Preface

This handbook provides information and serves as a resource and as a guide to assist faculty and staff in developing fundable proposals. Information on policies and procedures and various forms which will be essential in your research endeavors are also available in this handbook.

The Office of Sponsored Programs (OSP) serves as the initial point of contact for all proposals and sponsored projects excluding (Title III programs which are handled through the Title III Office and private corporate foundation/gifts handled through the Office of Development).

All proposals (in final form) must be submitted to the OSP (5 working days) prior to the agency deadline. **It is the responsibility of the OSP to obtain the signature(s) of the President (or his designee), Provost and the Vice President of Business and Finance (if necessary) on all proposals and contracts.**

This handbook is provided in loose-leaf binder format in order to build in the flexibility to accommodate changes in guidelines and policies and to address problems of particular significance as they arise. This is a living document that will be updated as needed based on federal and university policies. New and/or replacement pages will be distributed for inclusion in the handbook. Updates to all policies and procedures and specific forms are available on the OSP website.

**Dr. John N. Austin**

**Associate Vice President for Research and Sponsored Programs**
Faculty Member presents the proposal to the Dean

Yes

Dean’s Approval

No

Faculty Member Submits Proposal Submission Response Form online & a copy of the Agency’s proposal guidelines to OSP

Faculty Member submits final proposal/Application

OSP reviews proposal for compliance and budget concerns

Concerns?

Present proposal to President for approval

Proposal returned to the PI for revision and/or clarification

Approved?

No

Yes

Notification of Award (NOA) sent to stakeholders

Award letter received by OSP

Proposal sent back to PI

Sponsoring Agency Approves?

Sponsering Agency Approves?

Proposal returned to the PI for revision and/or clarification

SPOC/RA

OSP returns package to the PI for mailing the hardcopy or Submission by OSP electronically

Proposal package returned to OSP

-Principal Investigator -Restricted Accounting (RA) - Single Point of Contact (SPOC)

Proposed budget

RA assigns and releases the budget number to OSP

Stakeholder participate in post award conference with OSP & RA

PI signs off on post award review

PI gets budget number

PI begins project management which continues to project conclusion

Call OSP for close-out Conference

Budget changed from initial proposal – revise and communicate with OSP, SPOC and RA
Definition of Sponsored Programs

Sponsored programs are those projects and/or activities which are originated and conducted by members of the faculty or, in some instances, by staff members. Such programs are supported wholly or in part by external restricted funds awarded to the University.

The Office of Sponsored Programs is a support structure and seeks to assist faculty members in a variety of ways - identifying funding sources; assisting with proposal/budget review and processing, which includes pre- and post-award administration of a grant or contract; and proposal submissions. In addition, the OSP is an advocate for a campus environment that is conducive to the research enterprise, and advises the administration on matters of regulatory compliance, internal sponsorship of scholarly activities and other related issues.

The Office of Sponsored Programs is the primary mechanism for providing direct assistance to faculty and staff in identifying appropriate sources for external funds of sponsored projects and programs. Sponsored programs usually include a line-item budget which states the monetary needs of the project. This budget may or may not include indirect costs which is calculated based on the university’s negotiated indirect costs agreement. The absence of indirect costs in a line item-budget does not preclude the project from being designated as a sponsored program. The following is a partial list of the types of proposals handled by the office.

- Research projects
- Research contracts
- Training
- Equipment for designated research
- General curriculum development
- Graduate fellowships and traineeships
- Proposals that deliver programs, execute and manage specific projects (summer programs, demonstration projects, etc.)

In general, sponsored activities should be directly related to the three-fold mission of the institution: **research, teaching and service.** Other support such as competitive or formula funds awarded to some other areas, but restrictive in nature, are also included.

**External monies for sponsored activities are awarded to the PI based on their research credentials** (the award follows the PI if they
should transfer to another university), although one or more faculty members may be identified as the program director or principal investigator.

Sponsored Programs differ from gifts and donations in two ways: gifts are donative in nature, bestowed voluntarily and without expectation of any tangible compensation, product or outcome. While certain private grants may be considered gifts, these differ from sponsored programs in that the level of accountability imposed by the donor in the use of the gift is limited and usually does not require extensive technical or fiscal reporting.

Philanthropic gifts and grants from the private sector are coordinated closely in order to avoid multiple/competing solicitations from the same source.

| Solicitations of grants and contracts for sponsored activities must be processed through the Office of Sponsored Programs to ensure that the proper guidelines have been followed and the proper university approvals have been obtained prior to submission of the proposal to a sponsoring agency. |

**OSP Staff**

The Staff members in the Office of Sponsored Programs (OSP) assist University faculty and staff with all phases of pre-proposal preparation and submission, including:

1. identification of potential funding sources;
2. pre-submission procedures;
3. internal review, routing, and approval; and
4. timely submission to the agency.

The OSP has a staff of seven: an Associate Vice President for Research and OSP, Associate Director, Research Administrator, Compliance Officer, Contract Specialist, Grants Accounting Administrator and a Senior Secretary. Individuals are encouraged to contact the Office of Sponsored Programs when first considering external funding for research or training projects. A “Faculty Proposal Submission Response Form” is required from all faculty and/or staff.
looking to submit proposals and/or contracts. The OSP supports the University’s resource acquisition practices in the following areas.

(a) assists with pre- and post-award activities related to the application and the administration of grants and contracts;

(b) identifies and assists administrators with developing institutional policies to conform with federal and other sponsor requirements;

(c) identifies new and innovative methods of obtaining support for institutional activities;

(d) assists in the reviewing and proofing of narratives, proposed budgets, compliance and support documents and certifications such as Civil Rights requirements, animal use, research misconduct and human subjects research, etc. The Office of Sponsored Programs staff cannot write proposals for faculty and staff.

(e) assists the PI in applications which are approved but not funded, returned, or disapproved, to determine what the weaknesses are and how best the weakness might be overcome through preparation of a revised application for resubmission;

(f) monitors the activities on projects to insure that (1) appropriate progress is being made on the sponsored projects, (2) issues are resolved appropriately and in a timely matter, and (3) funding agencies are being contacted when appropriate;

(g) assures that all reporting requirements are adhered to by the institution and the PI, including financial status reports, technical reports. Time and effort reporting as well as any other reports as required in the agency’s special terms and conditions.

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**The Principal Investigator (PI)**

The individual responsible for conceiving and enacting a project is known as the principal investigator/program director. **When this individual takes on the task of preparing a proposal for submission to an outside source, he or she agrees to manage the ensuing grant or contract in compliance with the terms conditions, and policies of both the sponsor and the University.**
Only the principal investigator should be named to delineate clear lines of responsibility for project management. In some instances, a colleague central to the project may be named co-principal investigator or be given another appropriate title.

**The principal investigator must be a member of the full-time faculty, professional, or senior staff, or be an administrative officer of the University.** Depending on the nature of the proposal, individuals with other university appointments may serve as principal investigators. Naming an individual in the proposal who is not an employee of the University does not commit the institution to employing that individual.

Unless otherwise indicated in the proposal, principal investigators are expected to be in residence at the University during the period of project operation. Principal investigators seeking a leave of absence during this period must obtain written authorization from the sponsor through the Office of Sponsored Programs.

All sponsored projects that utilize campus facilities such as laboratories, classrooms, etc.; involve human subjects, animals, radioactive materials, toxic or hazardous substance; involve any other faculty, staff or graduate students as part of the project budget; or in any way affect the University, must comply with university regulations.

All sponsored program requests must be submitted through the OSP for university review and approval. Likewise, individual awards using university facilities are subject to university review and approval.

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**Conflicts of Interest**

Conflicts of interest arise when employees use or appear to use their positions with the University for personal gain at the expense of the University. Members of the University faculty and staff must avoid such conflicts of interest. All faculty and staff members are encouraged and advised to review the University’s policy on Conflict of Interest. The University’s Conflict of Interest policy and Disclosure Forms can be found in Appendix F. The [Conflict of Interest policy](#) (with forms) can also be accessed at the OSP website.
Funding Sources

The identification of potential funding sources for a research, training, or technical assistance project is the first step in designing a funding strategy. The OSP provides a number of valuable services to faculty at this stage of securing outside support.

OSP maintains a resource center, which is a library of resource materials on private, state and federal sponsors (numerous bulletins, newsletters, subscriptions, including the Sponsored Programs Information Network (SPIN). Some of the documents and periodicals available for your review include: Clinical Trials Administrator, Research Activities (HHS), Education Week, Grants and Funding for Higher Education, and Report on Research Compliance are received regularly and are available for review. Faculty may visit the OSP to browse through the resource center located in Building 502, or complete the Funding Opportunity Request Form. Searches for various programs can also be executed through grants.gov or the sponsoring agency’s portal directly. The OSP staff will forward opportunities to the appropriate faculty/staff via university email.

After a library review or computer search, faculty will be prepared to choose one or more sponsors from whom they may wish to request financial support. Program descriptions, guidelines, and applications are available on-line through federal and state agency websites or through Grants.gov. Call or email the OSP staff for any assistance you may need.

Institutional Data

The Office of Strategic Planning and Institutional Research will assist faculty and staff engaged in research studies with grants from foundations and governmental agencies (federal, state and local) with university data.

Funding Opportunity Request Form

Individuals interested in conducting sponsored research, training, or technical assistance projects are advised to visit OSP to discuss their interest. A Funding Opportunity Request Form should be completed and returned to the OSP. This questionnaire will provide information about interest and/or expertise in sponsored projects. The form will provide an opportunity to inform OSP that faculty members have a specific sponsor or approach in mind. The OSP can then provide information on funding opportunities in their areas of interest as these opportunities arise.
Special Types of Funding

Intergovernmental Personnel Assignment Agreements (IPAs): Under the revised Intergovernmental Personnel Act (IPA) mobility program regulations (5CFR part 334) effective May 29, 1997; university faculty and staff may arrange to work with government agencies on a temporary basis, or federal government employees may come to work at the University under an IPA arrangement. Such individuals serving in a faculty capacity are subject to the same appointment processes as other individuals being considered for faculty status. In all cases, department chairs and university Deans must be consulted to determine the impact of proposed IPA arrangements. Since such assignments may incur fiscal commitments and liability on the part of the University, IPAs must be signed by the Provost.

Government Fellowships: Some graduate fellowship programs sponsored by government agencies (such as the Fulbright-Hays and Patricia Roberts Harris Fellowship through the U.S. Department of Education) require submission through the University. Students cannot be principal investigators, even if the fellowship is intended for them.

Proposal Types

A proposal is a request for external or internal support of a research, training, or technical assistance project. A proposal to a funding agency for sponsored research may either be solicited or unsolicited.

A. Solicitations are usually government-generated "Requests for Proposal", (RFP) "Request for Application" (RFA) or "Requests for Quotation" (RFQ) on a specific research, training, or technical assistance project. In such cases, the intended scope of work is pre-determined by the soliciting agency, and specific requirements for the format and content of both technical and cost proposals are presented in the published requests. The successful solicited proposal may result in either a contract, grant or a cooperative agreement. Government RFPs and RFAs are widely advertised in sources such as the Federal Register, Commerce Business Daily, the Sponsored Projects Information Network (SPIN) and grants.gov.
B. Unsolicited proposals may be initiated by individuals at any time. Many funding entities have general requirements for the format of unsolicited proposals. The OSP staff can assist with finding and reviewing the guidelines or other indications of sponsor requirements.

Pre-Submission Procedures

Particularly when unsolicited proposals are involved, it is wise to contact a program officer within a government or private funding agency to discuss a project idea before actually submitting a formal proposal. Most program offices welcome advanced contact to research areas of interest at their organizations. **However, in no case, should a private foundation or corporate funder be contacted for donations without prior approval from the Office of Development.**

Agency contacts are made through (1) a telephone inquiry or agency visit; (2) a letter of inquiry; (3) a letter of intent; or (4) a preliminary proposal.

1. Individuals are encouraged to make telephone inquiries or visit a potential sponsor or on their own but may request assistance from the OSP staff. In some cases, the OSP staff may make the initial agency contact on behalf of the faculty or staff member. Throughout the course of such calls or visits, **there cannot be any commitments of university resources or cash/in-kind matching.**

2. **A letter of inquiry** is a general presentation of a project idea designed to elicit feedback from a potential sponsor. As with telephone inquiries or agency visits, commitments cannot be made. A formal routing or review of a letter of inquiry may be required by Department Chairs or University Deans. Individuals are encouraged to forward a copy of such correspondence to notify the OSP of any pending proposal development resulting from such inquiries.

3. **A letter of intent** expresses the intention to submit a proposal in response to a particular program announcement or Request for Proposal (RFP/RFA). Letters of intent are generally solicited by the sponsor in conjunction with announcements expected to generate widespread interest. Agencies generally require that such letters present only a general statement of the intended research theme. A copy of the letter of intent should be filed with the OSP. If the letter of intent contains budget estimates or ranges, it should be reviewed and processed through OSP as a mini proposal with proper approvals.
(4) Preliminary proposals, like letters of intent, are generally solicited by sponsor agencies. A pre-proposal usually includes a one to five-page description of the project. It may also require an outline budget and some indication of the University’s willingness to support the project through a commitment of resources. Any document that mentions budget figures or commits university space and other resources are to be processed through OSP as a mini proposal with proper approvals (Chairpersons, appropriate Deans, and the Provost). The appropriate staff in the Office of Sponsored Programs must review and sign the proposal.

Questions to Consider in Developing a Proposal

1. What is the need or problem to be addressed?

2. How have you determined that there is a need or problem?

3. What have others done about the need or problem? How have these efforts succeeded or failed? What will you do that is different?

4. What do you expect to achieve in relation to the need (goal)?

5. What will you do to address the problem? Can these efforts be grouped together as common activities that are measurable (objectives)?

6. Specifically, what do you plan to do?

7. How will you know you are doing it right?

8. How much will each activity cost?

9. Who will manage the project (PI/PD)?

10. What are the qualifications/experiences of this person?

11. What will receiving this funding enable you to achieve or do better?

12. Which office provides assistance on statistics and other support data about the University?
GENERAL FORMAT FOR PROPOSALS

Most sponsoring agencies have specific format guidelines for preparing proposals, including the required forms, character size and type, header/footer formatting, biographical data, page numbering format and budget. In the absence of such guidelines, the following format may be useful.

Cover or Title Page:

The cover or title page should include the following:

- the title of the proposed research;
- the name and address of the sponsor to whom the proposal is submitted;
- name and title of the principal investigator;
- the name and address of Delaware State University; (identify OSP as the office to which all correspondence should be sent: Delaware State University, Office of Sponsored Programs, Building 502, 1200 N. DuPont Highway, Dover, DE 19901);
- the University department where the work will be conducted;
- the proposed period of performance;
- total requested support (in multi-year projects, include the totals for each year for the total request); and
- signatures of authorizing officials: The signature of the PI, his/her chair, dean and the President of the University (or designee) are required on each proposal.

NOTE: University information can be found on the "Institutional Fact Sheet" on the forms page of OSP's website.

Abstract

While an abstract is not required by all sponsors, it is a highly effective means of presenting a project to a reviewer or review board. The abstract should highlight the scope of the proposed research, including its objectives and the intended methodology, the anticipated results, a statement of potential significance, and the time span of the project. Abstracts should be approximately 200-250 words and not exceed one typed, double space page. The abstract is the last section to be written.

The abstract should stand alone as a complete description of the
proposed project. Do not refer to figures, tables, or literature appearing in any other part of the proposal.

Table of Contents

A table of proposal contents should be included immediately following the abstract page. A list of illustrations or tables should also be prepared, if appropriate. Since the abstract precedes the table of contents, the abstract is not listed in the table of contents.

The table of contents should list major sections of the proposal and give the specific page location where each section begins in the narrative. It need not include all subheadings but should be detailed enough to allow reviewers to find the section or sections they are interested in, without having to search through the entire proposal.

Introduction/Statement of Need

While usually brief, the proposal introduction or statement of need is one of the most important parts of the grant application. The introduction should engage the reviewer's attention, encouraging a full reading of the proposal. Statistically, proposals that are read through at one sitting have a higher rate of success. Here are some general guidelines for the preparation of the proposal introduction.

- tailor the introduction to the specific guidelines or funding criteria of the sponsor;
- state the problem, but emphasize why you and/or the University should be funded to address the problem;
- mention your previous accomplishments in the area of research proposed;
- describe your ability to carry out the proposed project;
- construct the final paragraph of the introduction to lead into the next section of the proposal.

**Note:** Follow sponsor guidelines on length; in absence of detailed guidelines, the introduction should not exceed two pages.

Description of Proposed Research

The description is a detailed extension of the proposal abstract. Indicate how the research will relate to and reflect the current state of the art. Explain project goals and methodology carefully. To the extent possible, describe in detail a research plan for six to twelve months.
The objectives and the procedures are two of the most important sections. The principal investigator should go into as much technical detail as she/he feels is necessary to explain what she/he intends to do and how she/he will carry the project through. An objective should match every need stated in the introduction, and a procedure should describe how every objective will be accomplished.

**Objectives** - The objectives must be articulated clearly. Objectives should state the intended outcomes of the project. These may be presented as specific and measurable expectations.

**Procedures** – The procedures section provides details of how the principal investigator will carry out the project. Procedures may be organized by activities tied to specific procedures; by functional categories such as planning; development; and implementation; or by major time blocks.

If the principal investigator intends to have participants in the project, she/he must briefly describe the skills/expertise of the person(s) to be chosen and explain their responsibilities to the project. One should also include an explanation of how the project will be administered and define the responsibilities of any advisory groups or organizations with which she/he plans to work. A proposal can be greatly strengthened if letters of agreement or letters of support from cooperating organizations or consultants are included in the appendix.

If needed, a **time frame** may be included as part of the procedures section or may be written up separately. Be sure to leave time at the end of the project for preparation of the final report for the agency. The writer of the proposal should be realistic about how much she/he can accomplish in the period of time set aside for each part of the project. A Gantt chart will be helpful. The persons reviewing the proposal will easily recognize an overly optimistic timetable. Please bear in mind that the agency limits the number of narrative pages. All materials necessary for review should be included in the body of the proposal. Only supplementary materials should be placed in an appendix.

**Evaluation** – If the project is one which will require an evaluation of its accomplishments, a description of the evaluation usually follows the procedures section. The evaluation, which is usually carried out both during the project and after its conclusion, can be done in a number of ways. Its basic intent is to determine whether or not the project was successful in carrying out its objectives. A concise description of the evaluation design is essential, particularly in educational and intervention proposals. A Pert chart may be needed.
**Budget** - The PI’s best estimate of the financial support required to carry out the statement of need should be presented in detail in the proposed budget. The OSP may be consulted for guidance in developing these estimates. While a proposed budget should provide adequate funds for producing high quality research, it should not request excess funds. Sample budgets and budget justifications are found on the OSP website.

It is appropriate to justify budget requests in the proposal. Individuals are urged to prepare a budget justification for equipment, especially if it is unusual or expensive (such as equipment that reviewers might expect to be part of the University's facilities), or if the proposed research will require an unusual amount of costs for travel, publications, or supplies. Most sponsoring agencies will have established a generally acceptable list of budget items. If the agency has a budget format with specific line items, it must be followed as specified.

**Note:** Budgets that are to be prepared for other agencies may differ; however, essential line items are about the same for all agencies.


The budget justification or explanation should be separated from the itemized budget, but follow immediately afterwards.

Budgets include two categories of costs: Direct and Indirect Costs:

**Direct Costs**

Usually, direct costs consist of the following:

**Salaries & Wages:** All personnel who will devote time to the project are listed in the budget. List professional personnel first, staff personnel second, casual part-time workers and undergraduate and graduate students fourth. The grant writer should include titles, the percentage of time to be spent on the project, base salaries, and the amount the sponsor is asked to pay to support each person for the budget period (or their individual period of performance). Proposed salaries are estimates and are paid in accordance with established University guidelines. Salary estimates beyond the current fiscal year should include annual increases of no more than three (3) percent, which are not guaranteed unless approved by appropriate university administrators.
Procedures for new staff classification and recruitment can be obtained from the Human Resource Office. The twelve month salary for staff persons is the base salary. Faculty salaries are based on a nine-month academic year (AY). The income earned (not including stipends) during that period is the **base salary**. Policies for summer pay differ from agency-to-agency.

Some proposals involve course releases, a reduced workload, or a workload reallocation for a faculty member to work on an externally funded grant or contract. Approval for course load adjustments and affected salaries must be approved by the appropriate Chair, Dean and Provost.

**Fringe Benefits:** Fringe benefits consist of the University’s contributions to Social Security (FICA) retirement programs, insurance, workers compensation, unemployment compensation, and other items set by the State of Delaware. Fringe benefits are calculated as a percentage of salary. An average fringe benefit of *(.50) 50 percent* is charged on the salaries of full-time faculty and staff. A rate of *(.0160) 1.60 percent* is charged for most students working less than 40 hours a week. Student employees who work twenty-one (21) or more hours must use the part-time rate of *(.0942) 9.42 percent*. When hiring state employees for a project on a part-time basis, *(.3044) 30.44 percent* must be used for fringes, however, if the employee being hired is a non-state employee, *(.0942) 9.42 percent* must be used. Actual fringe benefits break outs can be found on OSP’s website on the "Institutional Fact Sheet".

**Capital/Permanent Equipment:** This is defined by the federal government as nonexpendable tangible property cost $5,000 or more per unit and having a useful life of two or more years. The cost of shipping, installation, and fabrication should be included in the cost of equipment. Whenever possible the project director should specify the name, model number and the manufacturer of the equipment.

The policy for purchasing equipment at Delaware State University is as follows: (1) if the cost of equipment is more than $1,000, one quote in writing is needed; (2) if the cost of equipment is more than $5,000, three quotes in writing are needed. A minimum of 45 days is required for requisitioning equipment if the cost is more than $10,000 as a formal bid in newspapers is required, and again a minimum of 45 days is requested. Therefore, no requisitions for equipment will be accepted less than 45 days before the project period ends.
**Materials and Supplies:** These are expendable items with a useful life of less than two years or a cost under $5,000 per item. This budget category should be supported by descriptions of the articles included and best estimates of their cost. Requisitions for materials and supplies are due at least 15 days before the project period ends. The only exceptions to be made are for TRUE emergencies. A purchase order (PO) is required for purchases, including from local vendors.

**Travel:** Sponsors will generally pay international or domestic airfare, rail and/or bus if such travel is necessary to the project and is so justified and approved. Delaware State University allows $45/day for meals. Also included should be local transportation costs, such as mileage, limousine and parking. While per diem reimbursement for travel on government contracts is set by the federal government on a city-by-city basis, the use of these rates still requires prior university approval.

**Other Direct Costs** may include:
- Supplies and other expendable materials, i.e. film
- Computer software
- Equipment maintenance and repair
- Printing and publishing
- Photocopying
- Publication costs, such as per page charges and reprints
- Department administration expenses; "For example... telephone toll charges, shall be treated as direct cost wherever identifiable to a particular cost objective."
- Meeting expenses
- Conference registration costs;
- Space (leases or rental of off-campus space)
- Subcontracts or subgrants
- Insurance

Before entering into any agreement to hire a person as a consultant, contact the Purchasing Office or the Office of Sponsored Programs for the "Consultant Contract Agreement". Employees of the University who are employed to perform services outside of their regular duties must be paid through the regular payroll system. Normally, a workshop presenter or a seminar speaker is not considered to be a consultant. Questions regarding the status of any professional person should be directed to the Purchasing Office.

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**Participant Support Costs:** These costs are allowable under pre-doctoral and post-doctoral training grants. For each individual participant, such costs may include: stipend, tuition and fees, and “other” costs covering travel, books, etc. The current fee information can be obtained from the appropriate institution for which you desire to matriculate. The pay range for graduate students and other unclassified employees must conform to university limits (in some cases living expenses are allowable). Note: All participant support costs should be under one category in the proposed budget, unless otherwise specified in the guidelines.

**Total Direct Cost:** The total direct cost is the sum of the above elements.

**Indirect Costs:** Indirect costs are expenses incurred by the University for its facilities and services. Indirect costs are not profit, but are real costs to the University to support sponsored activities. As of July 1, 2012 the University’s indirect costs will be calculated under the Modified Total Direct Cost (MTDC) rate of 46% for “on-campus” programs and 26% for “off-campus” programs.

Total direct cost consisting of all salaries and wages, fringe benefits, materials, supplies, services, travel, subgrants and subcontracts up to the first $25,000 of each subgrant or subcontract (regardless of the period covered by the subgrant or subcontract). Total direct cost shall exclude equipment, capital expenditures, charges for patient care, student tuition remission, rental cost of site facilities, scholarships and fellowships as well as the portion of each subgrant and subcontract in excess of $25,000. This rate should be used on all grants unless the funding agency has stated otherwise in its guidelines, which has to be submitted with your proposal to the Office of Sponsored Programs. If a lesser rate is required by the agency, then the calculation is that percent times the total requested amount (unless otherwise specified in the agency announcement).

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<td>Subcontracts (Up to $25,000)</td>
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**Cost Sharing:** Occasionally, sponsors require the University to make a contribution to a project’s total costs. Cost sharing must have the approval of the Dean and Provost since their budgets bear such direct costs. Each school has a budget to cost share new expenses, and the authority to commit existing “on budget” resources for sponsored projects. The OSP does not have any resources for direct cost-share or tuition remission. Proposals that include cost share must have a letter of commitment from the funding source (department, college or outside organization). The letter of commitment must include the dollar amount of the commitment for the duration of the period for the match.

Since cost-sharing is examined and audited by the sponsored organizations, the budget proposal must specify the exact amount of contribution anticipated. Instead, the budget proposal should include the dollar value of all such services to ensure that the project receives full credit. Best practices show that a separate budget detail and justification for the cost share is more favorable during the review process. Contact the OSP for assistance with cost-sharing.

**Total Project Cost/Total Budget:** Sum of direct and indirect costs.

In August 2004, the Office of Management and Budget (OMB) Circular A-21 (Circular A-21 (2 CFR Part 220); “Cost Principles for Educational Institutions, Section F.6.b., was revised to define the criteria for charging salaries of administrative and clerical staff to federally sponsored grants and cooperative agreements.

This revision clarified the principle that salaries of administrative and clerical staff should usually be treated as indirect costs, but that direct charging of these costs may be appropriate where the nature of the work performed under administrative or clerical support that is significantly greater than the routine level of such services provided by academic departments.

The following was taken from the August 31, 2005 Federal Register, 70 (168), p. 51889.

“F”. Departmental administration expenses.

6b. In developing the department administration cost pool, special care should be exercised to ensure that costs incurred for the same purpose in like circumstances are treated consistently as either direct or indirect costs. For example, salaries of technical staff, laboratory supplies (e.g. chemicals, telephone toll charges, animals, animal care costs, computer costs, travel costs, and specialized shop costs shall be treated as direct cost whenever identifiable to
a particular cost objective. Direct cost charging of these costs may be accomplished through specific identification of individual costs to benefiting cost objectives, or through recharge centers or specialized service facilities, as appropriate under the circumstances. The salaries of administrative and clerical staff should normally be treated as indirect costs. Direct charging of these costs may be appropriate where a major project or activity explicitly budgets for administration or clerical services and individuals involved can be specifically identified with the project or activity. Items such as office supplies, postage, local telephone costs, and memberships shall normally be treated as indirect costs.

Some examples of circumstances where the direct charging of administrative or clerical staff may be appropriate are as follows:

- Large, complex programs, such as General Clinical Research Centers, Primate Center, program projects environmental research centers, engineering research centers, and other grants and contracts that entail assembling and managing teams of investigators from a number of institutions.

- Projects that involve extensive data accumulation, analysis and entry, surveying, tabulation, cataloging, searching literature, and reporting, such as epidemiological studies, clinical trials, and retrospective clinical records studies.

- Projects that require making travel and meeting arrangements for large numbers of participants, such as conferences and seminars.

- Projects where the principal focus is the preparation and production of manuals and large reports, books and monographs, (excluding routine progress and technical reports).

- Projects that are geographically inaccessible to normal departmental administrative services, such as seagoing research vessels, radio astronomy projects, and other research field sites that are remote from the campus.

- Individual projects requiring significant amounts of project-specific database management; individualized graphics or manuscript preparation; human or animal protocol, and multiple project-related investigator coordination and communications.
These examples are not exhaustive nor are they intended to imply that charging of administrative or clerical salaries would always be appropriate for the situations illustrated in examples above. Where direct charges for administrative and clerical salaries are made (as with other administrative type costs, e.g., telephones, postage, books and journals), care must be exercised to assure that costs incurred for the same purpose in like circumstances are consistently treated as direct costs for all activities. This should be accomplished through a “Direct Charge Equivalent” or other mechanisms that assign the costs directly to the appropriate activities.

**Sub-agreements**

A sub-agreement may be either a subcontract or a sub-grant, each of which is an agreement between the University and a third party to transfer a portion of the University’s obligations on a sponsored project to that party.

If a proposal includes the use of sub-agreements, the principal investigator should include an explanation of why the price to be paid to the subcontractor or sub-grantee is appropriate and reasonable. Estimates obtained should be attached to the budget proposal. Federal agencies often require a separate Cost and Pricing Proposal and appropriate Subcontractor Certifications in accordance with the Truth-in-Negotiations Act (P.L. 87-653).

Principal investigators should identify each sub-agreement separately in the budget proposal. Sponsor approval of the proposal normally constitutes approval of the sub-agreements that are included in it. Sub-agreements are not executed until the grant or contract has been awarded. Sub-agreements are undertaken through the University's regular procurement process.

**Personnel**

Explain the tasks to be completed by all project personnel. Include current curricula vitae or biographical sketches for all senior project personnel. If postdoctoral associates and/or graduate or research fellows are known, submit their curriculum vitae or biographical sketches as well. The OSP recommends that a similar format be followed for submitting curriculum vitae or biographical sketches; contact OSP for assistance.

Other necessary materials of a proposal including bibliographies, tables, charts, illustrations, reprints, and other supplementary materials may be included if they enhance the effectiveness of the presentation. Since many sponsors limit the number of pages of text, please verify if
supplemental materials, such as appendices, are included in the page limit.

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Non-Competing Continuation Proposals

If not specified in a sponsor’s application form or instructions, a non-competitive continuation proposal should include:

- Cover page, including signatures as described previously in this section.

- Progress report (when required) or summary of result and discussion of future plans.

- A revision of the original budget proposal when necessary. It is especially important before submitting a renewal budget to confirm that cost elements and the indirect cost and fringe benefit rates are up-to-date. Significant budget increases not caused by changes in these rates should be discussed with the sponsor before the renewal proposal is submitted or should be explained in the proposal.

- Additional relevant materials such as curricula vitae and biographical sketches for new professional personnel or reprints of research results.
Proposal Checklist

☐ Are proposed personnel available within the development?

☐ Are proposed salaries and benefits within the University ranges and appropriate to the anticipated effort? Are reasonable increases budgeted from year to year?

☐ Is space available and assigned within the department?

☐ If the proposal is for a training grant, have all required tuition and fee costs been included?

☐ Are accurate rates for fringe benefits and indirect cost used in all aspects of budgeting?

☐ Has the application been reviewed and approved by the appropriate Department chairperson, dean, and the Office of Sponsored Programs.

☐ If a proposal is to be submitted to a private foundation, the Development Office must be contacted for assistance. Contact the Director of Corporate & Foundation Relations at (302) 857-6055.

☐ Is review and approval of protocol for animal care required? - Institutional Animal Care and Use Committee Application for Approval

☐ If the research involves human subjects, has it been reviewed and by the IRB? - Human Subject Application for Approval

☐ If the research involves hazardous or potentially hazardous biological agents, has the approval of the risk/management committee been secured? The risk management committee meets on a monthly basis under the direction of the University’s Safety/Risk Manager. The committee consists of vice presidents, deans, chairpersons, sponsored programs, student affairs, counseling, resident’s life, public safety, facilities management, and the student medical office. The committee reviews pertinent safety/risk issues on campus that may involve chemical, biological and radiological hazards, in research and teaching, laboratories, accident precautions, EH&S training requirements, and/or reporting concerns dealing with university facilities, fire safety,
emergency and crisis management. The Safety/Risk Manager is Mr. Al Tunnell (7095)

**Submitting A Proposal**

A proposal may be submitted to one or more sponsors, at the discretion of the PI. Federal agencies do ask to be notified if a proposal has been submitted to more than one agency; this does not affect the proposal’s chances for acceptance. **Each proposal must, however, go through an internal process of review before it is submitted to a sponsor. The review process is as follows:**

a) The PI must get the approval of the department chair and Dean regarding the use of space and personnel and must also ensure that the necessary committee approvals have been obtained; b) Research that uses human subjects, animals subjects, or hazardous substances must be approved by the relevant committee, i.e., Institutional Review Board (IRB) (Appendix E), the Institutional Animal Care and Use Committee (IACUC) (Appendix F) and the Safety/Risk Committee (Appendix G).

The Department Chair and Dean **must approve the proposal by signing the University’s Internal Processing Form (IPF)** before the proposal is signed by the President (or his designee) as the authorized official (ARO). The Chair and Dean must review the proposal before it can be submitted to a sponsor.

The Office of Sponsored Programs performs the final institutional review of the proposal for conformance to university policies and to sponsor requirements. **The proposal must always be signed by an authorized institutional representative (the President or his designee) - see Article VI, Section 1 H of the Board of Trustees Bylaws - page 23. The OSP will obtain the authorized signature(s).**

The Office of Sponsored Programs processes many proposals each week and because changes must sometimes be made to those proposals, communication is necessary between OSP no fewer than five (5) working days prior to the sponsor’s deadline. The deadline date and any other special instructions must be clearly indicated. Should changes be required on a proposal submitted close to the deadline date, timely submission may be endangered? (In some cases, the home telephone number of the PI/PD will be needed by OSP). **Contracts or subcontracts that must be reviewed by the Contract Specialist and the University’s legal council must be submitted to the OSP five (5) working days in advance of the due date.**
Most proposals are submitted electronically through grants.gov; however, if for some unique reason a proposal needs to be sent through other agency portals or by regular mail. The proposal must be mailed well in advance of the due date set forth by the agency. If PIs need to use Federal Express or any other private mail delivery service, the PI or the department will be responsible for the mailing of the proposal. In last-minute emergencies, PIs who must use Express Mail should arrange to have the application delivered themselves.

When submitting proposals to the OSP, the PI should provide OSP with the:

- original proposal and the Internal Processing Form (IPF) with their Chair and Dean’s signature. The OSP will review the proposal and forwarded to the President (ARO), or his designee, for signature (see Article VI, Section 1 H of the Board of Trustees Bylaws - page 23). The Board of Trustees Bylaws (adopted January 11, 2007 with most recent amendment 9/15/11) empowers the President of the University to have final authority to approve proposals. Article VI. Delegated Authority, Section 1. Authority Delegated to the President, Item H-which specifies "Authority to represent, or to delegate representation of, the University's interests in other business entities authorized by the Board to be formed for the benefit of the University."-constitutes formal authority for the President to be so empowered.

- If a proposal is in response to an RFP, it is very important that OSP receives a copy of the RFP at least two weeks prior to the date the proposal must be submitted, in order to allow adequate time for review of the RFP's terms and conditions and submission requirements.

INCENTIVES

Three incentives for securing grant funding are:

1. **Release Time** to work on a project
2. **Portion of Indirect Costs Set Aside**

- When proposals are funded, regardless of the overhead rate, the unit sponsoring the grant/contract will receive 40% of the overhead/indirect cost, the Office of Sponsored Programs will receive 10% of the overhead/indirect cost and the University will receive 50% of the overhead/indirect cost.
• If the unit is a school, the overhead/indirect cost money returned shall be distributed as follows: the school will be awarded 5%, the department 5% and 30% will be returned to the Principal Investigator.

• If the unit is not a school, the overhead/indirect cost money shall be distributed as follows: the unit will be awarded 5%, the department in which the Principal Investigator has academic rank 5%, and the Principal Investigator 30%.

<table>
<thead>
<tr>
<th>Rate Distribution</th>
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<tbody>
<tr>
<td>Delaware State University</td>
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<tr>
<td>Office of Sponsored Programs</td>
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<tr>
<td>If the unit is a school</td>
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<tr>
<td>School – 5%</td>
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<tr>
<td>Department – 5%</td>
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<tr>
<td>Principal Investigator – 30%</td>
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<tr>
<td>If the unit is not a school</td>
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<tr>
<td>Unit – 5%</td>
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<tr>
<td>Department – 5%</td>
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<tr>
<td>Principal Investigator – 30%</td>
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• None of the indirect cost money can be used to augment departmental salary lines with the exception of student workers or graduate student assistants.

• Any cost sharing required shall be deducted in the proportion set forth above.

3) Asset for Promotion and Tenure
POST-AWARD FISCAL ADMINISTRATION

The President or his delegated representative formally accepts all awards and subsequent amendments. This authority is derived from Article VI, section 1 H of The Board of Trustees Bylaws.

In the post-award phase of your project for questions related to budget forms, account numbers, transfers, payroll, etc. -- The Office of Sponsored Programs (OSP) and Office of Restricted Accounting will be your chief contacts.

After an award has been made, changes affecting items such as the budget or the award period are sometimes necessary. While there is some consistency in federal agency regulations regarding post-award changes, each agency does have its own rules. Awards from non-federal sponsors are also governed by rules specific to each sponsor. Therefore, should a post-award change be required, the Project Director (PD) or Principal Investigator (PI) may refer to the sponsor regulations or contact the OSP (6811/6819) with specific questions affecting the change.

When the OSP receives an award document from a sponsor, the document is reviewed for consistency with the initial submission. If the award is consistent with the submission, OSP (Compliance Officer) will forward a copy of the award to the Office of Restricted Accounting to request a budget number for budget expenditures. Once a budget number is assigned, the number is sent to OSP and the Principle Investigator is emailed a congratulatory letter and a request to schedule a Post-Award Meeting to review their award requirements. In the case of a federal or state contract (including sub-contracts and awards), the OSP Contract Specialist sends the contract to the PI/PD for review and approval before finalizing the OSP review process. The PI/PD should examine: statement of work, budget (indirect costs, matching, release time), reporting requirements, re-budgeting restrictions, required sponsor prior approvals, patent and copyright terms, if applicable, submission dates for continuation or renewal proposals and other provisions. Once the PI and OSP have approved the service contract, the contract is forwarded to the university’s general council for final review and approval by the president or his designee for (authorized signature).

Any required amendments to grants and contracts are reviewed by OSP with the PI/PD and forwarded to the President (ARO), or his designee, for signature (see Article V 2E and Article VI, Section 1 H of the Board of Trustees Bylaws - page 23). Objections or questions should be
communicated to the Associate Vice President for Research and Sponsored Programs (6811) or the Associate Director (6819) of Sponsored Programs for discussion and negotiation with the sponsor.

A post-award conference with a member of the OSP staff will be needed to make certain PIs/PDs are aware of and agree to carry out their responsibilities to Delaware State University and to the Sponsor while participating in sponsored activities.

The OSP is responsible for negotiating appropriate remedies if an award fits into any of the following categories: 1) it contains provisions that are incompatible with the University's policies on sponsored activities; 2) it is inconsistent with government-wide regulations for universities; 3) it fails to include all the elements agreed upon prior to an award; or 4) it requires modification to conform to a PI's needs. The OSP must also have on file the signed Internal Processing (IPF) Form and a copy of the Request for Announcement (RFA) or a Request for a Proposal (RFP). Three offices should have copies of the Notice of Grant Award. They are as follows:

Principal Investigator/Program Director
Office of Sponsored Programs
Restricted Accounting

Post-Award Conference at DSU

The PI or PD must schedule a post-award conference with the OSP Compliance Officer and Financial Administrator (Restricted Accounting) within five days after the award has been granted. The purpose of the post-award conference is to make the PI or PD aware of the following:

a. Review budget and scope of work;
b. Review ‘Time and Effort’ process;
c. Discuss technical and fiscal reporting requirements and file retention (award terms and conditions);
d. Discuss personnel hiring procedures, if applicable;
e. If it is a continuation award, discuss approval of any carryover of unobligated funds;
f. Requisition supplies and/or equipment;
g. Monitor and report expenses;
h. Discuss any Institutional Review Board (IRB) and
Institutional Animal Care and Use Committee (IACUC) requirements;
i. Process Conflict and Financial Conflict of Interest documents;
j. Discuss and process any misconduct of research requirements; and
k. Discuss and process export control requirements.

Additionally, the OSP Compliance Officer and the Financial Administrator in Restricted Accounting, require that all PDs/PIs have a project close-out meeting with the Office of Restricted Accounting 60 days prior to the ending of the award.

**Purchases**

It is the responsibility of the principal investigator to ensure that purchases are allowable within the grant guidelines and OMB Circular A-21. **All invoices must be sent to Accounts Payable by the vendor.** If, by chance, original invoices are received by the Principal Investigator or Program Director, they must be hand-delivered to accounts payable...

Each invoice must be signed by the requestor (person who requested the goods).

The Office of Restricted Accounting functions relating to sponsored projects include:

- Assignment of project department numbers after awards have been granted and the assignment of a Financial Administrator who will work with the OSP and the PI/PD during the project period.

- When a firm commitment is received (with or without a check), send a copy of the commitment to the Office of Sponsored Programs and the Office of Restricted Accounting to ensure compliance.

- **Requisitions and Purchase Orders:** Delaware State University requires that a requisition describing the goods and/or services desired be prepared in advance of every purchase and entered into the University Banner System. An authorized individual must sign the requisition which must identify the department by number, name, and the account classification of the purchase by...
object code. A listing of department and object code numbers are available by contacting the Purchasing Office. Please call the Purchasing Office at Ext. 6270 with any questions regarding coding of requisitions.

- After a requisition is prepared, approved and competitive prices have been obtained (if required as described below); the Purchasing Office will issue a Purchase Order number to the vendor. **Departments must not place orders directly with vendors. A requisition number is not a valid purchase order.**

The President has appointed a computer advisory committee to review purchasing of computer equipment. **The purchases must be consistent with standards set forth by the University.** Please call the Help Desk for assistance (ext. 7028).

The Purchasing Office is available to render assistance to you in fulfilling your needs by obtaining the lowest possible price for each purchase made by the University.

The Office of Restricted Accounting will review all invoices charged to a grant to determine allowability of costs within funding guidelines, as well as to verify that sufficient funds are available and that the budget per line item is maintained.

The Associate Vice President for Research and Sponsored Programs, Dr. John N. Austin, or his designee, reviews requisitions in accordance with cost allowability principles found in the agency guidelines and OMB Circulars. Items which are not allowable include, but are not limited to: entertainment, alcoholic beverages, promotional items, advertising, club dues, and legal fees. **The Project Director/Principal Investigator is responsible for being familiar with information in the OMB Circulars;** however, questions concerning allowability should be directed to the Office of Sponsored Programs.

**No expenditure payment will be approved prior to written notification of the award by the agency or program.** Grant budget numbers are not set up until the project is approved for funding and the award notification is received by the Office of Restricted Accounting.

**Purchasing Procedures:** No bidding or solicitation of competitive prices is required at any level of purchase for goods, services, and equipment purchased from a vendor awarded a **statewide contract.** You
are encouraged to contact the Purchasing Office (6270) for information on available statewide contracts.

The policy for purchasing equipment at Delaware State University is as follow: (1) if the cost of equipment is more than $1,000, one quote in writing is needed; (2) if the cost of equipment is **more than $5,000**, three quotes in writing are needed. A **minimum of 45 days is required for requisitioning equipment if the cost is more than $10,000 as a formal bid in newspapers is required, and again a minimum of 45 days is requested.** Therefore, no requisitions for equipment will be accepted less than 45 days before the project period ends.

**Note:** The Purchasing Office has the right to change vendors, but not items. This may be necessary due to competitive pricing or delivery.

**Bidding Procedures:** Purchases of $10,000.00 or more require public advertising and receipt of sealed bids. This procedure takes approximately four (4) weeks after receipt of an approved requisition. **THIS PROCEDURE SHALL BE PERFORMED BY THE PURCHASING OFFICE.** The Purchasing Office reserves the right to withhold payment to the vendor until all proper bidding documentation is received. All purchasing documentation for equipment over $10,000 will be filed in the Purchasing Office.

**Rebudgeting** is the re-allocation of funds between account lines. Sponsoring agencies have specific requirements for rebudgeting approval. In general, there are two types of rebudgeting that require approval: (1) transfer of funds to a category that otherwise requires approval (e.g. personnel, participant costs or equipment), and (2) transfers that would change the character/scope of the project. Transfers that do not affect the above (1 or 2) or the character/scope of the project do not require prior approval. For example, rebudgeting $1,000 from materials and supplies to computer services does not require prior approval. Principle investigators are responsible for initiating the re-budgeting process and should consult the Office of Sponsored Programs or Office of Restricted Accounting with questions regarding re-budgeting.

Except for the amount of salaries, as pre-approved by the funding agency, rebudgeting (changes in line item budget) will be approved internally by the Office of Sponsored Programs and the Office of Restricted Accounting. Requests for salary adjustments exceeding the authorized level in the award document must be approved by the
appropriate funding agency (in writing), the department Chair and/or Dean.

The Associate Vice President for Research and Sponsored Programs, Dr. John Austin and/or Financial Administrator, must sign all budget transfer forms for sponsored projects (see attached sample of the Budget Transfer Form. Guidelines and regulations in accordance with allowability principles found in the OMB Circular will be followed. The Office of Restricted Accounting gets the final approved transfer document (with the written agency approval attached) for processing the budget transfer in the university’s Banner system.

Delaware State University policies and procedures do not permit cost transfers/expenditure reclassifications between projects or awards. Therefore the sub-bullets in this item are not relevant relative to procedures identified.

Cash Management

The Office of Restricted Accounting is responsible for cash management. In most cases, it includes a draw-down process for receiving funds from the funding agency. The Office of Restricted Accounting has the procedures for drawing down funds for the appropriate grant awards.

Property Management

The Office of Restricted Accounting performs an annual inventory of equipment costing over $1,000 which is purchased on restricted funds. All equipment purchased by grant funds is labeled with DSU identification tags by the Central Receiving Office staff. Location and condition of the equipment are also identified. The principal investigator is held responsible for the location as well as the maintenance of equipment. An inventory report will be reviewed at the end of the grant period.

Travel

Delaware State University has contracted with a responsible and qualified vendor to provide small purchase credit cards for related expenses. The card is known as the PNC Travel Card. It is issued in
**the employee's name, to be used only for official university travel.** Applications for the PNC Travel Card and copies of the travel policy are available in the Office of Business and Finance.

The Travel Authorization Form must be approved for budget availability before one may travel. The Travel Request/Authorization Form must include the following: the traveler's name, date of authorization, ID number, department number to be charged, date of departure and return, purpose of the trip and number of staff and/or students traveling (if applicable), an estimate of all travel expenses, the appropriate signature of the traveler(s), immediate supervisor, department chair and/or appropriate dean. After the Travel Request/Authorization Form has been signed by the traveler, immediate supervisor, and audited by the appropriate division (Finance Administration), the traveler enters the data into Banner.

**Important Note** - The travel request has to be approved in Banner before the PI/PD is authorized to travel.

**Per Diem (Meals)**

Per diem for meals and associated tips will be available up to $45.00 per day - $7.00 for breakfast, $11.00 for lunch, and $27.00 for dinner. Receipts will not be required unless meals exceed those amounts. However, meals must be reported on the PE-1 Form at the per diem amount (or greater) in order to be reimbursed. The PE-1 Form and a properly signed travel request/authorization form should be taken or forwarded to the Travel Analyst where it will be dated and time stamped.

**Tolls, Tips, Parking, Etc.**

All receipts are required except for tips. All expenditures must be set forth on a Personal Expense Reimbursement Form (PE-1) at the conclusion of your trip.

**Travel Reimbursements**

All requests for travel expense reimbursements must be submitted on the University Personal Expense Reimbursement Form (PE-1) provided by the Travel Desk. **This form should be submitted to the Travel Analyst within 72 hours after the completion of travel.**
Reimbursements for travel expenses incurred without required receipts, as outlined, are strictly prohibited. A "no receipt - no reimbursement" policy applies. An affidavit for lost, stolen, etc. receipts is unacceptable.

Personnel assigning or receiving account coding of travel expenses should ensure that Travel account codes (8xxx series) are used in preparing the Personal Expense Reimbursement Form. A PE-1 Form not completely filled out or having the appropriate signatures will be returned to the traveler. This will cause a delay in reimbursement.

Except for selected group student travel and expenses not chargeable to the Card, the Office of Business and Finance will not issue travel advance checks. You may choose to use the card or your own funds. You will be reimbursed after the trip is completed and the required forms and receipts are submitted.

**Student Travel**

When student travel occurs, an advance will be made out to the appropriate faculty or staff advisor for the group. It will be the responsibility of the advisor to fill out the PE-1 Form upon returning from the trip and to make sure that university policies are followed concerning reimbursement. All university policies concerning travel advances apply to the Student Government Association and all other student organizations sponsored by the University.

**Monthly Budget Reports**

If special requests are made to the Director of Restricted Accounting, a budget report which includes the income and expenditure accounts of a grant fund can be sent to the principal investigator. Otherwise, budget reports will be distributed on a monthly basis (normally around the 10th of each month). The principal investigators should compare and reconcile the ledgers with their own records. If the investigator’s records disagree with those of the Office of Restricted Accounting, the principal investigator is obligated to contact the Director of Restricted Accounting to resolve the differences. The release of budget reports on a monthly basis is effective in communicating timely information on the financial status of funds.
Award Close-Out

Close Out Reminder

The Compliance Officer/Specialist will forward a reminder to the PI/PD’s 90 days prior to the end of the project period that their award is due to close.

Award Close-out Meeting

The Compliance Officer/Specialist will schedule an award close out meeting with the PI/PD approximately one month (30 days) prior to the close of the award.

During the meeting, a member of the OSP staff will review the documentation required to close the award in a timely manner (i.e. final technical and fiscal reports, finalizing receipt of all time and effort reporting forms, (if necessary) equipment inventory and any patents, etc.

Agency Reports

Technical reports required by a grant agency are the responsibility of the principal investigator, and should be completed per the funding agency deadline. Financial reports required by a grant agency, including the final close-out report, are the responsibility of the Office of Restricted Accounting in coordination with the principal investigator. Any unobligated balance on a federal grant will be returned to the federal agency, unless the agency has authorized that the remainder will be retained for further use by the principal investigator.

Reminder: The Compliance Office in the Office of Sponsored Programs and the Financial Administrator in the Office of Restricted Accounting sends a reminder to the PI 60 days prior to the ending of the award.
Sub-recipient Contracts

Delaware State University serves as the primary recipient of grant funds. If the proposal requires a sub-recipient arrangement, the principal investigator should contact the Contract Specialist and the Financial Administrator in order to ensure that the agreement includes appropriate federal requirements. Current legislation requires primary recipients to determine whether sub-recipients have met the applicable federal audit requirements. A contract with a sub-recipient should include at a minimum the following requirements:

- Appropriate audit (i.e. A-133, A-128) submitted to Delaware State University
- Corrective action plan in instances of noncompliance with Federal laws and regulations submitted to DSU
- Access to financial records from independent auditors

**Important:** Please note that Sub awards and Contracts have specific forms that need to be completed. Please see the Contract Section of the PI Handbook on Sub awards and Contracts. Any questions, please contact the OSP Contract Specialist.

Subcontracts and Subgrants

While subcontracts and subgrants are generally anticipated during the proposal stage and included in the proposal itself, some sponsors require that specific written approval be obtained before the subcontract is executed. Any subcontract that was not included in the proposal, requires the sponsor’s approval before it can be executed on behalf of the University and the work commenced. In accordance with government regulations, the project director will need to document the reasons for the choice of that particular subcontractor. (See the PI Handbook Section on Contracts). **Note** that all subcontract/subgrants fall under and must comply with the same terms and conditions as the prime recipient. The flow-down process applies to all subcontracts/subgrants.
Hiring New Personnel (Staff)

Delaware State University is an equal opportunity employer. All educational and employment activities are administered without discrimination because of race, color, religion, national origin, age, or sex (except where exempt) in accordance with all local, state, national laws, executive orders, regulations and guidelines.

If new persons are to be hired to work on the grant project, the principal investigator must contact the Human Resources Office. **A person cannot start work unless the Provost's signature is on a Contract, Personnel Action or Letter of Appointment.**

To process a request for Personnel Action, please contact the Human Resources Office. This process must be completed and approved before any action is taken to fill a vacancy. The employee cannot be paid until a Social Security Card or an Immigration Form I-9 is completed and is presented. **New employees (STAFF) must report to the Human Resources Office prior to beginning/commencing/starting work. Again, a person cannot start work unless the Provost's signature is on a Contract, Personnel Action or Letter of Appointment.**

Again, for federal program hiring, all employment procedures as set forth above must be followed and a contract or a letter of appointment must be issued by the President. If the appointment is a supplemental assignment to a regular employee, the duties and time for performance must be clearly described. Federal regulations require an auditable record of time spent for employees in programs sponsored by Federal Agencies. **DEANS, PROGRAM DIRECTORS AND/OR DEPARTMENT HEADS ARE RESPONSIBLE FOR ENSURING THAT NO ONE IS ALLOWED TO WORK FOR THE UNIVERSITY UNTIL ALL REQUIRED PROCEDURES HAVE BEEN CARRIED OUT.** The hiring procedure is available on the DSU Human Resource website.

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**Time and Effort Reports**

Time and Effort (T&E) reporting is for the purpose of determining the total amount of effort (100%) allotted for (research, programs, teaching and administrative duties) by personnel working and being paid a salary and wage from an award(s). The University complies with Office Management and Budget (OMB) requirements by using the After-the-Fact Activity reporting for monitoring T & E. The Office of Sponsored Programs has developed a [Time and Effort Reporting System](#) whereby the principal investigators/program directors and professional staff complete
a T & E form three times a year (at the end of each semester) and part time hourly staff complete a monthly time and effort form. Payroll sheets are reviewed for students working on projects. The project personnel, the principal investigator/program director, department chair, Dean and Sponsored Programs are required to certify the form. The principal investigator must notify the Office of Sponsored Programs whenever the percentage of effort changes. The Office of Sponsored Programs is responsible for retaining time and effort reports. Time and Effort Reports are not required for student stipends and student scholarships.

Audit

The Finance and Administration Office is subject to an annual audit by an independent accounting firm. The examinations are intended to ascertain the effectiveness of the financial management systems and internal procedures that have been established to meet the terms and conditions of the grant agreements. Fiscal integrity of financial transactions is tested, as well as compliance with terms and conditions of federal and other grants. Delaware State University is subject to OMB Circular A-133 single audit requirements as a State university. Financial records are also subject to review by Internal Audit. It is important to note that Federal and State agencies can notify the PI/PD of a site review at anytime during the grant period or shortly after the close of the project/program. All required documents need to be organized and filed to be in full compliance. All program/award documents are retained by the PI, Office of Sponsored Programs and the Office of Restricted Accounting for 3-5 years (depending on the agency terms and conditions) after the close of the award unless otherwise specified due to audit review.

Major Changes in the Research Plan

Any change that constitutes a redirection of the statement of work (and associated budget) included in the original proposal should be discussed and approved in advance with the funding sponsor technical representative. Written communication must be sent to the sponsor regarding the proposed change, with a copy to OSP and Restricted Accounting. No changes should take place until approval (in writing) has been received from the sponsoring agency.
Cognizant Agency

The cognizant federal agency for Delaware State University is the Department of Health and Human Services. The cognizant agency is responsible for negotiating indirect cost rates, ensuring that audits are received and that reports are made in a timely fashion in accordance with the relevant agency and circular requirements. The cognizant agency provides technical advice, makes quality control reviews of selected audits, coordinates audit reviews and oversees the resolution of audit findings.

Information Resources

The Office of Sponsored Programs subscribes to the Federal Grants Management Advisory Service which sends monthly updates of the changes in federal requirements.

Post-Award Changes and Approvals

Carryover of Funding

Sponsoring agencies and organizations have different rules regarding funds that are unspent at the end of a budget period in a multi-year grant.

NIH requires that unobligated funds at the end of one budget period be returned or subtracted from the next budget period unless carryover has been approved. **A request to carry forward funds should be made prior to the last quarter of the budget period if possible.** A request should be sent through OSP to the sponsor with an explanation of why the residual funds exist and how these funds will be used during the next budget period.

No Additional Funds ("No Cost") Extension

Requests to extend the award termination date without additional funds should be sent to the representative at the funding agency with copies to the Office of Restricted Accounting, and the OSP. Request for a no-cost extension should be accompanied by an explanation of the need for a time extension and brief statement of how the residual funds will be used during the requested period of extension.
Supplemental Funds

Request to supplement awarded funds should be treated as a "mini-proposal". A budget showing how the funds will be spent and an explanation of why they are both necessary and relevant to the research must be included in the request. All supplemental requests must be processed through the Office of Sponsored Programs.

Change of Principal Investigator

Requests to change the principal investigator must have the approval of the President or Provost, academic dean, and the sponsor. Reasons for the change, together with a curriculum vitae for the proposed new principal investigator, should accompany the request.

Absence or Change in Status of the Principal Investigator

Should the status of the PI or PD change (i.e., when the project will continue without the active direction of the PI/PD, the PI/PD will be absent from the project for more than a continuous period in excess of three months) agency notification is required. Questions or changes regarding the budget should be discussed in connection with the change of PI/PD.

Prior Approval Authorities

For policies and procedures review the following websites:

National Science Foundation (NSF)
www.nsf.gov/pubs/policydocs/papp/index.jsp

National Institutes of Health (NIH)
www.grants.nih.gov/grants/policy/policy.htm
CONTACT LIST

The following people are available and offer their assistance:

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