service organizations throughout the United States. The National Council on the Aging will partner with the National Interfaith Coalition on Aging (representing more than 13 national faith-based organizations) and Catholic Charities USA, the National Institute of Senior Centers, and the National Institute of Senior Housing.

NARRATIVE

- **Request for Funds**

Example:

The National Council on the Aging is asking for \$225,000 to develop a nationwide, online service that enables older people as well as their family caregivers and community organizations that serve them to quickly and easily determine their eligibility for federal and state benefits programs.

- **Overview of the College**

Sample. This may be used for proposals submitted on behalf of Tougaloo College.

Tougaloo College was founded in 1869 by the American Missionary Association of New York and is located on 500 acres of a once 1,200-acre plantation in the northern section of Jackson, Mississippi. A private historically black liberal arts college, the institution has graduated thousands of competitive and nationally renowned leaders in its 134-year history. Tougaloo College accredited by the Southern Association of Colleges and Schools, awards the Associate of Arts, Bachelor of Arts and Bachelor of Science degrees.

Currently, 85 percent of Tougaloo College's students come from the State of Mississippi. Approximately, 90 percent of the students are eligible for financial assistance. Over half come from families with parental incomes of less than \$15,000 per year and 20 percent come from families with parental incomes of less than \$10,000 per year. In fact, over 40 percent come from families in rural Mississippi where the yearly cost of a Tougaloo College education is more than 50 percent of their family's annual household income.

The College has received national recognition for its academic accomplishments as well as its fiscal leadership. It is listed among the top five institutions for producing African American Ph.D.s. It has also been cited in several national publications including: *The Congressional Record*, *Ebony Magazine*, *U.S. News & World Report*, and *Black Excellence*. *The Chronicle of Higher Education* called Tougaloo College "a model for Black colleges attempting to thrive in a tight economy." The College was also recognized and ranked by *U.S. News & World Report* as one of the best schools in our region. Forty percent of the State's African American physicians and attorneys, along with a quarter of its dentists and school superintendents, earned their undergraduate degrees at this institution. Historically, 35 percent of central Mississippi's African American teachers, principals, and administrators were educated at Tougaloo College. The legacy continues as over half (63%) of the class of 2003 are now attending graduate or professional schools.

Tougaloo College prepares its students to become self-directed learners and self-reliant persons capable of dealing effectively with people, challenges and issues, both now and in the future.

- **Statement of Need**
 - **Description of Problem**
 - **Why it is a Problem**
 - **How you know it's a Problem**

Example:

Despite a growing economy and shrinking welfare rolls, over 22 million Americans sought emergency food assistance in 2002. Furthermore, charitable feeding programs across the country report that demand is still rising. In fact, the U.S. Conference of Mayors has documented increased demands for emergency food assistance across the country since 1983 including a 16 percent increase in 2002 alone. While the lines at pantries and kitchens are rising, food waste continues to warrant concern. In a 2003 report, the USDA estimated that 98 billion pounds of consumable food are wasted each year. This includes 5.8 billion pounds at the retail level and 92 billion pounds at the food service and consumer level. Our organization's goal is to access this recoverable food and distribute it through our network of 188 food banks across the country to over 50,000 charitable feeding programs such as food pantries and soup kitchens. This network makes food available to needy adults and children in every county in America, both urban and rural. Hunger in America can be solved. We need to develop the means to access and distribute available food more effectively and efficiently.

- **Description of Services**
 - **Goals and Objectives**

Example:

This virtual warehouse will affect local communities, service providers, and food donors in several important ways. First, local, regional, and national food solicitation can be tailored to meet individual and community needs. The data stored in the virtual warehouse will enable effective resource sharing so that no community will be overlooked when there is available food to meet those needs in another location. Second, when a donor offers a specific item on the network, the network will help recipients respond to the offer in a timely and efficient manner. This timeliness will strengthen donor-recipient relationships and will encourage future donations. *Our goals for the project are to: (1) increase the public's satisfaction with the food donation system; (2) reduce the time needed for food recipients to identify and receive food donations; (3) achieve cost savings for service providers and food donors; (4) reduce food spoilage in storage facilities; (4) increase consumption of healthier foods and thereby positively affect the long term health of food donor recipients*

-- Methodology/Design/Plan (including management plan, scope of work, tasks)

Considerations:

1. What will you do? Describe all activities required to accomplish the objective.
2. Who will be needed to accomplish the activities? Describe their specific qualifications, tasks and responsibilities.
3. How much time will they spend on the project? Sufficient time should be allowed to ensure activities can be accomplished.
4. What materials and equipment are needed? Make sure sufficient funds are included in the budget for necessary materials and equipment.
5. Consider potential pitfalls and be ready with alternative approaches. Describe how pitfalls will be recognized and how alternative approaches will be implemented.
6. How is this project/program and design unique? What makes it unique?

-- Timeline

Considerations:

Chart activities showing a start and finish time, resources needed, and individual responsible for completion of activity.

- **Evaluation**
 - **Evaluation Plan (including type of evaluations to be accomplished)**
 - **Analysis of project**
 - **Recommendations for future projects**

Considerations:

1. Evaluation Strategy. Describe the approach you will take to prove you have achieved your proposed outcomes. Components of your evaluation strategy could include a description of the evaluation participants, the methodology for collecting baseline data, or the use of a control group or comparative analysis across various sites or users.

2. Evaluation Questions. Include some examples of evaluation questions in this section. What do you expect to learn from your project? What questions will the evaluation seek to answer? Link your evaluation questions directly to the outcomes described in the goals and objectives section.

3. Data Collection and Analysis Plans. Provide a data collection plan to help reviewers understand when and how you will collect information over the course of the project. Questions to consider include the kind of measurement instruments that will be used (i.e., quantitative and/or qualitative) and at what points in the project data will be collected. Examples of data collection instruments can be included in your appendices. In terms of data analysis, you should include appropriate techniques for the types of data to be collected. For example, open-ended interview schedules often require extensive and careful coding of responses and tend to employ qualitative analyses.

5. Evaluator(s). Specify the individual(s) or group(s) who will be involved in conducting the evaluation. Describe the qualifications and responsibilities of key personnel involved with the project evaluation, both internally and externally.

BUDGET

BUDGET NARRATIVE

APPENDICES

- **Vitas/Resumes/Biosketches of Principal Staff**
- **Other Supporting Documentation**
 - **News Articles**
 - **Brochures**
 - **Announcements**

APPENDIX G

**TOUGALOO COLLEGE
OFFICE OF SPONSORED PROGRAMS AND
RESEARCH
FUNDING REQUEST SUBMISSION POLICY**

POLICY # 2012-B

**Subject: OFFICE OF INSTITUTIONAL ADVANCEMENT
FUNDING REQUEST SUBMISSION POLICY**

**Purpose: THIS POLICY ESTABLISHES GUIDELINES FOR SUBMITTING
FUNDING REQUESTS TO EXTERNAL FUNDING SOURCES**

References: OIA Policies and Procedures

Date: April 1, 2013

I. POLICY

This communication is to establish a policy that will govern the manner in which proposals and/or requests for funding for Tougaloo College will be handled. The Office of Sponsored Programs and Research must review all funding requests, with sign off indicating approval by the Sector Dean, Sector Vice President, and the Sponsored Programs and Research Office, prior to submission to funding agency. The principle objective of this protocol is to ensure quality of funding requests, appropriate financial commitment from the College, and provide information needed to maintain accurate records regarding funding requests and funding awards.

II. GENERAL GUIDELINES FOR SUBMITTING FUNDING REQUESTS TO EXTERNAL SOURCES

The following steps must be followed and completed to ensure that a completed and viable request for funding is submitted by the College:

4. Faculty or staff members decide to seek external sponsored support and/or funding for an idea or concept.
5. An agency, organization, or foundation is identified as a potential funder.
6. The Office of Sponsored Programs and Research (OSPR) is contacted to verify the

- potential funder has not recently been approached for a contribution. OSPR will assemble a proposal development team if applicable.
7. The faculty/staff members, in conjunction with the proposal development team, develop the proposal. Staff from the OSPR is available for technical assistance.
 8. The Authorization to Apply Form, the completed proposal, AND FOUR COPIES, is submitted to the sector's Dean for approval. The Dean signs the Authorization to Apply Form, retains one copy of the proposal for files and forwards packet to the sector's Vice President.
 9. The sector's Vice President signs the Authorization to Apply Form, retains one copy of the proposal for files and forwards packet to the OSPR.
 10. The Office of Finance and Administration will send the approved proposal AND THE REMAINING TWO COPIES to the Office of Sponsored Programs and Research. The Director of OSPR or an assigned representative will approve the proposal, the Authorization to Submit Form, and retain one copy for files. The OSPR working in conjunction with the originating faculty and/or staff members will copy, bound and package the proposal according to the funder's guidelines. The proposal will be mailed by the Office of Sponsored Programs and Research or as agreed upon by the OSPR Office and the Principal Investigator. If electronic mailing is required, the Office of Sponsored Programs and Research will submit the proposal.

ATTACHMENT I



TOUGALOO COLLEGE

AUTHORIZATION TO SUBMIT FOR GRANT OR CONTRACT

(The original proposal must be attached to this form.)

APPLICATION STATUS <input type="checkbox"/> New <input type="checkbox"/> Continuation <input type="checkbox"/> Renewal <input type="checkbox"/> Revision	DUE DATE _____ FUNDING AGENCY _____ AMOUNT REQUESTED _____ TOTAL AMOUNT OF PROJECT _____ MATCHING FUNDS REQUIRED ____ Yes ____ No (Indicate Percent or Amount) _____ PROJECT DATES: START _____ FINISH _____
---	--

1. PI/PROJECT DIRECTOR

TELEPHONE EXTENSION _____

2. PROJECT TITLE

3. QUALITY ASSURANCE CERTIFICATION

I have read the attached proposal and affirm that the content, design and cost are correct. This application is appropriate to Tougaloo College's mission and the current five-year plan. The proposal is in order and complete; it is recommended for submission.

Project Director

Date

Sponsored Programs Director

Date

APPENDIX H

NOTICE OF TRANSMISSION MEMORANDUM

TO: (Principal Investigator's Name)
FROM: Sponsored Programs and Research Office
DATE: (Current Date)
RE: Notice of Proposal Transmission

Name of Project: _____

Funding Agency: _____

Mailing Address: _____

Date Mailed: _____

Mailed Via: U.S. Post Office: Routing Number _____

FedEx: Routing Number _____

UPS: Routing Number _____

Other _____
Routing Number _____

APPENDIX I

APPENDIX J

**TOUGALOO COLLEGE
OFFICE OF SPONSORED PROGRAMS AND
RESEARCH
CLOSEOUT AND RETENTION GUIDELINES**

POLICY # 2013

**Subject: OFFICE OF INSTITUTIONAL ADVANCEMENT AWARD
CLOSEOUT and RECORD RETENTION POLICY**

**Purpose: THIS POLICY ESTABLISHES GUIDELINES FOR AWARD
CLOSING AND RECORD RETENTION**

References: OIA-OSPR Policies and Procedures

I. POLICY

This communication is to establish a policy that will govern the manner in which sponsored projects close out reports and handle record retention for Tougaloo College. The Office of Sponsored Programs and Research (OSPR) must track the submission of all final reports to the funding agency. The principle objective of this protocol is to ensure that a project award is brought to a timely and complete closure and that all required reports have been provided to the sponsor. Good project management over the life of an award will help to eliminate any problems after the award has ended.

II. AWARD CLOSEOUT and RETENTION GUIDELINES

Award closeouts generally require that a series of final reports be submitted to the project's sponsor. It is essential that these be prepared and sent on time. The terms and conditions of the award will specify what should be sent, when, and to whom. For most federal awards, the College is allowed 90 days to officially close an award. Once the award is closed, records must be retained for a specified period of time. The following guidelines should be followed and completed to ensure that a funding award is closed properly by the College:

CLOSE OUT REPORTS

OSPR tracks the submission of all final reports

Technical Reports

Technical reports are the responsibility of the PI. Some agencies (e.g. NSF, NIH) require or permit final technical reports to be submitted online. When the sponsor does not provide for electronic reporting, a copy of the report or a copy of the transmittal letter should be sent to OSPR.

The Sponsor or the conditions of the award may detail a specific format or organization for the Final Report. In general, the final technical report should include:

- Grant or contract number, PI's name, project title, and performance period, including any authorized extensions.
- Significant results of the project
- Technical difficulties and solutions
- List of publications, including articles in progress
- If the award contains "objectives and/or deliverables, the report should discuss each of these.

Financial Reports

The Senior Grants Accountant or VP-Finance prepares the final financial report and submits it to the sponsor, typically within 90 days of the award close date.

Account Closeout Procedures

- Review account activity for inappropriate charges
- Perform account audit reports
- Send audit reports to the department
- Send Final Report to the sponsor

Invention/Patent Reports

The PI is responsible for disclosing all inventions, discoveries and new technology.

Property Reports

The Finance Office prepares Interim, Annual and Final Property Reports as required by the Grant or Contract and submits them to the Sponsor usually within ninety (90) days of the project close date. The Finance Division also determines if the Title to the property resides with the Sponsor or Institution based on the Title and Equipment Clauses in the agreement.

Equipment in the original agreement budget is allowable. Unbudgeted equipment may require prior written approval from the Sponsor's Contracting Officer before acquisition.

Any questions regarding the acquisition or title to equipment acquired on the sponsored agreement may be directed to the Finance Office or the OSPR Post-Award Coordinator.

OTHER REPORTS

To be completed as may be required.

CLOSEOUT OF SUBAWARDS

The institution will not close out a prime award until all sub awards issued under the prime award have been closed out.

- Sub awards must be processed for closeout and formally closed on a timely basis
- Sub award administrators should begin closeout actions immediately following the expiration of the sub award performance period.
- Sub awards will only be considered formally closed when all applicable closeout requirements have been accomplished.

RECORD RETENTION

Retention Periods:

Legal and audit requirements generally dictate how long federal financial and project records should be retained. When requirements for long-term retention of records overlap, the responsible office should retain records for the maximum period needed to meet legal and audit requirements. A-110 specifies the following:

- Direct charges to contracts and grants: Three (3) years following the date the College considers the project to have been formally closed by the sponsor, unless an audit or litigation is under way.
- All cost objects included in the indirect cost rate: Three (3) years following the final sign-off for that year by the federal government.

Why retain financial records?

- Provides those responsible for managing cost objects with the means to monitor transactions and resolve problems.
- Enables the institution to comply with various requirements---Federal Acquisition Regulation (FAR), A-110, IRS, and other federal, state, and local regulations—which govern the auditing and retaining of records. Retention requirements are typically defined by the type of award (grant, contract, cooperative agreement) and the sponsor (federal, nonfederal, foundation).

For federal grants and cooperative agreements, A-110 states that financial records, supporting documents, statistical records, and all other records pertinent to an award should be retained for three (3) years from the date of the submission of the final expenditure report; for awards that are renewed quarterly or annually, the records

should be retained from the date of submission of the quarterly or annual financial report, as authorized by the federal awarding agency.

For federal contracts, FAR dictates that records must be retained for three (3) years after the final payment. This include books, documents, accounting procedures and practices, and other data-regardless of whether such items are written, computerized, or in any other form-and other supporting evidence to satisfy the contract negotiation, administration, and audit requirements of the contracting agencies and the Comptroller General.

Scientific Data/Technical Records Retention

The Principal Investigator/Project Director is responsible for retaining scientific and technical data for related compliance documentation.