

CEAT RESEARCH ADMINISTRATION SPONSORED PROJECT HANDBOOK



Table of Contents

| | |
|--|----|
| Introduction..... | i |
| How to Use this Book..... | i |
| CEAT Research Administration Directory | ii |
| CEAT Research Administration – In Brief..... | 1 |
| Pre-Award Support | 1 |
| Post-Award Support..... | 1 |
| Applying for Sponsored Project Funding at OSU..... | 2 |
| Identifying Funding Opportunities | 3 |
| The Proposal Process | 4 |
| Overview..... | 4 |
| Submitting the Proposal Request Form..... | 4 |
| Preparing Routing Documents | 5 |
| Preparing Submission Package..... | 6 |
| Submitting the Proposal | 6 |
| Project Budgeting..... | 8 |
| The Importance of Budgeting Properly | 8 |
| Direct and Indirect Costs (F&A) | 8 |
| Allowable Costs | 9 |
| Computer, Software, and Hardware | 10 |
| General Purpose Computing..... | 10 |
| Justifying Computer Expenses..... | 10 |
| Equipment..... | 10 |
| Allocability of Cost | 11 |
| Equipment Maintenance and Repair Costs | 11 |
| Fabricated Equipment | 11 |
| Cost Sharing..... | 12 |
| Proposals..... | 13 |
| Awards..... | 13 |
| The Routing Process | 14 |
| Conflict of Interest | 16 |
| Research Compliance..... | 18 |
| Research Involving Human Subjects | 18 |
| Research Involving Animals | 18 |
| Biosafety | 19 |

| | |
|---|-----------|
| Radiological Safety | 19 |
| Laser Safety | 19 |
| Responsible Conduct of Research | 19 |
| Export Controls..... | 21 |
| Developing and Monitoring Sub-Recipient Relationships..... | 22 |
| Effort Reporting..... | 23 |
| Certifying Effort | 23 |
| Understanding Award Terms and Conditions..... | 24 |
| Budget | 24 |
| Performance Period | 24 |
| Pre-Approvals..... | 24 |
| Pre-Award Spending | 25 |
| Post-Award Spending..... | 25 |
| Program Income..... | 25 |
| Technical Reports and Final Reports | 26 |
| Technical Reports..... | 26 |
| Financial Reports | 26 |
| Final Invention Reports | 26 |
| Equipment Inventory Report..... | 26 |
| Intellectual Property | 27 |
| Appendix A: Sponsored Project Processes Responsibility Charts..... | 28 |
| Proposal Development | 28 |
| Award Set-Up | 28 |
| Award Management | 29 |
| Appendix B: CEAT Proposal Development and Routing FAQ..... | 30 |
| Appendix C: Avoiding Unintentional Cost Sharing..... | 34 |
| Examples of Suggested Language | 34 |
| Examples of Inappropriate Language..... | 35 |
| “Red Flag” Terms | 35 |
| Appendix D: Sample Routing Sheet | 36 |
| Appendix E: Checking for Common Problems | 37 |
| Appendix F: Proposal Checklist..... | 39 |
| Appendix G: Glossary of Terms | 40 |
| Appendix H: Routing Matrix | 44 |

Introduction

Conducting and administering academic research has grown more complex over the years. In addition to leading the research that is one of the core missions of Oklahoma State University, Principal Investigators bear ultimate responsibility for compliance with both proposal and award terms and conditions; federal, state, and local regulations; and university policies directly related to their research.

The goal of this handbook is to assist PIs and their departments with avoiding common pitfalls in research administration so they can receive the full value from their sponsored projects and focus on advancement of knowledge, development of the next generation of scholars, and service to the State of Oklahoma and the worldwide community. Please note this handbook is for reference only and not intended as a replacement for the services provided by CEAT Research Administration and other campus units involved in the OSU research enterprise.

How to Use this Book

When questions arise during the proposal process, PIs may find it useful to first consult the Table of Contents at the beginning of this handbook for immediate reference to the appropriate section. PIs may then consult **Appendix B: FAQ**, if their questions still aren't answered. Several other appendices of our office's most frequently needed information are also available for quick reference at the end of the text.

Many pages in this handbook are accompanied by sidebars titled "IN SHORT." These sidebars offer quick reference to the most important information on the page, along with relevant contact information in case more assistance is required. PIs may find it useful to read these sidebars first, before choosing to read the main text for more detail or information.

We hope the information in this handbook is helpful to you. If you have any questions, we can help. Please call or send an email to the address listed below.

Sincerely,

The CEAT Research Administration Team
405-744-9498
ceatresearch@okstate.edu

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CEAT Research Administration – In Brief

The prime directive of **CEAT Research Administration** is to assist CEAT Principal Investigators (PIs) with applying for and managing grants and contracts from external sponsors. CEAT Research Administration is under the leadership of the **Associate Dean of Research and Sponsored Programs (ADR)**, who acts as the official liaison for CEAT to the Vice President for Research (VPR). The **Research Administration Operations Manager** oversees and coordinates all incoming proposal requests and new award notifications. Other positions are as follows:

Pre-Award Support

Proposal Development Specialists (PDS) in CEAT Research Administration assist PIs by managing the process of developing, routing, and submitting their proposals for external funding to all awarding agencies. PDSs also ensure proposals are compliant with University and sponsor requirements.

In addition to Proposal Development Specialists, CEAT Research Administration employs a full-time **Proposal Editor and Writer** who assists CEAT PIs with fine-tuning their technical narratives and other documents prior to submission to the awarding agency.

Post-Award Support

Grant Managers in CEAT Research Administration assist PIs with the award set-up process after a proposal has been funded. Grant Managers are also available throughout the life of an award for any questions related to the budgetary or regulatory aspects of a given sponsored project.

The roles and responsibilities of PIs in award set-up and award management processes are shown in [Appendix A](#).

IN SHORT:

Associate Dean for Research and Sponsored Programs (ADR): *official liaison for CEAT to the VPR.*

Research Admin Operations Manager: *manages incoming proposal requests and award notifications.*

Proposal Development Specialist (PDS): *manages the process of developing, routing, and submitting proposals.*

Proposal Editor and Writer: *assists PIs in developing technical narratives and other documents.*

Grant Manager: *manages awards following proposal funding.*

Who to Contact:

CEAT Research Admin
201 ATRC
405-744-9498
ceatresearch@okstate.edu

Applying for Sponsored Project Funding at OSU

At Oklahoma State University, **all awards are made to the University**, not to schools, colleges, programs, departments, or individuals. Since applying to externally-funded research and grant programs can commit OSU to a myriad of responsibilities, no official application for sponsored project funding—for research or any other sponsored activity, such as training, public service programs, or special projects—may be made in the name of the University without prior approval of OSU’s authorized official. At OSU, the President has delegated such authority to the Vice President for Research.

OSU employees that receive any part of their salary through the University, or whose activities use any University resources or facilities, must submit proposals for sponsored project funding through their designated college research office. In CEAT, this is the CEAT Research Administration office.

Submitting proposals through CEAT Research Administration ensures that all sponsored projects conducted by CEAT employees, or with the use of University resources or facilities, have proper signature authority and comply with relevant University policies and guidelines. OSU has put this policy in place to protect faculty and the University.

CEAT Research Administration assists the CEAT research community in its efforts to secure sponsored project funding while promoting proper stewardship of those funds. When processing a proposal for sponsored project funds, CEAT Research Administration proposal development staff manage the preparation, routing, and submission of the PI’s proposal to the sponsor to ensure the project complies with relevant University policies and guidelines. The proposal development staff in CEAT Research Administration are also available to assist with any questions relating to University policy and proposal preparation.

IN SHORT:

Sponsored project awards are made to Oklahoma State University, and therefore require approval from the VPR to be submitted.

University policy requires submission of proposals for sponsored project funding through an authorized college sponsored programs office. In CEAT, this is CEAT Research Administration.

Who to Contact:

CEAT Research Admin
201 ATRC
405-744-9498
ceatresearch@okstate.edu

Additional Info:

<https://research.okstate.edu/urs/index.html>

Identifying Funding Opportunities

Upon request, CEAT Research Administration is available to assist PIs with locating funding opportunities specific to their research. Staff can also assist PIs in identifying potential collaborations for projects within CEAT, across the University, or even with external partners.

Every week, CEAT Research Administration emails **The Wednesday Research Brief** to all CEAT Research faculty. This email contains funding opportunities from various sponsors, as well as information on proposal development and award processes with CEAT Research and the University.

When a potential funding opportunity is identified, PIs are encouraged to make contact with the sponsor's program officer, to discuss the applicability of their project to the identified solicitation. This contact provides yet another chance to discuss funding opportunities which may be more suitable to the PI's research focus.

It is also recommended that PIs discuss the project and proposal with their respective Department Heads. Sometimes, it is also appropriate for PIs to notify the ADR of their intent to apply for a particular grant (i.e. when using another grant as cost share, when intending to apply for VPR funds, etc.).

Additional resources can be found at the OSU University Research Services (OURS) website at <https://research.okstate.edu/urs/index.html>.

Once a funding opportunity has been identified, the proposal process can begin.

IN SHORT:

For assistance with locating funding opportunities, PIs may consult CEAT's Wednesday Research Brief email, the OURS website, or request individual support from CEAT Research Administration.

If you would like to be added to the Wednesday Research Brief mailing list, please send a request to:

ceatresearch@okstate.edu

Who to Contact:

CEAT Research Admin
201 ATRC
405-744-9498
ceatresearch@okstate.edu

Additional Info:

<https://ceat.okstate.edu/research/pre-award-services.html>

The Proposal Process

Overview

There are four (4) main steps to submitting a full proposal in CEAT. They are as follows:

1. Submitting the proposal request form.
2. Preparing routing documents.
3. Preparing submission package.
4. Submitting the proposal.

Other steps, such as submitting a Letter of Intent (LOI) or pre-proposal, may also be involved in this process. Individual solicitations should be consulted for their specific proposal procedures.

Submitting the Proposal Request Form

PIs are encouraged to **contact CEAT Research Administration as early as possible** to ensure proposals are submitted on time and in a compliant manner. The Proposal Development and Routing FAQ in [Appendix B](#) provides helpful tips about the proposal development and approval process so PIs can plan accordingly.

First, the PI completes a Proposal Request Form, located on CEAT's website as both a web form and a download. The PI may also request a copy of the form by emailing ceatresearch@okstate.edu. This form should be completed with as much detail as possible, in order for the research team to prepare the proper documentation and procedures. **Generally, proposal requests should be submitted to ceatresearch@okstate.edu at least 14 days prior to the proposal's due date.** When a proposal involves other circumstances, such as cost share, collaborative entities, or subcontractors, **an additional week** is required.

Upon receiving the proposal request, the Research Administration Operations Manager then assigns the request to a Proposal Development Specialist (PDS), who guides the proposal through submission. While the PI is responsible for preparing most technical documents of the proposal, the PDS's responsibilities are to: work with the PI to ensure the proposal is prepared in accordance with sponsor guidelines; assist in preparing the budget, agency-required forms, and any other required documents such as current and pending files; route the proposal internally for approval from all appropriate OSU offices; and finally submit the proposal to the sponsor.

IN SHORT:

To initiate the proposal process, PIs submit a Proposal Request Form to CEAT Research Administration at least 14 days prior to the proposal's due date.

A Proposal Development Specialist (PDS) will work with the PI to develop a proposal that meets the funding agency guidelines and OSU policy and procedures.

The PDS will complete the routing of the proposal for University approval and submission of the proposal to the sponsor.

[Appendix A](#) offers a visual representation of these responsibilities.

Preparing Routing Documents

Within two (2) business days of receiving a proposal request from the Research Administration Operations Manager, the PDS provides the PI with templates for their documents and a timeline for when those documents should be completed. This timeline takes into account both the solicitation's deadlines and the PDS's individual workload. In the event of a missed deadline, CEAT Research policy dictates the PDS notify all PIs, Department Heads, and the Research Administration Operations Manager via email.

While each sponsor requires different elements for a proposal, **the following documents are the *minimum* required to be routed internally through the VPR's office:**

- **Statement of Work:** A summary of the proposal, indicating the problem or need, objectives, methodology, evaluation process, and impact of the project.
- **Budget:** The information used to calculate the budget is taken directly from the information provided by the PI during the proposal development process. Relevant budget development topics, such as allowable and unallowable costs and cost share, are discussed in the [next section](#) of this handbook.
- **Budget Justification:** Explains the need for each item listed in the budget. The detail given in the budget justification demonstrates to the University and the funding agency that the proposer thoroughly understands the financial requirements of the project.
- **Subrecipient or Subcontract Documents:** Often, a project involves a subrecipient or subcontract for an award made to OSU. In this case, a finalized budget, budget justification, statement of work, and occasionally resumes or letters of intent from these entities are required for routing.

In the event a proposal involves multiple colleges, **each college must provide a SOW, Budget, and Budget Justification** to the lead college for the routing process.

Generally, PDSs expect the above documents **nine (9) days in advance** of the proposal deadline, to allow sufficient time for any necessary revisions and routing through required offices. Routing documents should be **finalized six (6) days in advance** of the proposal deadline.

IN SHORT:

To be routed through the VPR's office, a proposal must contain at minimum: the final budget; the final budget justification; a draft statement of work; any subcontractor documents; and any letters requiring VPR signature.

Budgets and budget justifications *must be final* for routing to the VPR. Changing either document after routing is complete will restart the routing process.

It should be noted that while the statement of work can be in draft form at the time of routing, **the budget and budget justification are final documents once approved by the University**. Any revisions to the budget or the budget justification after the routing process is complete will require the documents to **be routed again** for approval. [Appendix H](#) shows a visual representation of routing procedures for a new proposal or a modification.

Preparing Submission Package

An electronic plagiarism check and peer review of the proposal and any appendix items such as biographical sketches, data management plans, and other supplementary documents is highly recommended. CEAT Research Administration also employs a **Proposal Writer and Editor** to assist faculty with developing proposal narratives. *Any narrative documents in need of proofing or editing should be submitted to the Proposal Writer and Editor at least seven (7) business days prior to the submission deadline.*

Submitting the Proposal

Generally, PDSs expect final submission documents **two (2) business days** before the submission deadline to allow for any edits or adjustments. If this two-day deadline is missed, CEAT Research policy dictates the PDS notify all PIs, Department Heads, and the Research Administration Operations Manager via email. A missed two-day submission deadline may affect Administration's ability to submit a proposal on time.

Before submitting the proposal to the funding agency, the PDS will check the proposal to ensure that: the pages are formatted according to sponsor requirements and in the correct order; visual aids are inserted properly; all pages requiring signatures have been signed; and all required agency forms are included. **If time allows, a final submission preview package will be sent to the PI for his/her approval.** After the PI reviews and approves the final submission package, the PDS submits the proposal to the sponsor. CEAT Research policy dictates PDSs *must* submit no later than 15 minutes before the agency deadline.

Though CEAT Research strives to provide the best service possible to our PIs, we ask that **PIs be proactive** in the development and submission of their proposal. [Appendix F](#) provides a step-by-step checklist of what PIs can expect during the proposal process.

IN SHORT:

For assistance with proposal narrative proofreading and editing, send documents to the CEAT Research Administration Proposal Editor and Writer at least 7 days prior to the deadline. It is also recommended to have a peer review your proposal narrative.

Who to Contact:

Pam Reynolds, MA, CRA
Proposal Editor & Writer
405-744-1401
pamela.reynolds@okstate.edu

CEAT Research Admin
201 ATRC
405-755-9498
ceatresearch@okstate.edu

Additional Info:

<https://ceat.okstate.edu/research/pre-award-services.html>

The Proposal PROCESS

14
Days



Proposal Request

Complete and submit the [Proposal Request Form](#) to CEATResearch@okstate.edu at least 14 days before the due date**.

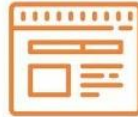
14+
Days



Find Funding

Find funding opportunity and review solicitation to ensure that you and the project meet all the requirements.*

12
Days



Templates

Within two business days a Proposal Development Specialist will email you the templates and timeline.

9
Days



Budgets

Submit budgets, budget justification, summary, and any signature pages for routing to the Proposal Development Specialist at least 9 days before the due date.

6
Days



Routing

Complete and sign the Routing sheet. CEAT will send the documents through the University Routing Process.

7
Days



Editing

Send narrative documents to Pamela.covington@okstate.edu for proof-reading and editing.

2
Days



Final Documents

Submit final documents to the Proposal Development Specialist by 8 am the day before the due date.

1
Day



Submission

The Proposal Development Specialist submits the final proposal

* All days are in business days

** Add 1 week to timeline for subcontractors or cost share

Project Budgeting

A **budget** is the financial expression of the technical narrative of a project. It lists the costs that are necessary to complete a project successfully. A **budget justification** is a narrative explanation of the costs listed in the budget.

When preparing a project budget, it is important to know what types of costs are typically allowable or unallowable on externally sponsored projects.

The Importance of Budgeting Properly

OSU and the PIs are jointly responsible for budgeting sponsored research funds in compliance with federal cost principles established by the Office of Management and Budget (OMB). These principles are described in 2 Code of Federal Regulations Part 200, “Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards,” and incorporated into university policies and procedures for administering research awards.

Adherence to all cost principles is critically important, both at the proposal budget development stage and award expenditure stage. OSU and the PI must develop a project budget in a manner that will allow for proper and appropriate accounts for sponsored project funds when the proposal is awarded. *The consequences of failing to comply with costing principles at the award stage may range from the disallowance of specific incurred costs by the sponsor to termination of the award to federal sanctions, depending on the particular cost and circumstances in question.*

Direct and Indirect Costs (F&A)

Direct costs are defined as allowable budget items directly charged to and funded by a sponsored program. Typically, these charges consist of costs such as personnel salaries and benefits, materials and supplies, travel expenses, and other items necessary for the completion of a project.

Facilities and Administration Costs (F&A)—also known as **indirect costs**—are costs incurred for common or joint activities of the University, and therefore cannot be identified readily and specifically with a particular sponsored project, instructional activity, or any other University activity. These costs include: administrative and clerical salaries and benefits; office supplies; general-use computers and software; postage; electricity, water, and air conditioning; and other general departmental and institutional business. Additionally, F&A forms the source from which the VPR draws cost share funds for grants requiring University match.

OSU has negotiated specific F&A rates with its governing federal office—the Office of Naval Research (ONR)—that vary depending on the type of sponsored program (Research, Outreach, or Instructional) and the location of the work to be performed (on- or off-campus). Generally, **any voluntary waiver of F&A is not allowed**. Occasionally, funding agency solicitations mandate the University waive a certain amount of F&A. Regardless, F&A charges cannot be waived without approval from established University proposal routing channels.

Allowable Costs

The key concept of direct cost principles is “allowability.” For a cost to be allowable on a specific sponsored award, it must be:

- **Reasonable.** It is necessary for the performance of the project and is within what a “prudent person” would pay for the particular goods or services obtained.
- **Allocable.** The project that pays the cost is the project that benefits from it. Expenses shared across multiple projects benefit all projects proportionately, when benefit can be clearly allocated, or reasonably, when proportionate value cannot be readily determined due to the inter-relationship of the work involved. Typically, items qualifying as indirect costs do not fit this criteria, as they cannot be readily identified with a specific sponsored project.
- **Consistently treated.** The University consistently designates a type of cost as either direct or indirect when incurred for the same purpose in like circumstances.

Additionally, the cost must not be explicitly excluded by federal guidelines or the terms and conditions of the award. Some expenses that may directly benefit a project may be prohibited by the sponsor and, thus, not allowable on the resulting award. Before budgeting any of the costs in the following categories, **check the proposal solicitation terms and conditions and university policy to ensure that the expenses will be allowable** when the award is made. Following is a table of what are typically*¹ allowable and unallowable costs, and descriptions of each.

| Item | Allowable? (Y/N) | Description |
|-----------------------------------|---------------------|--|
| Proposal Preparation Costs | N | Postage, long-distance calls, etc. associated with proposal preparation. |
| Personnel Salaries, Benefits | Y | PI, co-PI, GRA salary/benefits |
| Memberships and Subscriptions | N | Considered unallocable, typically covered by F&A, dependent on project scope |
| Clerical, Administrative Salaries | N | Typically covered by F&A, dependent on project scope |
| Travel | Y | Domestic and international travel to meet with collaborators, attend conferences, etc. |
| Food | N | Dependent on project scope; <i>per diem</i> included in “Travel” category |
| Materials & Supplies | Y | Expendable lab supplies, individual items less than \$5,000 |
| Office Supplies | N | Typically covered by F&A, dependent on project scope |
| Computers, Software, Hardware | N | See below |
| Equipment | Y | See below |

¹ NOTE: Whether a cost is un/allowable will always depend upon the funding agency, the specific solicitation, and the intended purpose of the item (see below). This table is for general reference only.

| Item | Allowable? (Y/N) | Description |
|----------------------------|---------------------|---|
| Facilities Rental Expenses | N | Typically covered by F&A, dependent on project scope |
| Services | Y | Maintenance/repair, contractual, etc. |
| Publications | Y | Costs of publishing in print journals, printing posters, etc. |
| Tuition | Y | Tuition for graduate student research associates and assistants |

Computer, Software, and Hardware

Computing costs (computers, laptops, computer supplies and peripherals, office software) may be charged directly to federal grants under one of two conditions:

1. The computing device functions as a scientific instrument or is attached to such an instrument for data capture or experimental visualization; or,
2. When it can be clearly demonstrated that the computing device is necessary to accomplish the technical scope of the research outside the general purposes described below.

General Purpose Computing

The following are considered general uses of computers and are normally not considered direct costs on federal grants: preparation and administration of federal grants; writing research reports; communicating with grant agencies or other scholars; teaching; or engaging in general scholarly productivity and communications. The federal government considers computers used in these ways to be covered by the F&A rate. Administrative computers would need to be justified following Uniform Guidance guidelines and OSU policies to be budgeted on a sponsored project.

Justifying Computer Expenses

Great care must be taken to ensure that computers and software required for scientific research are correctly budgeted. When budgeting computer equipment on a sponsored project, all the following criteria must be met. The costs must be:

- Specifically identified to and directly benefit the technical scope of the project.
- Included and justified in the project budget.
- Allowable according to the criteria set above.
- Allowable according to the sponsor.

If the same equipment and software are used for both research and general use, the cost must be distributed to all benefiting activities using a reasonable basis described by Uniform Guidance or in campus policy.

Equipment

The federal government and the University define **equipment** as “tangible, nonexpendable property having a useful life of more than one year and an acquisition cost of \$5,000 or more per unit (including tax, shipping, and installation).” The threshold amount of \$5,000 is subject to change by the federal government and/or by the University.

Important considerations before budgeting equipment for a sponsored project are as follows:

Allocability of Cost

If the equipment item will benefit more than one sponsored project or activity, only a portion of the equipment cost can be budgeted on the proposal. This portion must be allocable to the project proportionately, based on the benefit directly received. This also applies to cost-shared equipment. See the [cost share section of this handbook](#) for further details.

Equipment Maintenance and Repair Costs

Maintenance and repair costs to keep project-specific equipment—whether existing or purchased with project funds—in operating condition are allowable **within the timeframe of the project performance period**. If the maintenance agreement or repair cost benefits more than one sponsored agreement or activity, the cost must be allocable to the proposed project proportionately, based on the benefit directly received.

Fabricated Equipment

Fabricated equipment is an item of capital equipment that has been constructed specifically for an OSU project, as opposed to being purchased “off the shelf” from a vendor or commercial supplier. Once constructed, the fabricated equipment must satisfy the federal definition of equipment, meaning it must have a total cost of \$5,000 or more, must be non-expendable, and must have a useful life of one year or more. The fabricated equipment task in a project must result in a piece of equipment that is completed during the award period of the project. Each component of a fabricated equipment item must be budgeted specifically as “Fabricated Equipment.”

Cost Sharing

Cost sharing is **the portion of the project expenses borne by OSU or another third party and not by the main program sponsor**. Shared costs are typically direct costs of the project. They may be paid from departmental, college, or University funds. Other types of cost sharing include eligible expenditures from other grants or contracts or “in-kind” contributions from “third party” industry partners and other sources.

There are three types of cost sharing:

- **Mandatory cost sharing.** Costs that the University *must* contribute toward the project in order for an award to be made.
- **Voluntary cost sharing.** Costs associated with a project and identified in the proposal, for which funding is not being requested from the sponsor.
- **Matching.** A requirement that grant funds be matched in some proportion by the grant recipient.

Cost sharing should only be offered when it is a condition of receiving an award. If cost sharing is mandatory, this will be noted in the sponsoring agency’s solicitation. **The PI is responsible for identifying resources for sharing direct costs** at the time the proposal is being developed. CEAT Research Proposal Development Specialists will assist the PI with obtaining approvals for cost sharing during the routing process.

Cost sharing must be disclosed to the sponsor in the proposal. Once an award is made, the cost sharing documented in the proposal becomes a binding commitment. *It should be noted that failure to fulfill the cost sharing obligation may result in the reduction or removal of the amount of the sponsor’s award.*

Per federal regulations, cost sharing commitments must be:

- Readily verifiable in the University’s records and documented in writing, if provided by a third party;
- Necessary and reasonable to achieve the project objectives;
- Allowable under applicable cost principles;
- Not paid by another award, except as specifically authorized by the sponsor;
- Provided for in the approved budget when required by the sponsor; and

IN SHORT:

Cost sharing is the project expense borne by OSU or by a third party.

Cost sharing should only be proposed when the award sponsor has specified the cost sharing as a condition of receiving the award.

Cost sharing typically covers direct costs paid from OSU or third party funds.

Failure to fulfill a proposed cost sharing obligation may result in reduction of the sponsor’s award.

The PI is responsible for identifying the resources for cost sharing of direct costs at the proposal stage. At the award stage, the PI is responsible for ensuring that cost sharing direct costs are expended appropriately.

Who to Contact:

CEAT Research Admin
201 ATRC
405-744-9498
ceatresearch@okstate.edu

- Incurred within the performance period of the award.

Proposals

Proposed cost sharing should be clearly documented in the proposal budget justification. **Any normal University resources necessary for the project should not be offered as voluntary cost sharing** and descriptions of such should be omitted from the proposal text. If deemed necessary, this type of information should be narrative in nature and must not include quantifiable financial information. Appendix C provides helpful examples of inappropriate language that, when included anywhere in a proposal, may invoke an unintentional cost sharing commitment. *It should be noted that each instance of voluntary cost share has the potential to increase OSU's F&A rates when they are renegotiated periodically with the Office of Naval Research.*

The **PDS will coordinate preparation of any special forms or letters of commitment pledging CEAT, Department, or OSU cost sharing.** In most cases, these documents will require signatures of the PI, the Department Head, the Associate Dean for Research, the VPR, or a combination of these.

The **PI should obtain documentation from each third party funding source** that has promised to contribute cost sharing. Letters of commitment from third parties must be on the contributor's letterhead.

Awards

When an award is made, the office of Grants, Contracts, and Financial Administration (GCFA) creates separate accounts for each cost-sharing sponsor. Grant Managers in CEAT Research Administration are responsible for assigning cost share account numbers for departmental, college, or University funds. They are also responsible for obtaining, tracking, and reporting "in-kind" third party cost share.

The **PI is responsible for ensuring that all cost share contributions are expended correctly and that cost sharing obligations are met in a timely manner.**

It is important to notify your assigned Grant Manager immediately if there is any possibility that a cost sharing commitment will not be fulfilled. This includes situations in which a PI transfers to another institution during the performance period of a project, because the sponsor may hold OSU responsible for fulfilling all or a proportionate share of any cost sharing commitment associated with the project.

The Routing Process

The **routing sheet** is the internal document at OSU that facilitates administrative review and approval of all sponsored project proposals and awards.

A routing sheet **must be completed and signed appropriately before submission of all sponsored projects proposals from OSU for external funding of any kind.** This includes proposals submitted to sponsors either electronically or in hard copy by college sponsored research offices as well as departments across campus that are not affiliated with a college sponsored research office (e.g. library, Upward Bound, Scholarships and Financial Aid, etc.).

If a proposal is awarded, the award must also be routed using the same identifying number used on the proposal routing.

Each individual who signs a routing is assuring that the proposal or award is compliant with all University policies and procedures. It is highly important that PIs and Department Heads thoroughly review every proposal and award packet in need of signatures.

In CEAT, all routings are prepared and circulated by CEAT Research Administration personnel. The lead PI for a proposal or award will be asked by CEAT Research to identify the appropriate Research Type (either Basic, Applied, or Developmental) and complete Part 3 of the routing sheet. Part 3 is designed to capture information needed to ensure compliance with federal, state, and University requirements. The Department Head of the PI's school, any co-PIs and their Department Heads, and the college's Associate Dean for Research will also be required to sign the routing sheet.

After all PIs, co-PIs, and Department Heads have signed the routing sheet, the package returns to CEAT for the ADR's signature, before being routed to its final stop at OURS, GCFA, and the VPR. It is expected that routing packages be on their way to central research offices **six (6) days in advance of the submission deadline.** *More time should be allowed in the event of approaching holidays or breaks, to account for the decreased number of faculty and staff in their offices.*

A copy of the routing sheet is located in [Appendix D](#).

The next page shows a timeline for the routing process.

IN SHORT:

All proposals must be routed for University approval before they are submitted to the sponsor.

All awarded projects must also be routed for University approval before they are accepted.

Signing the routing sheet is an assurance that the proposal or award is compliant with policies and procedures.

CEAT Research Administration prepares and circulates all routings.

Who to Contact:

Appropriate contact information will be provided with individual routing packages.

the **ROUTING** process



Conflict of Interest

A **conflict of interest** is a situation in which the conduct of research could be compromised, or appear to be compromised, by a related financial interest on the part of the PI or co-PIs. “Financial interest” is any personal benefit of significant monetary value, including, but not limited to:

- Salary or other payments received for services;
- Equity interests, such as stocks, stock options, or other ownership interests;
- Intellectual property rights, such as patents, copyrights, and royalties from such rights, other than royalties received through the University; or
- Appointment to a position as an officer, director, agent or employee of a business entity.

Because conflicts of interest can arise in the course of an individual’s interactions outside OSU, the presence of an actual, apparent, or perceived conflict of interest does not automatically constitute wrongdoing. However, any such **potential conflicts of interest must be disclosed to the University** and managed. OSU has a formal procedure for doing so in compliance with federal regulations.

Rules regarding conflict of interest apply to all key participants on a project. This process is intended to protect investigators, their sponsored research and other educational and professional activities in which they are engaged, and the University. Key participants include:

- Tenured and tenure-track faculty
- Research professors, research associate professors, and research assistant professors
- Research scientists and senior research scientists
- Administrators
- Employees from all divisions or units whose annual salary exceeds \$60,000
- Any employee who is responsible for the design, conduct, or reporting of a research project funding by or proposed for funding by federal agencies that require such disclosures

IN SHORT:

University faculty, staff, managers or officials shall not engage in any activities where there is a conflict of interest between their official University duties and any other interest or obligation.

This policy applies to all investigators on a project.

Any potential conflicts of interest must be disclosed to the Department Head and CEAT ADR before submitting a proposal.

Who to Contact:

Dr. Chuck Bunting
CEAT ADR
201 ATRC
450-744-9498
adrbunting@okstate.edu

Each year, CEAT will send a notice to submit a form to faculty, staff, and student employees who make spending decisions, direct sponsored research, supervise employees or teach students that should be aware of the need to report conflicts of financial interest. CEAT employees are required to:

- Complete the OSU Conflict of Interest Form or PHS Financial Conflict of Interest Form and submit it to CEAT at ceatresearchcoi@okstate.edu by October 1, annually. All Financial and Other Conflict of Interest forms can be found on the webpage <https://research.okstate.edu/compliance/coi/forms-and-documents.html> and
- Provide updates as the amount or nature of interest changes during the period of performance of supported research. PIs proposing Public Health Service research (whether OSU is the proposing institution or a sub-recipient of PHS funds) must complete the PHS Financial Conflict of Interest (FCOI) form. PHS researchers must also complete a Conflict of Interest Web-based Training Course to meet PHS regulations. This training is required every four (4) years.

Research Compliance

OSU is committed to fostering research opportunities and partnerships that lead to scholastic achievement, technological innovation, and economic revitalization. These opportunities and partnerships are guided and governed by ethical principles that are an integral component of the responsible conduct of research at OSU.

The Office of University Research Compliance (URC) administers key research compliance programs for the University, through which it promotes responsible conduct in research.

Through centralized coordination of administrative activities, education, and training, URC provides information and guidance in the areas of animal care and use, human subject research, biosafety, laser safety, and radiation safety. URC personnel are dedicated to assisting OSU faculty, researchers, students, and staff in complying with all regulations, statutes, and University policies governing the conduct of research and other scholarly activity.

Research Involving Human Subjects

Federal regulations (Common Rule 45 CFR 46) and OSU policy require that the Institutional Review Board (IRB) review and approve all research involving human subjects before any human studies are begun. This includes projects related to the investigation of new drugs; medical, radiological, engineering, physiological, behavioral, sociological, and nutritional studies; projects involving human tissues or blood; as well as images, questionnaires, interviews, and other procedures.

All personnel who participate in studies involving human subjects must successfully complete an IRB training course. In addition, all studies approved by the IRB require continuing review. *Failure to ensure that a project is reviewed and approved by IRB in a timely manner will lead to suspension of the project and any grants related to the study.*

Research Involving Animals

The OSU Institutional Animal Care and Use Committee (IACUC) must approve all teaching or testing that involves the use of vertebrate animals before the activities are performed. Any significant changes to an approved project must be approved by the IACUC in advance of implementation. The IACUC can assist PIs in complying with all applicable federal, state, local, and institutional regulations regarding animal care

IN SHORT:

University Research Compliance provides information and guidance to PIs in the areas of animal care and use, human subject research, biosafety, laser safety, and radiation safety.

URC assists OSU faculty, researchers, students, and staff in complying with all regulations, statutes, and University policies governing the conduct of research and other scholarly activity.

OSU requires formal training in Responsible Conduct of Research (RCR) for faculty, students (graduate and undergraduate), post-doctoral fellows, and associates who are involved in research, regardless of the source of funding.

and use. An approved Animal Care and Use Protocol must be in place before research involving animals is begun.

Biosafety

OSU Institutional Biosafety Committee (IBC) approval is required for any activity involving recombinant DNA or biohazardous agents or materials before the materials may be acquired and before the research activity is begun. If the project involves the use of animals, IACUC approval, which is contingent on IBC approval, is also required. Human gene transfer projects require IRB approval, which is contingent on IBC approval. The specific types of research that require IBC review are listed on the biological safety website.

Radiological Safety

Authorization is required prior to any use of radioactive materials and radiation-producing (x-ray) machines. The Radiation Safety Officer (RSO) and/or the Radiation Safety Committee (RSC) must approve usage, as appropriate. In some cases, the RSC may need to review and approve not only material or equipment, but also a particular proposed use.

The RSO assists PIs in complying with all applicable regulations and use authorization requirements.

Laser Safety

OSU policy requires faculty, staff, students, post-docs, visiting scientists, or other personnel planning to use Class 3b and/or Class 4 lasers to obtain prior approval from OSU's Laser Safety Officer. Training and laboratory inspections are prerequisites to this approval. OSU's Laser Safety Officer conducts laboratory inspections.

Responsible Conduct of Research

OSU has an obligation to take steps to ensure that its advanced degree recipients, faculty, and research staff have a thorough working knowledge of matters related to responsible research behaviors. At a minimum, these include: proper citation of other work, plagiarism, research misconduct, intellectual property and copyright, falsification and unwarranted editing of data, conflict of interest, authorship on manuscripts, and mentor-mentee relationships. Other issues (e.g., ethical treatment of animals, human subject protocols, and handling of hazardous materials) may also be appropriate, depending on the discipline of study.

IN SHORT:

Who to Contact:

University Research
Compliance
223 Scott Hall
405-744-1676
rdiana@okstate.edu

Human Subjects Research

Dawnett Watkins, CIP
IRB Manager
223 Scott Hall
405-744-5700
dawnett.watkins@okstate.edu

Animal Use

Patrick Kehres, CPIA
IACUC Manager
220 Scott Hall
405-744-3592
iacuc@okstate.edu

Biosafety

Mindy James, Ph.D.
Biological Safety Officer
223 Scott Hall
405-744-3203
mindymc@okstate.edu

Radiation Safety & Laser Safety

Brandi Simmons
Radiation Safety Officer
Laser Safety Officer
211 Scott Hall
405-744-7890
brandi.simmons@okstate.edu

OSU requires formal training in Responsible Conduct of Research (RCR) for faculty, students (graduate and undergraduate), post-doctoral fellows, and associates who are involved in research, regardless of the source of funding.

Complaints of scientific misconduct directed at members of the OSU community may be made directly to the Vice President for Research or may be referred to the VPR by the appropriate unit administrator. The VPR coordinates investigation of research misconduct and ensures that investigation reports are submitted to the federal Office of Research Integrity in a timely manner.

Export Controls

OSU is committed to complying with all export control laws and regulations. It is important for PIs to understand how these requirements apply to them and their work at the University.

The Export Administration Regulations (EAR), overseen by the Department of Commerce, and the International Traffic in Arms Regulation (ITAR), overseen by the Department of State, are the primary regulations pertaining to export controls. The Treasury Department's Office of Foreign Assets Control (OFAC) also has authority over some areas that impact export control issues and there are numerous Executive Orders that reference export controls. Recently, the EAR and ITAR have undergone major revisions, many of which are still ongoing.

If a PI's research efforts are specifically in areas involving ITAR-related technologies, which are inherently military in nature, they should know OSU is currently not registered with the Department of State, Directorate of Defense Trade Controls, and at this time, there are no plans to be registered. Therefore, if a PI is planning to pursue research funding on ITAR-related technologies, they must discuss this with CEAT Research Administration and the OSU Export Control Officer *well in advance* of the preparation and submission of any proposals.

It is unlawful to send or take export-controlled technology out of the U.S. or to disclose, orally or visually, or transfer export-controlled technology to foreign nationals inside or outside U.S. territory, without government approval. Technology is defined as "specific information necessary for the development, production, or use of a product." This applies to tangible technology such as field equipment, computers, smart phones, etc. that a PI may carry with them or ship abroad for their professional use.

Understanding the laws and regulations and how they apply can be confusing. Each item and/or project should be considered independently of others. PIs are encouraged to familiarize themselves with the resources available.

IN SHORT:

U.S. export control regulations govern shipment, transmission, or transfer of certain sensitive items, information, or software to non-U.S. persons (foreign persons or entities).

Restricted matter shared with foreign persons or entities within the U.S. is "deemed" to be exported. Therefore, export controls may apply to restricted items, information or software sent outside U.S. borders or shared with foreign persons or entities within the U.S.

Basic and applied research conducted at an institution of higher learning in the U.S. is normally exempted from export controls through the Fundamental Research Exemption.

Who to Contact:

Assigned Grant Manager

Jada Bruner-Gailey
Director, Export
Compliance
OURS

206 Whitehurst

405-744-9995

jada.gailey@okstate.edu

Developing and Monitoring Sub-Recipient Relationships

As the prime recipient of a grant, OSU may collaborate with other entities, known as **sub-recipients**, who carry out a portion of the project. It is important to determine at the proposal stage whether the relationship with an outside provider will be considered a sub-award or a vendor procurement transaction (contract). Therefore, before developing a proposal, the PI should discuss any necessary outside providers with the PDS.

If the relationship is appropriately characterized as a sub-recipient relationship, only the first \$25,000 of expenses is subject to the OSU Facilities and Administrative (F&A) charge. Any remaining amount of the sub-award is not charged for F&A.

When a sponsored project is funded, the CEAT Research Administration post-award team is responsible for negotiating sub-awards and issuing them to the recipient entity.

Sub-recipients must comply with all terms and conditions of the prime award. The **PI is responsible for monitoring the sub-recipient for compliance** with award terms and conditions and for satisfactory performance of their portion of the project, including the completeness and acceptability of work performed, reasonableness of expenditures, and fulfillment of cost sharing commitments.

Sub-recipients are monitored using one, or a combination, of the following mechanisms:

- **Reporting:** PI reviews performance reports submitted by the sub-recipient.
- **Contact:** PI has regular contact with sub-recipients about program activities and progress.
- **Invoice Review:** Invoices are received and reviewed by the assigned Grant Manager. Invoices are approved by the PI and processed for payment by departmental administrators. If an invoice is not approved, the Grant Manager assists in resolution.

IN SHORT:

Sub-recipients are collaborating institutions that participate in carrying out a portion of a project and receive funding as a sub-award from the prime award.

Before submitting a proposal, determine whether the relationship with an outside provider is a sub-award or a vendor relationship.

The terms and conditions governing the relationship will differ depending on whether the provider is a sub-recipient or a vendor.

Only the first \$25,000 of a sub-award expense is subject to the OSU F&A charge.

Who to Contact:

Assigned Proposal
Development Specialist

Assigned Grant Manager

Effort Reporting

Effort reporting is the federally mandated process by which the salary charged to a sponsored project is certified as being reasonable in relation to the effort expended on the project. It applies to all sponsored projects.

Effort reporting involves the documentation of time spent by any employee funded by and working on a sponsored project. Effort reporting is the process used to substantiate all salary costs, either directly charged to sponsored projects or committed as cost-sharing. Effort is expressed as a percentage of the total amount of time spent on all work-related activities for which the University compensates the individual. If cost sharing applies—whether mandatory or voluntary—OSU is required to track the cost shared effort and certify that the campus has satisfied its commitment to the project.

Certifying Effort

An effort report must be certified for each employee whose salary (or portion thereof) is charged to a sponsored project and/or for any employee who has cost sharing commitments on the project.

PIs certify their own effort. The PI must also certify effort for other employees. The certifier must have firsthand knowledge of the work performed and the amount of effort expended on that project.

At OSU, effort reporting and certification is conducted monthly. In CEAT, a PI's departmental time and effort coordinator handles monthly time and effort certification.

IN SHORT:

Effort reporting is required on all sponsored projects.

Those who certify effort must have firsthand knowledge of the work performed and the amount of effort expended on the project.

Monthly time and effort certification is coordinated by staff in the PI's department.

Who to Contact:

PI's Departmental Time and Effort Coordinator

Understanding Award Terms and Conditions

It is critical to understand all funding source requirements and restrictions. If the **terms of an individual award are stricter than federal guidelines and University policy, they take precedence**. For example travel expenses are allowable under either, but may be specifically excluded or limited by your specific award.

At time of award, the PI's assigned Grant Manager will provide a summary of important terms and conditions to assist with award management.

Some important terms and conditions to be considered when managing an award include the following.

Budget

The **PI works with their Department Administrator to manage their project budget**. The budget must be managed in accordance with allowable costing principles. As the project progresses, the grant budget should be compared to actual expenditures on a regular basis.

Modest re-budgeting of funds may be allowable without prior approval of the sponsor. The award terms and conditions should be consulted before re-budgeting to ensure that prior approval is not required. Re-budgeting of more than 25-percent may represent a change of scope and require pre-approval from the sponsor. Significant re-budgeting of key personnel effort indicates a change in scope that requires pre-approval from the sponsor.

When prior approvals from the sponsor are needed for re-budgeting, changes in scope or in personnel, CEAT Research will submit the prior approval request to the sponsor on behalf of the PI.

Performance Period

Expenses (including cost sharing) *must* be incurred during the performance period of the award to be allowable, unless otherwise stated by the solicitation.

Pre-Approvals

Some agencies require pre-approval for certain types of expenses. For example, foreign travel may require sponsor approval as might the carry-forward of unspent funds remaining at the end of a budget period.

IN SHORT:

The terms of an individual award do not take precedence over federal guidelines and University policy unless they are more restrictive.

The PI and Department Administrator must each thoroughly understand what the agency expects in managing the project. These are spelled out, in detail, in the award terms and conditions.

CEAT Research assists PIs with award management by providing a summary of important award terms and conditions when the award is accepted.

Costs disallowed by the Office of Management and Budget or the University are never allowable, regardless of the award terms.

Every award should be reviewed for specific restrictions such as re-budgeting and unallowable expenses.

Who to Contact:

PI's Department Administrator

Assigned Grant Manager

Pre-Award Spending

Spending prior to receipt of an award is generally discouraged. However, there are situations where funding is delayed when the project is ready to commence. In these situations, PIs are encouraged to discuss their options with their Department Head and Grant Manager.

Post-Award Spending

Expenses incurred after the end of an award period are not allowable. If you have reason to believe you will not be able to complete a project by the end date of the project period, a request for a no cost extension should be submitted to the sponsor, if allowed, through CEAT Research. The award agreement may indicate a specific timeframe for submission of the no cost extension, and you must meet that timeline or the request may be denied.

Program Income

Program income is defined as gross income, earned by an award recipient that is directly generated by a supported activity or earned as a result of the award. Examples of program income include fees from services performed or registration fees for conferences sponsored by an award. Most federal agencies identify the method for accounting for program income in the award agreement or have regulations that address the default method for accounting for program income.

If program income is anticipated as part of a proposed project, it should be disclosed in the project proposal. If program income arises during the life of the award that was not anticipated at the proposal stage, the PI's Department Administrator and CEAT Research must be notified so that the proper method to account for the income can be established. All program income and related expenses must be reported to the sponsor agency along with the award financial activity.

Technical Reports and Final Reports

Required reports include:

Technical Reports

The PI is responsible for submitting all required technical reports to the sponsor, with a copy provided to the assigned CEAT Grant Manager. Report content requirements are spelled out in the award terms and conditions

Financial Reports

OSU Grants and Contracts Financial Administration (GCFA) is responsible for preparing financial reports required by the sponsor. In most instances, GCFA also submits the financial reports to the sponsor.

Final Invention Reports

Final invention reports are completed by GCFA with assistance from the PI. GCFA is also responsible for submitting final invention reports to the sponsor. The report describes any new technology developed with support from the award, whether or not it has been disclosed to the OSU Technology Development Center.

Equipment Inventory Report

The OSU Office of Asset Management prepares and submits equipment inventory reports which detail all material and equipment acquired under the award that has been identified and tagged.

IN SHORT:

Complete and accurate technical reporting per the reporting schedule associated with each award is the PI's responsibility.

Sponsors can and do suspend funding in cases where progress or final reports are not submitted in a timely fashion.

Check the sponsor's report formatting requirements and adjust your submission timing based on those requirements. Copies of reports, or report transmittal letters, should be forwarded to your CEAT Grant Manager.

CEAT Research accepts reports electronically via email.

Who to Contact:

Assigned Grant Manager

Intellectual Property

The Technology Development Center (TDC) at OSU assists faculty and staff members, administrators, and students with intellectual property (IP) issues resulting from their scholarly and creative activities. It exists to foster the creation of innovative technologies and to manage those technologies and other IP for the benefit of the University and the public.

The TDC is responsible for managing the IP assets of the University. In carrying out this mission, the purpose of the TDC is to:

- Assist faculty, staff, and students with the invention² disclosure process
- Review disclosures with inventors to learn about potential applications
- Perform technical and market assessments to evaluate the commercial prospects of an invention
- Work with patent counsel to assess patentability and to provide appropriate legal protection
- Recruit prospective licensees
- Negotiate licensing agreements
- Disburse royalty fees to colleges, departments, and inventors
- Advise inventors regarding germane policies and procedures, including conflict of interest
- Facilitate confidentiality agreements
- Review and assist with research collaboration agreements as needed
- Facilitate material transfer agreements for biological materials.

² Use of the word “invention” above includes software, multimedia, etc. Although a copyright would be required rather than a patent, the process is largely the same.

IN SHORT:

The Technology Development Center at OSU assists OSU employees with intellectual property issues resulting from their scholarly and creative activities.

Inventions developed during the course of a sponsored project must be disclosed to the TDC in a timely manner.

All license agreements for OSU intellectual property are handled through the TDC.

The TDC negotiates and processes all confidentiality agreements between OSU and external entities.

Who to Contact:
Technology Development Center
1201 South Innovation Way Dr.
405-744-6930
tdc@okstate.edu

Additional Info:
<http://tdc.okstate.edu>

Appendix A: Sponsored Project Processes Responsibility Charts

Proposal Development

| Activity | Responsible Party |
|---|--|
| 1. Review funding opportunity to: <ol style="list-style-type: none"> a. Identify submission requirements b. Identify special concerns (e.g. cost share, export control) | Principal Investigator (PI) Proposal Development Specialist (PDS) Proposal Editor and Writer |
| 2. Submit Proposal Request Form to CEAT Research (ceatresearch@okstate.edu) | PI |
| 3. Establish internal deadlines for: <ol style="list-style-type: none"> a. Routing the proposal for University approval b. Collection of final proposal documents from PI for submission to sponsor | PDS |
| 4. Prepare and circulate routing package <ol style="list-style-type: none"> a. Minimum: budget, budget justification, draft statement of work, and any agency documents | PDS PI |
| 5. Develop final proposal narrative and supplemental documents | PI Proposal Editor and Writer |
| 6. Complete proposal application and submit final proposal to sponsor | PDS |

Award Set-Up

| Activity | Responsible Party |
|---|---------------------|
| 1. Receive award notification | Grant Manager PI |
| 2. Review award document <ol style="list-style-type: none"> a. Consult with PI b. Identify any special concerns | Grant Manager |
| 3. Negotiate award, including subawards to other entities | Grant Manager |
| 4. Route award | Grant Manager |
| 5. Obtain account numbers, including cost share | Grant Manager |
| 6. Distribute account numbers and award information | Grant Manager |

Award Management

| Activity | Responsible Party |
|---|--|
| 1. Monitor expenditures, including cost share | PI Department |
| 2. Certify time and effort | PI Department |
| 3. Ensure compliance with award requirements | PI |
| 4. Submit technical reports to sponsor | PI |
| 5. Obtain prior approvals from sponsor | Grant Manager |
| 6. Submit invoices and financial reports | Grants and Contracts Financial Administration |

Appendix B: CEAT Proposal Development and Routing FAQ

This FAQ is designed to provide CEAT researchers with proposal development and routing guidance. If you have any questions that are not addressed here, please contact ceatresearch@okstate.edu for assistance.

Q. I'm thinking about submitting a proposal. Who do I need to contact?

A. Your first step is completing a Proposal Request Form. This form is located at <https://ceat.okstate.edu/research/pre-award-services.html>. Submit your completed Proposal Request Form to us at ceatresearch@okstate.edu. Providing as much detail as possible will facilitate the proposal process.

You must submit the Proposal Request Form at least 14 working days before the proposal submission deadline.

Q. What happens after I submit my Proposal Request Form?

A. Using the information you provided on the Proposal Request Form, the assigned CEAT Proposal Development Specialist (PDS) will:

- Review the proposal solicitation
- Identify any special submission requirements or concerns
- Develop a proposal budget for your review and input
- Identify the proposal components you need to prepare and provide to CEAT Research Administration for the proposal submission
- Set an internal timeline for routing the proposal and assembling the final proposal documents for submission to the sponsor
- Make contact with your project collaborators (both internal and external) to obtain necessary proposal documents
- Route the proposal for department, college, and University approval
- Submit the final proposal to the sponsor on your behalf

Q. What is the typical timeline for the proposal development and submission process?

- 14 working days before the submission deadline: PI submits Proposal Request Form to ceatresearch@okstate.edu.
- 9 working days before the submission deadline: PI submits final routing documents to assigned PDS.
- 7 working days before the submission deadline: all routing documents are finalized and begin the routing process.
- 2 working days before the submission deadline: PI submits final proposal components to assigned PDS.

The PDS completes the proposal requirements per the RFP and has the PI verify that the proposal is ready for submission. Upon PI final approval, the proposal is submitted to the sponsor by the PDS.

Proposals with cost share, multiple colleges or departments, and collaborators need more than 14 working days' notice.

If a PI is unable to meet these deadlines, a PDS will continue to work on the proposal only on an "as able" basis. The chance for a late or failed submission increases.

Q. The funding opportunity I'm interested in requires cost share or match. Do I need to worry about cost share at the proposal stage?

A. Yes. Required cost share for any proposal must be approved by the CEAT Associate Dean for Research and occasionally by the Vice President for Research before a proposal can be submitted to a sponsor.

Identifying and securing required cost share adds time to the proposal development process.

Voluntary cost share is not permitted under OSU policy and may not be included in proposals.

Q. What proposal documents are needed to begin the routing process?

A. To route a proposal, the following items are needed:

- Final proposal budget, both internal and agency formats
- Final proposal budget justification or narrative
- Draft statement of work or abstract
- Letter(s) of commitment, if applicable
- Subcontractor documents, if applicable
- Equipment quote(s), if applicable

Some funding agencies require a signature from an authorized institutional official on special forms. The assigned PDS will assist you with preparing these special forms and will obtain the required signatures.

Q. How long does the routing process usually take?

A. Generally, five (5) working days are needed to route a proposal for University approval.

Proposals involving OSU-Tulsa faculty, other departments or colleges, or proposals that require review by campus administration offices (such as University Compliance), require additional routing time.

Q. What happens if the routing isn't started five (5) working days in advance of the submission deadline?

A. When a proposal is routed less than five (5) working days before the submission deadline, the proposal is marked "RUSH" or "WALK-THRU."

"RUSH" or "WALK-THRU" routings are inefficient, stressful for the people involved, and susceptible to mistakes which could jeopardize the success of the proposal.

CEAT Research will route "RUSH" proposal requests on an "as able" basis, but on-time proposals will take priority.

- Q. I'm planning to submit a subcontract proposal to another University or industrial sponsor. Do subcontract proposals need to be routed?
- A. Yes. Subcontract proposals are treated like any other proposal. Submit a Proposal Request Form for your subcontract proposal at least 14 working days prior to the deadline established by the primary submitting organization to begin the proposal development process.
- Q. I'm planning to submit a preproposal, white paper, letter of intent, or concept paper. Do these need to be routed?
- A. If these documents are not being submitted in lieu of a formal proposal, and do not include a detailed budget, cost sharing commitment, or otherwise bind the University, they usually do not need to be routed. Contact ceatresearch@okstate.edu any time you plan to submit one of these types of documents. We will help you determine if a routing is required.
- Q. Can I submit my preproposal, white paper, letter of intent, or concept paper by myself if it does not require a budget and does not have cost share and does not need authorized institutional approval?
- A. Some funding agencies, as in the case of the National Science Foundation, require the institution to make these submissions. Contact ceatresearch@okstate.edu for guidance before submission.
- Q. How should I submit to a limited submission proposal?
- A. Some funding programs accept a limited number of proposals from an institution. In these instances, University Research Services announces an internal competition to determine which proposal(s) will be submitted for consideration to the sponsor.
- Typically, OURS will send an email call requesting letters of intent from PIs to assess the number of interested applicants, and then coordinate an internal competition.
- Letters of intent for limited submissions should be sent to Jennifer Stephens (limitedsubmissions@okstate.edu) with cc: to ceatresearch@okstate.edu.
- Q. What is the difference between a letter of support and a letter of commitment?
- A. Letters of support are similar to letters of recommendation for the PI. Some funding programs require these types of letters. If the solicitation does not specifically require them, they should not be included in the application. Letters of support are signed by the individual making the recommendation.
- Letters of commitment are a promise to provide resources (either from the University or other source) to successfully complete a project. The resources committed in these letters should be verifiable and trackable if the project is funded. A letter of commitment is included in each subcontract proposal provided by the University to another organization, and are signed by the Vice President for Research.
- Q. The solicitation requires a support letter from the University. How do I obtain this letter?

- A. Required support letters are drafted by the PI and reviewed by the Department Head. Pam Reynolds, CEAT Research Proposal Editor and Writer (4-1401) is available to review these for content and grammar, if desired.

Once the letter is finalized, it will be included in the routing for the Vice President for Research to sign. Any letter that pledges or commits Oklahoma State University resources is signed by the VPR.

- Q. I don't have a username and password for the funding agency's application system. How do I acquire them?

- A. OURS is responsible for initiating usernames and passwords for most agency proposal application systems. Consult the appropriate agency user instructions at <https://research.okstate.edu/urs/era.html>. If you do not find the funding entity you are looking for, email ceatresearch@okstate.edu for assistance.

If you change your username and password for a proposal application system, please email ceatresearch@okstate.edu. We can provide you with more efficient service if we can directly access your proposal application.

Our goal at CEAT Research Administration is to make your proposal successful. Please communicate your plan to submit a proposal to ceatresearch@okstate.edu early. We have the tools and expertise to make the proposal development and submission process as efficient for you as possible.

Appendix C: Avoiding Unintentional Cost Sharing

Normally, cost sharing is stated in the budget. However, cost sharing commitments can be stated in the budget explanation or justification or in the text of the narrative. No matter where cost sharing commitments are found within the proposal, *statements of cost sharing commitment are legally binding on the institution should the proposal be funded, even when not required by the sponsor.*

By using language in proposals that cites percentage of time, salaries, or specific levels of support, PIs can commit to cost sharing, often unintentionally. In all instances where cost sharing is specified and quantified, the PI and University are obligated to account for and track these commitments along with funds awarded by the sponsor.³

Examples of Suggested Language

The examples below may be used in proposals to address the issue of academic or programmatic contributions or support without creating a contractual and auditable commitment to cost sharing.

- “The College of Engineering, Architecture, and Technology at Oklahoma State University fully supports the academic year salaries of Professors, Associate Professors, and Assistant Professors, but makes no specific commitment of time or salary to this particular project.”
- “Professor X will be providing expert advice and consultation to the project, as needed.”
- “The University demonstrates support to the project through the availability and expertise of the PI.”
- “Professor X is PI and requests 25-percent salary support for this project. She will provide additional support to the project as needed.”
- “Professor X will direct all research activities associated with the project [specify...]”
- “Professor X will oversee [all aspects of] the project.”
- “Dr. Y will participate in the project at every stage [specify...]”
- “Professor X will provide scientific direction and supervision for the project [including...]”
- “Professor X will have significant involvement throughout the project. She will provide expert advice and consultation on all aspects of the research.”
- “Professor X’s laboratory is 800 square feet. She also has access to the departmental [equipment name] that is beneficial to the research.”
- “The University demonstrates support to the multistage project through the availability and expertise of the PI.”
- “Dr. Y will be integrally involved in the project. He will have access to equipment that will ensure the successful execution of the proposed research and he will see the data analysis and report writing through to completion.”
- “The PI will have access to additional resources, such as [equipment name], to ensure the successful execution of this scope of work.”
- “No salary support is being requested for Professor X; however, she will provide intellectual direction for the project, will have direct and significant involvement throughout the project, and will co-author publications.”

³ Courtesy of UC Berkeley Sponsored Programs Office

Examples of Inappropriate Language

- “As a faculty member at a state-supported institution of higher education, Dr. Y’s salary is paid by the State of Oklahoma; he will devote 25-percent effort toward this project.”
- “The College of Engineering, Architecture, and Technology at Oklahoma State University is highly supportive of this project and agrees to be responsible for the salary of the PI for its duration.”
- “Effort equivalent to \$XX,XXX in salary and benefits will be provided by Professor X.”
- “Professor X will devote 20-percent of her time to the project at no cost to the sponsor.”
- “Dr. Y is PI and will devote 40-percent effort (30-percent salary support requested) to the project.”
- “The department will purchase a [equipment name] (cost \$XX,XXX) for exclusive use in support of Professor X’s project.”
- “The University demonstrates support and will contribute to the multistage project through partial salary for the PI.”
- “Dr. Y will contribute a week of field work and the time required for data analysis and report writing, and he will supply all equipment.”
- “The PI will be contributing funds from other sources for use of [equipment name] to ensure that this scope of work can be performed on the proposed budget.”
- “Professor X will provide intellectual direction of the project and co-author publications. Her time (5-percent effort) will be contributed by the College.”

“Red Flag” Terms

- Cost sharing
- Sharing
- Matching
- In-kind
- Donate
- Commit percent or funds
- Allocate percent or funds
- Exclusive use
- Volunteer
- Support at no cost
- Contribute

Appendix D: Sample Routing Sheet

OKLAHOMA STATE UNIVERSITY Routing Sheet

Part 1 Date _____
 Routing Action _____
 Source of Funding _____
 Flow-Thru Funding Source _____
 Amount Requested \$ _____
 Amount Awarded \$ _____
 COM/FC # _____

Requires Official Signature # to be signed _____ Primary Routing # _____
 Requires Notarization _____ Other Routing #'s _____
 Requires Other Signature Who _____
 Prepared by: _____ PH # _____ DATE NEEDED BY _____

Begin Date _____ End Date _____
 Project Title _____

Sponsor Name _____ Reference # _____
 Project # _____ CFDA # _____ Research Type: Applied Basic Developmental Reset /NA (Required for IS routings.)

Part 2 Financial Information (Attach documentation as necessary.)

Cost Share Details/Documentation Waived F&A Documentation VPR Cost Share Form
 Is recovery of F&A limited: _____ If "yes", % allowed: _____
 Amt & % F&A WAIVED \$ _____ % _____
 Amt & % F&A RECEIVED \$ _____ % _____
 Is Subcontractor(s) requested: _____ If "yes", \$ _____
 Equipment budgeted: Sponsor \$ _____ OSU \$ _____
 GRA Tuition: _____ Amount \$: _____
 Other F&A exempt costs: _____ If "yes", \$: _____
 Are there CAS exceptions: _____
 COST SHARE: Is Cost Sharing required: _____ If "yes", what % _____
 Third Party Cost Share: _____ If "yes", \$: _____
 VPR Cost Share REQUESTED _____ If "yes", attach required form.
 Total Direct Cost Share: _____
 F&A on Direct Cost Share: _____
 Sponsor Waived F&A: _____
 TOTAL COST SHARE: _____
 Cost Share FOAPAL # (s): _____

Part 3 Compliance Information (PI must complete all applicable questions.)

No Yes Human Subjects Expires on _____ IRB # _____
 No Yes Animal Use Expires on _____ IACUC# _____
 No Yes Recombinant DNA Expires on _____ IBC# _____
 No Yes Infectious Agents, Toxins, Prions Expires on _____ IBC# _____
 No Yes Radioactive Materials/ X-ray Devices Approved _____ Appl# _____
 No Yes Laser Safety Inspection (Class 3b & 4) Approved _____ Address _____
 No Yes Does sponsor reference FISMA or FISMA-like language or CUI?
 No Yes Can this funding be linked back to EPSCoR \$\$\$ - directly or indirectly?
 No Yes Will this project need resources from the HPCC?
 No Yes Involves CLASSIFIED information:
 No Yes Space is available for this project: Where _____ Rm# _____
 No Yes Are space alterations requested?
 No Yes Have EAR/ITAR regs been reviewed? Export Control Review Form Attached
 No Yes Do you or will you have foreign nationals involved with your research?
 No Yes International travel? If "yes", where: _____
 Is this an SBIR/STTR project: Neither SBIR STTR
 Is there confidential information: None In Out Both
 Has Conf. Agreement/NDA been signed? No Pending Yes Date Signed: _____
 Has an MTA been signed? No Pending Yes Date Signed: _____
 Financial Conflict of Interest filed: Date _____ Updates/Changes? No Yes
 Does a conflict exist? No Yes If "yes", : Pending OR Resolved Certified for NIH
 Is OSU Faculty/AMP Overload pay requested: _____
 If "yes", APPROVED BY: Provost & St. Vice President _____

Part 4 Comments & Special Information: Specify reasons and/or purpose for routing to include budget changes, no cost extension, change in personnel.

Part 5 Approvals: Signatures acknowledge that the proposal is consistent with department/division/university policy & objectives, that all parties' commitments to the project are noted and approved. Principal Investigator/Co-PIs acknowledge all compliance requirements have been met. Additional Investigators & Approvals Attached

PI's Department/School _____ Address _____ Org. Code _____
 Principal Investigator _____ Date _____ Research Compliance _____ Date _____
 Department Head _____ Date _____ Director of GCFA _____ Date _____
 Dean and/or Director _____ Date _____ Vice President for Research _____ Date _____

Research Services Received Compliance Received GCFA Received VPR Received Version 2.0 (11-17) PAGE 1 of _____

Appendix E: Checking for Common Problems

Listed below are some common problems reviewers cite when evaluating proposals. Many of these deficiencies can be avoided by allowing ample time for proposal preparation.

- Poorly designed technical plan
- Insufficient capability of investigators
- Unrealistic budgets, no justification or explanation provided
- Proposal does not meet agency requirements
- Lack of resources to conduct research—either in personnel or equipment
- Proposal is not clear, coherent, or complete
- Time estimate is unrealistic
- Statement of objectives are weak and undefined
- No rationale for consultants named, no evidence consultants have agreed to serve
- Overall design of the study has not been carefully thought out
- Current grants to the PI are adequate to cover the proposed research
- Applicants are not familiar with pertinent literature
- Problems to be investigated are more complex than the applicant realizes

A summary of comments made by two senior professors regarding tips on preparing successful proposals is shown below:

- Always meet the specifications regarding page limits, dollar limits, etc., contained in the program solicitation. In many instances, proposals will be disqualified summarily if they do not adhere to these guidelines.
- Provide in the proposal a concise description of the proposed work. Let the reviewer know in a few paragraphs at most specifically what is proposed in the work.
- Make sure the reviewer understands where successful completion of the project will lead in terms of the state of the science, especially as it pertains to the mission of the sponsoring agency.
- Provide a concise review of pertinent work in the area to demonstrate your awareness of the current state of the art.
- Give some examples of specific systems or cases or models to be studied in the work.
- For panel reviewed material, be sure to give all critical information within the proposal—don't simply cite references to your previous work in the area, since the reviewer is unlikely to take the time to investigate literature when she may have a large number of proposals to review. In no instance should important information receive only a citation in unpublished (in press or accepted) work or obscure references that cannot be quickly located.
- In program solicitations where there are sub-categories under this same solicitation, give careful thought to the relative competition that may exist in the different sub-categories. For instance, at a previous DOE meeting, some sub-categories had as few as four proposals, while others had as many as eighteen. By shifting an idea from one category to another, you may be able to substantially reduce your competition.
- Do not over-promise regarding accomplishments; more is not necessarily better. Be realistic.

- Avoid resumes given in “narrative” form. A concise resume with recent (or pertinent) references only, plus total number of publications, is preferred.
- Since panel reviewers are assigned many proposals, they may be looking for reasons to eliminate proposals. Do not give them a reason to do so. Adhere closely to the suggested format of the program solicitation. Do not be too verbose in your writing.
- Be sure to tailor your discussion to the mission of the sponsoring agency. For example, the DOE panel was for research to coal science. Some excellent proposals (in terms of scientific discovery) were eliminated because they showed no clear midterm applicability to the engineering of coal fluid systems.
- No matter how good you are or how well you are known, you must thoroughly justify your ideas. In the current strong competition for funding, you will not be rewarded based on your reputation alone. Outstanding people were eliminated for providing inadequate details regarding their proposed work and its relevance to the program.
- The DOE panel in previous examples had approximately 300 proposals, with fewer than 10-percent to be funded.

Appendix F: Proposal Checklist

A checklist for PIs is provided below to ensure that the proposal process is complete.⁴

Proposal Development

- Locate and read sponsor guidelines for award.
- Discuss project with Department Head.
- Locate and communicate with potential cost share sources, if required.
- Email Proposal Request Form to ceatresearch@okstate.edu.
- Prepare budget, budget justification, statement of work, and any other forms necessary for routing according to University policy, at least **six (6) days in advance** of submission deadline.
- Continue to compose remaining documents necessary for submission to sponsor.

Proposal Routing

- Check routing package, complete Part 3 and sign routing sheet, and sign any other documents indicated. Paper routing packages are delivered to Department front desks.
- Obtain Department Head signature.
- Be available to answer questions or make corrections received from University Research Services during the routing process, communicated by PDS.
- Receive notification from PDS that routing process is complete.

Proposal Submission

- Check proposal documents thoroughly for completeness and correction.
- Deliver all final submission documents to PDS according to established timeline (usually **at least 24 hours in advance** of submission deadline).
- Receive and review final submission package from PDS via email.
- Confirm final submission package to PDS.
- Receive submission confirmation from PDS.

⁴ At any point in this process, the PI should feel able to contact his or her PDS via email, phone, or otherwise during normal business hours (8 a.m. – 12 p.m., and 1 p.m. – 5 p.m.). PIs may also email ceatresearch@okstate.edu, or directly email the Research Administration Operations Manager or CEAT Associate Dean for Research at any time.

Appendix G: Glossary of Terms

Accountable Equipment For most federal grant purposes, accountable equipment means nonexpendable personal property (tangible personal property) having an acquisition cost of \$5,000 or more and an expected service life of two years or more. For University purposes, accountable equipment has an acquisition cost of \$5,000 or more and a useful life of five or more years.

Allowable Costs Those costs “allowed” under the requirements of University policy, State Law, and the terms of the granting agency.

Augmentation Application A requirement of additional funds for a project previously awarded funds in the same funding/project period, yet the project’s scope and budget remain unchanged.

Budget The plan for expenditure of funds required for a project or activity.

Budget Period The interval of time (usually 12 months) into which the grant period is divided for budgeting and reporting purposes. OSU’s budget period is the fiscal year beginning July 1 and ending June 30.

Closeout of Grant The process by which a federal sponsoring agency determines that all applicable administrative actions and all required work of the grant have been completed by the recipient and the sponsoring agency.

Consultation A person, generally outside the grantee organization, employed by OSU on a service/fee basis for the purpose of obtaining professional or technical advice.

Continuation Application A request for an extension of an additional funding/budget period for a project the agency initially agreed to fund for a definite number of years.

Contract A legal agreement between an individual, group, or institution enforceable by law. A contract defines the terms, conditions, and period of performance in relation to a specific project and also sets forth the terms under which payment will be rendered in return for satisfactory project accomplishment. In the past, contracts were not common to the University, but today they are becoming commonplace, and several agencies use them as their preferred modus operandi. The following is a listing of common contract types:

Cost Plus Fixed Fee Fee earned on the initial estimate of the work’s scope; cost overruns are reimbursed with no additional fee.

Cost Plus Incentive Fee Similar to a cost reimbursement contract with the fee based on estimated post-project savings to the sponsored agency.

Cost Plus Sliding Fee Similar to a cost reimbursement contract with the fee based on the difference between the actual and initially estimated project costs.

Cost Reimbursement A contract based on actual costs not to exceed an upper limit. This is on a negotiated basis and subject to post-project audit; direct project expenses charged at cost.

Fixed Price A set sum of money for a fixed scope of work, payable in installments or as a lump sum at the conclusion of a project.

Time and Material A fixed daily or hourly rate for each staff member with direct project expenses charged at cost; periodic payments in accordance with progress.

Cost Sharing The percentage of the total project costs that the University is required to contribute toward some research projects. The amount required varies with the agencies involved.

Direct Costs Expenses which are directly attributable to a project or program. Direct costs typically include staff labor, travel, per diem, communication, reproduction, printing, and equipment supply items procured directly for the project.

Dissemination The means by which the grantee distributes and makes public the results of the research effort, generally through papers, film, tapes, conferences, and project reports.

Domestic Travel Travel performed within the United States. You must check the awarding agency's definition of foreign travel.

Encumbrances Financial obligations incurred in the form of orders, contracts, and similar items that will become payable when goods are delivered or services rendered. This term is synonymous with commitments.

Evaluation A process for posing value questions and collecting information of importance to decision-makers responsible for the project. The techniques are much like those employed in research, requiring a system, but the goal is specific information about the value or progress of the project. The following is a list of evaluation types:

External Evaluation An evaluation conducted by a person or persons who are not members of the project staff and can provide an objective, outside view. In many instances, a mandatory or integral part of a funded program.

Formative Evaluation Evaluation conducted by members of the project staff.

Summative Evaluation A final evaluation intended to give an overall appraisal of the program or product at its conclusion.

Excess Property Equipment and materials with a useful life, which are no longer required by the holding federal agency.

Expendable Equipment Equipment and supplies that are not permanent in nature such as films, office, and laboratory supplies.

Expiration Date The date specified in the grant letter after which expenditures may not be charged against the grant.

Facilities and Administration Costs (F&A) See Indirect Costs.

Fellowship Award A grant made to an individual to support scholarship, research, or specific training which will enhance that individual's level of competence in a particular field of study.

Foreign Travel Travel outside of the United States. Travel within the United States enroute to or returning from a foreign destination is considered foreign travel.

Fringe Benefits Employee benefits such as insurance and retirement that are over and above salary and that increase the monetary value of employment.

General Purpose Equipment All items of equipment that are usable for other than research, medical, or specialized scientific or technical activities, whether or not special modifications are needed to make them suitable for use on a project. Included are such items as office equipment and furnishings, computing and automatic data processing devices and equipment, reproduction equipment, refrigerators, portable heating and cooling units, vehicles, and cameras. General purpose equipment does not lose this characterization merely because of the scientific or technical purpose for which it is purchased or the location where it is used. All general purpose equipment on federal projects require written prior approval of awarding agency.

Grant An agreement by an agency to award and by the grantee (or individual) to accept and use funds to support an identified activity. Ordinarily, this agreement is based upon a proposal and contains a minimum of expressed conditions binding the grantee and/or the individual. Grants are normally made for one to three year periods; quite often stipulation for an additional year is made upon the contingency of the availability of funds. Grants may be revoked, in whole or in part, at any time after consultation with the grantee and the principal investigator. A grant is a legal binding document.

Grantee The institution or individual to whom the grant is made.

Grant-Related Income All income generated by activities of the grant such as the sale of products or services, conference registration fees, etc.

Indirect Costs Expenses of the University (University overhead) which cannot be readily charged to individual projects except through assessment on a percentage basis. These costs typically include maintenance of physical facilities, library services, administrative services, and so forth. In general, indirect costs involve the costs necessary for the development and maintenance of an environment conducive to research.

Post-Grant Costs Costs incurred after the expiration of the grant. Post-grant costs are unallowable as direct expenses to the grant.

Pre-Award Costs Costs incurred prior to the effective date or beginning budget period for a grant. Pre-award costs are unallowable as direct costs without prior approval from the agency.

Preproposal An informal document that describes a rationale for a project and explains why a proposal should be requested. The preproposal is an introduction of the idea to a prospective agency before the submission of a formal proposal.

Principal Investigator The individual designated by the grantee and approved by the sponsoring agency to direct the project or program being supported by the grant, contract, or other agreement.

Prior Approval Written permission from the granting agency, the contracting agency or the University in advance of certain changes or inclusions in the proposal or project.

Project Period The total time for which support of a project has been approved. This may include more than one budget period.

Project Reports Interim or technical reports on the progress or the achievement of the goals of a sponsored project. These are prepared and submitted to the sponsoring agency by the Principal Investigator.

Proposal A formal document that describes what accomplishments the applicant promises to achieve in return for the investment of the sponsor's funds.

Renewal Application A request for an extension of any additional funding/budget period for a project having no project completion date but for which support must be renewed each year.

Research-Specific Equipment All items of equipment that generally are usable only for research, medical, scientific, or technical activities. Included are such items as microscopes, centrifuges, spectrophotometers, scintillation counters, etc.

Appendix H: Routing Matrix

| Routing Type** | Routing Purpose** | Approvals & Signatures Required |
|---------------------------------|--|-----------------------------------|
| New Proposal | | Normal, full routing procedure |
| Proposal Modification | Change in budget due to error, PI request, or agency request | PI & GCFA prior to submission |
| | Prior to award to show difference between proposed amount and anticipated award amount | No routing necessary |
| New Award | | Normal, full routing procedure |
| Award Modification | Adding additional funds | PI & GCFA |
| | Release of out-year funds | PI & GCFA (Compliance, if needed) |
| | Change of PI | Normal, full routing procedure |
| | No cost extension | PI & GCFA (Compliance, if needed) |
| | Change of program officer(s) | PI & GCFA |
| | Change of funder address | PI & GCFA |
| | Zero out fund code | PI & GCFA |
| | Non-competitive renewal | Normal, full routing procedure |
| | Budget modification requiring agency approval | PI & GCFA |
| Subaward Out | | PI, GCFA, & VPR |
| Non-financial Agreements | | No routing necessary |

All routings will continue to stop at University Research Services (OURS) between CEAT and central offices.