JACKSONVILLE STATE UNIVERSITY
Manual of Policies and Procedures

POLICY NUMBER: II:05:01   DATE: May 1, 1987
SUBJECT: Approval of Proposals for Externally Funded Sponsored Projects
APPROVED: William A. Meehan, President

PURPOSE
To ensure adequate University support and oversight for acquisition and implementation (pre-award and post-award) of externally funded sponsored project management.

POLICY
Jacksonville State University established the Institute for Research and Collaboration (IRC) to facilitate collaboration for sponsored projects across the campus. The Institute ensures that JSU’s standards for performance are achieved by providing expertise to guide faculty through the life cycle of a project using standardized methods. By supporting faculty with project management and other supports, Principal Investigators will have more time to focus on the

JSU Sponsored Projects Process

1. Marketing & Research Center Development
   - OPR works with faculty to develop capacity and enable faculty websites and new resources.

2. Training
   - OPR works with Controller’s Office to provide education for project management.

3. Proposal Development
   - OPR facilitates identification of funding opportunities.

4. Award Notification & Project Setup
   - Controller’s office sets up account.

5. Project Management
   - OPR facilitates project development.
   - OPR establishes project management websites and resources.

6. Project Closeout
   - OPR facilitates project completion and project documentation.
   - Auditor’s office reviews project documentation.

OPR is the office responsible for ensuring proposals are reviewed and approved.
research and other requirements of funded projects. Figure 1 indicates the life cycle of the sponsored program and the roles of the IRC in supporting faculty success.

The IRC also works with faculty to develop topic-specific research centers, allowing faculty to collaborate, publish findings, and receive recognition for their research efforts. The IRC will work with faculty-driven research centers to promote research agendas with potential funders through website development, materials development, and strategic meetings.

Ultimately, the administration of grants will be the responsibility of the grant recipient and the applicable department head through the established structure of the University. The program and financial reporting also will be the responsibility of the individual grantee and associated department head. However, the Institute for Research and Collaboration will provide support as requested, and grant recipients will follow the best practices established by the IRC including submitting a copy of financing reports to the Restricted Funds Office prior to submission to the sponsoring agency. A copy of program reports will be filed with the Institute for Research and Collaboration and stored on the IRC’s secure online project management system.

**Identifying External Funding Opportunities**

The Coordinator of Proposal Development (Institute for Research and Collaboration) will assist faculty and staff in locating funding opportunities, developing new proposals and obtaining approval within the University. Information on funding opportunities is made available through the following sources:

- Catalog of Federal Domestic Assistance
- Federal Register
- Commerce Business Daily
- Grant Source Book for Higher Education
- National Science Foundation bulletin
- National Endowment for the Arts Guidebook
- NIH Guide for Grants and Contract
- www.grants.gov

These materials may be available online or in the university library. Available in the Institute for Research and Collaboration are Guidelines for Writing Proposals and suggestions for getting proposals funded. Every effort will be made to assist faculty and staff in developing the
proposals and assisting with the steps necessary to submit to an agency for funding.

A. All Grant/Contract/Agreement proposals for service(s) by Jacksonville State University are to be processed and approved as noted in the referenced policies.

B. A copy of each approved Grant/Contract/Agreement must be filed with the Institute for Research and Collaboration, External Compliance, and the Restricted Funds Office.

C. All costs, including applicable fringe benefits, must be deducted from funds received through the Grant/Contract agreement.

In addition, training opportunities for faculty interested in developing proposals will be made available to IRC Staff at least twice each year.

**Pre-Proposal Development**

A. Read the entire Request for Proposal (RFP) carefully and determine the eligibility for the grantee. RFPs may also be referred to as Program Announcements and/or Application for Participation.

B. If eligible, determine if there is a monetary and/or in-kind match requirement. If there is a match requirement, approval from either the Department Head or applicable Vice President will be needed to move forward with the proposal.

C. Once eligibility and match requirements have been determined, the Principal Investigator (P.I.) should schedule a Go/No Go Meeting with the IRC depending upon the type of proposal (individual or collaborative). Go/No Go meetings are intended to determine the feasibility of the proposal and to provide a timeline for proposal development and submission.

D. If further clarification about the component of the opportunity is needed, the PI is strongly encouraged to contact the Program Officer for the funding agency. Program Officers welcome questions and are more than willing to assist when possible.

E. Once the decision has been made to formally develop a proposal, the PI is to submit a Notification of Grant Proposal Development form to the Coordinator for Proposal Development.

**Developing the Proposal**

The Coordinator of Proposal Development in the Institute for Research and Collaboration is available to assist in development of all new proposals.
The following steps are suggested for developing a proposal:

A. Thoroughly read the RFP and determine the evaluation criteria. The evaluation criteria often will serve as the outline for the proposal, unless otherwise specified in the RFP.

B. The following are things the funder may also be looking for as evidence that you have a clear understanding of the goals and objectives of the opportunity:

1) Clear understanding and statement of the need for the project.

2) Literature review citing current research and/or information on the topic.

3) A clear plan of operation for the project.

4) A detailed budget and budget justification.

5) An assessment plan that adequately evaluates and analyzes the goals and objectives stated for the project.

C. If the funder does not specify the components of the proposal, JSU minimum standards require the following:

1) Clear narrative describing the scope of work

2) Clear plan of operation for the project

3) Detailed budget and budget justification

4) Listing of all proposed personnel and brief biography

JSU has resources to support project evaluation, data analysis, and project management. Contact the Coordinator of Proposal Development for information.

The Principal Investigator will process the proposed grant/contract agreement with Jacksonville State University using the approval Form for sponsored Projects (Form 42). Either the PI or the Coordinator of Proposal Development will submit the proposed grant/contract agreement between JSU and the agency.

**Submission and Review of the Proposal**

Study the RFP and follow the submission instructions exactly. Proposal submission varies from funder to funder, and adherence to submission instructions is crucial. Many funders will not review the proposal if any part of the submission is incorrect. Pay close attention to page
limitations, font sizes, and margin requirements. If in doubt, contact the Program Officer of the funding agency directly for clarification.

The proposal should be approved by the department head, appropriate dean and vice president, and submitted to the Institute for Research and Collaboration normally ten (10) days prior to the submission deadline. The formal proposal should respond to the grant application submission requirements.

An approval form (Form 42) is included as the cover page of this document with the following signatures and assurances:

**Principal Investigator** - the Principal Investigator assumes the responsibility required by the Grantor and University Policy and Procedures, and agrees to comply.

**Department Head** - The Department Head is the person in the best position to judge the merits of the proposal in terms of departmental objectives and support. Department Head review is necessary to ensure adequate support in Human Resources, space, and equipment for the project. The Department Head assumes co-responsibility with the Principal Investigator for budget and reporting.

**Dean** - After review and approval by the Department Head, the Principal Investigator should send the proposal to the appropriate Dean or immediate supervisor for review and signature. This procedure is necessary because most projects require the commitment of University resources (personnel, equipment, facilities and other match funds) by the granting agency.

**Appropriate Vice President or President** - Approval indicates commitment of divisional resources and match funds, and advances the mission, goals, and objectives of the University.

**Coordinator of Proposal Development** - Coordinates submission of grants. From the President or Vice President for Administrative and Business Affairs, proposals will be forwarded to the Coordinator for facilitation of submission.

**Restricted Funds Accountant** - The proposal complies with the University Policy and recommends approval by the University's authorizing official.
President - The President is responsible for giving final clearance for submission of proposals to funding agencies. The President or the Vice President for Administrative and Business Affairs is the “authorized official” to sign all grant proposals for the University. In his absence he will designate a substitute "authorized official.” It is important to realize that before a proposal is signed, all aspects of the proposal must be reviewed by the various agencies on campus and there must be concurrence that it is ready for approval.

Executive Director – IRC – The OPRC is the official office of record.

Additional Considerations That May Be Relevant To Your Proposal

A. Protection of Human and Animal Subjects
Jacksonville State University will not submit a proposal in which human or animal subjects are involved unless it has been reviewed carefully to guarantee compliance with established policy. JSU’s Human and Animal Subject Review Boards will provide information regarding protection of human subjects. The Associate Vice President for Academic Affairs will submit the proposal to the Institutional Review Board if prior approval has not been received.

B. Civil Rights
Jacksonville State University is an equal opportunity institution and therefore complies with the intent and letter of the law regarding employment, admissions, etc. The Associate Vice President for Enrollment Management and Student Affairs is the designated Equal Opportunity/Affirmative Action Officer who ensures full compliance with all regulations pertaining to Civil Rights.

C. Intellectual Property and Fair Use Policy
Jacksonville State University has developed a policy pertaining to patents policy and copyrights. This policy may be found in the Policy and Procedures Manual, Policy Number II:05:03.

D. Cost Sharing
Certain granting agencies require the University to share in costs for the project. It is the University’s policy to review proposals for projects that require cost sharing with the view that the direct benefit will outweigh the anticipated cash investment.

E. Indirect Costs
Indirect costs are those that have been incurred for purposes common to a number of activities of the University but which cannot be identified and charged directly to the project. Examples include such items as heating, lighting, air-conditioning, accounting, library services, janitorial services, etc. These are real costs for this University and it is important that these costs be recovered by
proposed activities for research, training and service projects. The indirect cost rates are negotiated each year and may vary depending on the agency, the scope of the project and location of the project.

**Negotiating with Awarding Agency**

Funding agencies generally will contact the Principal investigator to clarify, alter or determine conditions prior to awarding a grant. For minor administrative or budget changes (unless restricted by grantor), the Principal Investigator must consult with the department head. When major alterations or changes become necessary, written revisions will be needed and will require signatures of the project director, department head, dean and vice president.

**Grant Administration**

A Project Manager, within the Institute for Research and Collaboration, will work with the Principal investigator to support the administration of grants and contracts. Upon award notification, the Project Managers will meet with the Principal investigator to establish the start of work meeting. The Principal Investigator and Project Manager will decide on the level of support that is necessary for the contract or grant. Example of project management duties include (may not be applicable to all proposals): administrative support, time management/billing, project evaluation, financial and status reporting, task tracking, communication plan coordination, and other duties as defined by the solicitation.

During the start of the working meeting, the Project Management, the Principal Investigator(s), and the team will discuss project objectives and tasks related to those objectives. Also, the Project Managers will develop the Project Management Plan (PMP) for the grant or contract. The PMP is a document that outlines supporting personnel and responsibilities, communication planning and methods, financial and status reporting requirements, inventory management (if applicable), quality management, risk assessment, project schedule, and other conditions as defined by the solicitation. The PMP defines how the project is executed, monitored, and controlled. The Project Manager will create a draft PMP and will work with the Principal Investigator to finalize the document. The PMP will serve as a guide throughout the project life cycle.

Other tasks to be accomplished upon award include the following:

A. The Principal Investigator, with the assistance of the IRC Project Manager and the applicable department head, will be responsible for administration of the grant. The grant award documents should be sent to the Restricted
Funds Office for initiation of a new budget account, file copies made, and then forwarded to the Office of Internal Audit/External Compliance to ensure that its provisions conform to the proposal and University policies and regulations. The Principal Investigator, with the assistance of the IRC project Manager, is responsible for processing all fiscal matters connected with the project.

Any budget changes must be in compliance with Grantor and University regulations. Documentation of agency approval is necessary for most budgetary changes. All budget changes must be done on Form 4 and sent to the Office of Internal Audit/External Compliance for approval and Restricted Funds Office for completion.

B. The Restricted Funds Office will assign a budget number for the grant/contract agreement and establish the budget. If matching funds are required, a budget number in fund 1 will be assisted; no fund 2 will be created until match requirements are met. The Principal Investigator should ensure the budget in the matching fund 1 account is established and that expenditures meet the required match. A Salary Distribution Form (Form 100) must be completed for required matching personnel expenditures.

C. Following the performance of the work by Jacksonville State University, the Principal Investigator, with the assistance of the Project Manager, prepares and sends an invoice to the grantor. A copy of the invoice is forwarded to Restricted Funds for approval prior to submission to grantor. The grantor should send payment to the Restricted Funds Accountant to be deposited in the appropriate account. Required program reports are the responsibility of the Principal Investigator who may seek assistance from the IRC Project Manager. A copy of all program reports must be sent to the Institute for Research and Collaboration via the secured online project management system.

D. Jacksonville State University employees performing duties for extra compensation must complete an Employee Contract for Extra Compensation (Form 46) prior to the beginning of the work and the amount must be included on the appropriate payroll payment authorization form (Biweekly/Monthly Service Report) to authorize payment to the faculty or staff member. It may be determined that the IRC Project Manager will assist with this paperwork. Salary, plus applicable fringe benefits, will be charged to the grant/contract budget. Time sheets must be attached to payment submission. Refer to Extra Compensation Policy II:05:02.

E. Where extra compensation has been approved, time sheets are required and must be sent to Human Resources for approval and copied to the Office of Internal Audit/External Compliance. The Project Manager can assist with collecting the timesheets and completing the Extra Compensation Forms.

F. A Professional Services Contract (Form 20) must be completed by the Principal
Investigator prior to contracting with an outside consultant. Payment must be approved by the Office of Internal Audit/External Compliance.

G. A Salary Distribution Form (Form 100) must be completed for personnel expenditures paid by grant/contract agreements and sent to Human Resources. Failure to comply with this requirement could result in the loss of these funds.

H. Requests for reimbursement of personal travel expenses should be processed by the individual, using the appropriate travel form (see Policy IV:06). Travel for non-JSU consultants must be charge to Contractual Services (account code 72703) and will be included in the taxable amount paid to the contractor. Travel forms must be approved by the Office of Internal Audit/External Compliance.

I. Any equipment purchase must be approved by the Director of Purchasing and the Office of Internal Audit/External Compliance.

J. Principal Investigators must comply with funder reporting requirements. All reports must be submitted to the IRC Project Manager where they will be archived in a secure online project management system. Should the funder not provide reporting requirements, JSU minimum standards are:

- Monthly timesheet and task tracking due to the Project Manager each month.
- Financial reporting due to the Project Manager each month.
- End of contract Final Report due to the Project Manager sixty (60) days after the project ends, which includes:

  1. Name of Project, client, and beginning/end dates of project
  2. Narrative summary of work performed
  3. Role of personnel including time expended on the project
  4. Problems encountered and how solved
  5. Deliverables and date of delivery
  6. Opportunities for future work with client.

RESPONSIBILITY
The Office of Planning, Research and Collaboration is responsibility for this policy.

EVALUATION
This policy will be reviewed every five years.