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. 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 at www.desu.edu/research/OSP/Policies6.php.

Dr. John N. Austin
Associate Vice President for Research and Sponsored Programs
Table of Contents

Preface ..............................................................................................….. i  
Table of Contents ........................................................................................................ ii  
Grant Submission Process Chart........................................................................ iii  
Definition ..........................................................................................….. 1  
OSP Staff ..........................................................................................….. 2  
The Principal Investigator ..................................................................….. 3  
Conflicts of Interest ...........................................................................….. 4  
Funding Opportunities ............................................................................. 7  
Funding Sources ......................................................................................... 7  
Institutional Data ......................................................................................... 7  
Special Types of Funding ............................................................................. 8  
Proposal Types ........................................................................................... 8  
Pre-Submission Procedures ........................................................................... 9  
Questions to Consider in Developing a Proposal ........................................... 10  
General Format for Proposals ........................................................................ 11  
Cover or Title Page ................................................................................ 11  
Abstract .................................................................................................. 11  
Table of Contents ...................................................................................... 12  
Introduction or Statement of Need ............................................................. 12  
Description of Proposed Research .............................................................. 12  
Budget .................................................................................................... 14  
Direct Costs .............................................................................................. 14  
Salaries and Wages ................................................................................ 14  
Fringes Benefit ........................................................................................ 15  
Capital/Permanent Equipment ..................................................................... 15  
Materials and Supplies ............................................................................... 16  
Travel ....................................................................................................... 16  
Other Direct Costs ........................................................................................ 16  
Trainee Costs ........................................................................................... 17  
Cost Sharing ............................................................................................... 17  
Indirect Costs .............................................................................................. 17  
Total Project Costs ..................................................................................... 18  
Sub-agreements ........................................................................................... 20  
Personnel ................................................................................................... 20  
Non-Competing Continuation Proposals ..................................................... 21  
Proposal Checklist ...................................................................................... 22  
Submitting a Proposal .................................................................................. 23  
Incentives ................................................................................................... 24  
Attachment I-A and I-B (Sample Budgets) ................................................... 24  
Attachment II OMB Circular A-21 .............................................................. 24  
Attachment III Internal Processing Form ................................................... 24  
Appendices

Appendix A: Funding Opportunity Request Form
Appendix B: Gantt and PERT Charts
Appendix C: Travel Policy
Appendix D: IACUC Committee
Appendix E: IRB Review Committee

Attachment III Internal Processing Form
Appendix F: Safety/Risk Management
Appendix G: Institutional Fact Sheet
Proposal Processing Chart

Faculty Member presents the proposal to the Dean

Dean’s Approval

Yes

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

Faculty Member submits final proposal/Application to OSP

OSP reviews proposal for compliance and budget concerns

Concerns?

Present proposal to President for approval

No

Proposal returned to the PI for revision and/or clarification

-Principal Investigator -Restricted Funds Accounting - Single Point of Contact

Notification of Award (NOA) sent to stakeholders

Award letter received by OSP

Sponsoring Agency Approves?

SPOC/RFA

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

Proposal package returned to OSP

Sponsoring Agency Disapproves?

Proposal sent back to PI

Budget changed from initial proposal – revise and communicate with OSP, SPOC and Restricted Funds Accounting

Budget same

RFA assigns and releases the budget number to OSP

Sponsor participate in post award conference with OSP

PI signs off on post award review

OSP gives PI the budget number

PI meets with assigned Financial Administrator

PI begins project management which continues to project conclusion

Stakeholder participate in post award conference with OSP

Call OSP for close-out Conference

Approved?
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. 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 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 and Director, Associate Director, Research Administrator, Grants Officer, Compliance Officer/Specialist, Contract Specialist 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 contracts. This form can be found on OSP’s website at [http://www.desu.edu/faculty-proposal-submission-response-form](http://www.desu.edu/faculty-proposal-submission-response-form). 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, 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) problems are being dealt with, 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 and programmatic reports.

---

**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.

University Affiliation for Institutional Awards

**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.

**Conflicts of Interest**

Conflicts of interest arise when employees use or appear to use their positions with the University for private 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 policy is found on the University’s website under the Office of Human Resources. Further, the University subscribes to the principles set forth by the Public Health Service and National Science Foundation for its Conflict of Interest Policy.

"On October 1, 2000, the Federal Register published the proposed rules for the Conflict of Interest Policy for PHS and NSF. Both agencies have issued rules regarding institutions
that apply for research funding from them must have policies and written procedures....

Under the proposed rules, researchers are required to disclose to official(s) designated by the Institution a listing of significant financial interests. Significant financial interest means anything of monetary value, such as consulting fees, honoraria, stock, stock options, royalties from patents and copyrights. Financial interests in businesses if the value exceeds $5,000 per annum, if salary, fees or other payments represent more than a 5% ownership interest for any one business entity received by the researcher and the researcher’s wife and children must be reported. The institutional official(s) will review these disclosures in accordance with an administrative process to be established by each institution. Institution official(s) will determine if the reported financial interests are acceptable. The institution must act to protect any funded research from bias that may arise from those interests.

**The Office of Management and Budget (OMG) has the following Code of Conduct Policy**

"The recipient shall maintain written standards of conduct governing the performance of its employees engaged in the award and administration of contracts. No employee, officer, or agent shall participate in the selection, award, or administration of a contract supported by Federal funds if a real or apparent Conflict of Interest would be involved. Such a conflict would arise when the employee, officer, or agent, any member of his or her immediate family, his or her partner, or an organization which employs or is about to employ any of the parties indicated herein, has a financial or other interest in the firm selected for an award. The officers, employees, and agents of the recipient shall neither solicit nor accept gratuities, favors, or anything of monetary value from contractors, or parties to sub-agreements. However, recipients may see standards for situations in which the financial interest is not substantial or the gift is an unsolicited item of nominal value. The standards of conduct shall provide for disciplinary actions to be applied for violations of such standards by offices, employees, or agents of the recipient." (http://www.whitehouse.gov/omb/circulars/a110/a110.html #42).
The University has adopted the following "Ethical Standards of Professional Behavior" principles which can be found on the University's Human Resources webpage.

"Conflicts of Interest exist when it is likely that an employee could be influenced or could be perceived as being influenced, by a personal interest in carrying out their duties of employment. Some related interests that may give rise to a conflict of interest include:

The influence of an employee in a University financial matter that benefits that employee or their family/friend (s)

- Acceptance of gifts that may cause others to perceive that a conflict exists
- Use of university information for personal benefit
- Use of university equipment or resources for personal benefit
- Use of one's position or authority for personal benefit or to the detriment of another

Employees who suspect that there are ethical concerns about their behavior should consult their Chair/Dean and/or Vice President of Human Resources. If employees are uncertain whether a conflict exists, they should discuss the matter with their Chair/Dean and attempt to resolve any conflicts of interest that may exist.

To resolve any conflicts of interest that occur, or could occur, a range of options are available depending on the significance of the conflict. These options may include but are not limited to the following examples:

- Make written notes of the details of the disclosure and take no further action (because the potential for conflict is minimal);
- The employee relinquishing the personal interest, or
- The employee is being removed (if possible) from the task/activity/situation where the conflict could occur.

Disputes over alleged conflicts of interest may be resolved through the Vice President of Human Resources." [http://www.desu.edu/hr/policies/Ethics.doc](http://www.desu.edu/hr/policies/Ethics.doc)

"More information is available on The Office of Sponsored Programs webpage at: [http://www.desu.edu/conflict-interest](http://www.desu.edu/conflict-interest).
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 program descriptions, bulletins, newsletters, annual reports, and announcements, 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 they may contact the OSP regarding potential funding sources. Searches for various programs can also be executed through Grants.gov. The OSP staff will also 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 (http://www.desu.edu/forms-library-0) 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 or a grant. 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 to their organizations. **However, in no case, should a private foundation or corporate funder be contacted for donations without the approval of 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 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. Likewise, an individual may visit a potential sponsor. Throughout the course of such calls or visits, **there cannot be any commitments of university resources or cash 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 by the OSP prior to submission.

(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 is subject to the review and approval of 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 for the cover page, text, biographical data 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;
- 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);
- name and title of the principal investigator;
- 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 http://archives.desu.edu/research/osp/documents/InstitutionalFactSheet.pdf.

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 project proposed;
- 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 exactly what their responsibilities to the project will include. 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 apart of the project. A Gantt chart (click here to see 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 (click here to see Chart) may be needed.

**Budget** - 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.

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 in on the OSP website at http://www.desu.edu/forms-library-0.

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

Office of Management and Budget, Cost Principles for Educational Institutions; Final revision of Circular A-21; Federal Register, Wednesday, August 31, 2005 p.51880-51909 (available in the OSP). (http://www.whitehouse.gov/omb/circulars_default/)

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 at least 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 during that period is the base salary. Sponsors differ on providing funds for summer salary.

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. Fringe benefits are calculated as a percentage of salary. An average fringe benefit of \(0.38\) 38 percent is charged on the salaries of full-time faculty and staff. A rate of \(0.0175\) 1.75 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 \(0.096\) 9.6 percent. When hiring state employees for a project on a part-time basis, \(0.2571\) 25.71 percent must be used for fringes, however, if the employee being hired is a non-state employee, \(0.096\) 9.6 percent must be used. Actual fringe benefits break outs can be found on [http://archives.desu.edu/research/osp/documents/InstitutionalFactSheet.pdf](http://archives.desu.edu/research/osp/documents/InstitutionalFactSheet.pdf).

**Capital/Permanent Equipment:** This is defined by the federal government as nonexpendable tangible property cost $500 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 $500 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 (.50 cents/mile), 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. *(click here to See DSU Travel Policy)*.

**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."¹
- 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, the Office of Sponsored Programs or http://www.desu.edu/forms-library-0 for the appropriate form. 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.

**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, 2007 the University’s indirect costs will be calculated under the Modified Total Direct Cost (MTDC) rate of **43% 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.**
<table>
<thead>
<tr>
<th>Total Direct Cost to Include*</th>
<th>Total Direct Cost to Exclude *</th>
</tr>
</thead>
<tbody>
<tr>
<td>Salaries &amp; Wages</td>
<td>Equipment</td>
</tr>
<tr>
<td>Fringe Benefits</td>
<td>Capital Expenditures</td>
</tr>
<tr>
<td>Travel</td>
<td>Charges for Patient Care</td>
</tr>
<tr>
<td>Supplies &amp; Materials</td>
<td>Student Tuition Remission</td>
</tr>
<tr>
<td>Services (Up to $25,000)</td>
<td>Rental Cost of Off-Site Facilities</td>
</tr>
<tr>
<td>Subgrants (Up to $25,000)</td>
<td>Scholarships &amp; Fellowships</td>
</tr>
<tr>
<td>Subcontracts (Up to $25,000)</td>
<td>Excess of $25,000 from Services, Subgrants and Subcontracts</td>
</tr>
</tbody>
</table>

**Cost Sharing:** Occasionally, sponsors require the University to make a contribution to a project’s total costs. Cost sharing must have the concurrence 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 has no resource for direct cost-share or tuition remission.**

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. 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, “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 is 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.

---

**Non-Competing Continuation Proposals**

If not specified in a sponsor’s application form or instructions, a non-competing 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? (See IACUC Review Committee).

☐ If the research involves human subjects, has it been reviewed and by the IRB? (See IRB Review Board)

☐ 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, Dean, the Provost and the Director of Sponsored Programs **must approve the proposal by signing the University’s Internal Processing Form** (IPF). The Single Point of Contact (SPOC) form is completed by OSP staff, but is signed by the Provost. The Academic Deans 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). 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 before 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 attorney must be submitted to the OSP two (2) weeks – ten (10) 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 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. An appropriate account number should be provided to the OSP when the proposal is delivered. 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.
- 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>
</tr>
</thead>
<tbody>
<tr>
<td>Delaware State University</td>
</tr>
<tr>
<td>Office of Sponsored Programs</td>
</tr>
</tbody>
</table>

If the unit is a school:
- School – 5%
- Department – 5%
- Principal Investigator – 30%

If the unit is not a school:
- Unit – 5%
- Department – 5%
- Principal Investigator – 30%

• 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

Resources

The following resource materials are among the most widely available in the OSP to faculty and staff:

**SPIN (Sponsored Programs Information Network)** – SPIN is a computer database of funding opportunities (federal, nonfederal, and corporate) designed to assist faculty and administrators in the identification of external support. SPIN not only tells of research funding opportunities, but also gives information about fellowships, postdoctoral opportunities, development and educational curriculum projects, sabbatical and publication support, and much more. The information collected for SPIN is largely aimed at institutions of higher education, teaching/research hospitals and university libraries.
Grants.gov: - All federal grant-making agencies have partnered with grants.gov. The federal government’s free, single and secure internet source for all federal grants to expand postings of grant announcements. Grants.gov allows you to find and apply for more than $400 billion in annual grants for all federal grant-making agencies.

Aid for Education Report - This is produced by CD Publication. It is a semi-monthly report that contains Washington Watch, Local and Special Education, Education in General and Higher Education updates. A special section on grant tips and grant updates is also included.

Federal Grants Management Handbook - How to comply with federal requirements for non-decimation, environmental, historic preservation, labor standard, drug-free workplace, freedom of information, privacy, disclosure, and patents and copy rights. Reviews prohibited activities, the judicial and administrative process, and procedures and controls.

Clinical Trials Administrator - This periodical is published monthly by the Thomson American Health Consultants. Thomson American Health Consultants is accredited by the Accreditation Council for Continuing Medical Education (ACCME) to provide continuing medical education for physicians and researchers.

Report on Research Compliance – News and Analysis for Colleges, Universities and Teaching Hospitals. The report is co-published monthly by the National Council of University Research Administrators and Atlantic Information Services, Inc. The periodical has updates on research integrity, human research protection programs, and research compliance to name a few.

Grants and Funding for Higher Education – This publication provides grant and contract opportunities from a variety of federal agencies, grant writing tips and E-News Alerts that are of importance and interest to higher educational institutions.