Proposal Development

Welcome to Proposal Development. The Institute for Research and Collaboration is here to support faculty and University personnel in the pursuit and administration of externally funded grants and contracts, in compliance with the requirements established by Federal and State laws, sponsor rules and regulations and University policies and procedures.

Where can JSU faculty and staff get help with Proposal Development?

The Coordinator of Proposal Development assists faculty and staff in locating funding opportunities, developing proposals and obtaining approval within the university.

The Restricted Funds Accountant provides budget and accounting support for all awarded grants and contracts.

The Project Manager is available to assist PI's in the development and administration of program requirements.

We are here to help you in the preparation of proposals by assisting you in the pre-award, award, and post-award activities. We provide advice and assistance with identifying potential sources of funding, development of projects, budget preparation, completing applications, proposal editing and review, as well as other aspects of the proposal development process. A Checklist to assist you in the process is included in this guidebook. We serve as the facilitator to aid the principal investigator from project inception to closing of a funded grant or contract.

- All Grant/Contract/Agreement proposals for service(s) by Jacksonville State University are to be processed and approved as noted in the referenced policies.
- A copy of each approved Grant/Contract/Agreement must be filed with the Office of Planning and Research, External Compliance, and the Restricted Funds Office.
- All costs, including applicable fringe benefits, must be deducted from funds received through the Grant/Contract agreement.

Information on funding opportunities is made available through the following sources:

- Grants.gov
- Catalog of Federal Domestic Assistance
- Federal Register
- Commerce Business Daily
- National Science Foundation Bulletin
- National Endowment for the Arts Guidebook
- National Endowment for the Humanities Guidebook
- NIH Guide for Grants and Contracts
- OIRA Website
- Grant Sourcebook for Higher Education
- Federal Grants Management Handbook

These materials are available online and/or in the JSU Library. The Internet and library has an array of resources available to help you begin the proposal development process.
Developing the Proposal

Step 1. Identify the Need or Problem.

NOTE: For all proposals, a Notification of Grant Proposal Development form should be completed and submitted to the Coordinator of Proposal Development (CPD) for pre-approval. The Primary Investigator (PI)/Project Director (PD) should submit the form. Once submitted, the CPD will contact the PI/PD with pre-approval information so the formal grant can begin and/or continue to be developed.

Step 2. Scope of Work:
- Define the activity in terms of the skills, framework in which it will be developed, scope of work, and length of time for implementation.
- Study the literature on your subject to broaden your knowledge.
- State the objective(s) of your proposed activity and its ultimate purpose.
- Specify the plan of operation.
- Define the population and sampling pertaining to your activity.
- Write a plan for evaluating the activity.

The formal proposal should respond to the grant application and may include the following components*:

<table>
<thead>
<tr>
<th>Title and Signature Page</th>
<th>Plan of Operation</th>
</tr>
</thead>
<tbody>
<tr>
<td>Abstract</td>
<td>Evaluation Plan</td>
</tr>
<tr>
<td>Introduction</td>
<td>Budget</td>
</tr>
<tr>
<td>Table of Contents</td>
<td>Resume(s)</td>
</tr>
<tr>
<td>Statement of Problem</td>
<td>Bibliography</td>
</tr>
<tr>
<td>Objectives</td>
<td>Other pertinent information</td>
</tr>
</tbody>
</table>

* This list is simply a suggestion - Be sure to follow the required guidelines of the grant application as they vary by grantor.

Step 3. Develop a budget listing all anticipated costs. Be sure to calculate Indirect Costs as part of the total amount of funds requested. For assistance with Indirect Costs, contact Robin Yarbrough, Restricted Funds Accountant at (256) 782-5401 or rthompson@jsu.edu.

Refer to BA Form 42 and BA Form 42B for JSU Budget requirements. The requirements of the grantor budget form(s) can be found within the application information for the applicable grantor.
Financial Points to Consider in Proposal:

- Award Amount
- Period of Performance
- Cash and/or In-Kind Matching including sources of funds and budget number. Should there be a match requirement, prior approval by the appropriate department/division VP is highly recommended before a proposal is fully developed.
- Method of payment from sponsor
- Program Revenue Generated
- Project Budget by Expense Category
- Fringe Benefits Rates*:

<table>
<thead>
<tr>
<th>Benefit Type</th>
<th>Rate</th>
</tr>
</thead>
<tbody>
<tr>
<td>F.I.C.A. (FIO/Old Age and FIM/Medicare)</td>
<td>7.65%</td>
</tr>
<tr>
<td>Matching Teaching Retirement System</td>
<td>10.00%</td>
</tr>
<tr>
<td>T.I.A.A.</td>
<td>1.00-5.00%</td>
</tr>
<tr>
<td>Unemployment Compensation</td>
<td>.06%</td>
</tr>
<tr>
<td>Health Insurance</td>
<td>$714.00 / month</td>
</tr>
<tr>
<td>Life Insurance and Disability</td>
<td>.0042%</td>
</tr>
</tbody>
</table>

*Based upon a $40,000, 12-month annual salary and subject to annual revision.

All fringe benefit figures are approximate and will change based on individual personnel. Please contact Judy Harrison, Assistant Director of Human Resources, at (256)782-8569 or harrison@jsu.edu for individual fringe benefit rate information.

- Indirect Cost Rates:
  - JSU has a federally negotiated Indirect Rate with the U.S. Department of Health & Human Services of 44% of JSU personnel salary/wages only.
  - Department of Education grant projects typically allow 8.00% of the Total Direct Cost of the program to be charged as Indirect.
  - A statement that JSU reserves the right to adjust spending on the contract as required for changes in fringe benefit rates.

For assistance with Indirect Cost rates, contact Robin Yarbrough, Restricted Funds Accountant, at (256) 782-5401 or rthompson@jsu.edu.

The Principal Investigator will process the proposed grant/contract agreement between Jacksonville State University and the agency using the JSU Approval Form for Sponsored Projects (BA Form 42).
Jacksonville State University Institutional Information

**Organizational Type**: Institution of Higher Education (Coeducational College)

**Congressional District**: AL-003

**State Legislative Districts**: House / District 40 Senate / District 12

**County**: Calhoun

<table>
<thead>
<tr>
<th><strong>Funder Requested Codes</strong></th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Cage Code # (Federal Agreements):</strong> 1CA33</td>
</tr>
<tr>
<td><strong>Data Universal Number System (DUNS #):</strong> 079107165</td>
</tr>
<tr>
<td><strong>Employer ID # / Federal ID # / Tax ID #:</strong> 636001099</td>
</tr>
<tr>
<td><strong>Department of Education Federal Entity ID#:</strong> 00102000</td>
</tr>
<tr>
<td><strong>NSF Institutional/Organization Code</strong>: 0010207000</td>
</tr>
</tbody>
</table>

**SSPOC**: Alabama does not participate in the intergovernmental review process. Therefore, Alabama does not have a SPOC. Send application directly to Federal agency.

**Federal Lobbying Registrant**:  
Federal Solutions, LLC  
Dr. Marty Fuller  
828 West Briar Lake Drive  
Starkville, MS 39759

**Authorized Signatory for Jacksonville State University**:  
Mrs. Allyson G. Barker, Acting Vice President for Administrative & Business Affairs  
Jacksonville State University  
226 Bibb Graves Hall  
700 Pelham Road North  
Jacksonville, AL 36265  
(256) 782-5820  
abarker@jsu.edu

For additional Proposal Development information, please contact:  
Allison L. Newton, Coordinator of Proposal Development  
203 Bibb Graves ~ Phone: (256) 782-5108 ~ E-mail: anewton@jsu.edu
Is my proposal missing anything?

Additional considerations that may be relevant to your proposal include the following:

**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. For additional information regarding IRB policy and procedure contact Dr. Joe Delap, AVP for Academic Affairs, at (256) 782-8186 or jdelap@jsu.edu.

**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 Student Affairs is the designated Equal Opportunity Employment/Affirmative Action Officer who ensures full compliance with all regulations pertaining to Civil Rights. For additional information contact Dr. Tim King, AVP for Student Affairs at (256) 782-5020 or tbking@jsu.edu.

**Patent and Copyright Policies:** Jacksonville State University has developed a policy pertaining to patents and copyrights. This policy, Intellectual Property and Fair Use Policy, may be found in the Policy and Procedures Manual – II. Academic Affairs / II:05-03.

**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 cost. Prior approval for cost sharing by the appropriate department/division VP is highly recommended before a proposal is fully developed.

**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. For additional information regarding Indirect Costs, contact Robin Yarbrough, Restricted Funds Accountant, at (256) 782-5401 or rthompson@jsu.edu.
Review, Internal Approval and Submission of the Proposal

After the initial approval of the proposal concept and tentative budget by the Coordinator of Proposal Development – the proposal can then be fully developed into a formal proposal. The formal proposal should be approved by the department head, appropriate dean and vice president and submitted to the Office of Planning and Research. The JSU Sponsored Project approval form (BA Form 42) will be included as the cover page to the formal proposal submitted for review and signatures. The formal proposal should respond to the grant application and may include the following components*:

- Title and Signature Page
- Abstract
- Table of Contents
- Introduction
- Statement of Problem
- Objectives
- Plan of Operation
- Evaluation Plan
- Budget
- Resume(s)
- Bibliography
- Other pertinent information

* This list is simply a suggestion - Be sure to follow the required guidelines of the grant application as they vary by grantor. All new proposals require pre-approval from the Coordinator of Proposal Development (CPD). The primary investigator/project director should submit a Notification of Grant Proposal Development to the CPD. Once approved, the proposal can then be fully developed.

**Step 1:**
Principal Investigator: The Principal Investigator (PI) assumes the responsibility required by the Grantor and University Policy and Procedures and agrees to comply.

**Step 2:**
Department Head: Your 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.
**Step 3:**
**Dean:** After review and approval by the Department Head, the PI/project director should send the proposal to the appropriate Dean or immediate supervisor for review and signature. This procedure is necessary because many projects require the commitment of college resources (personnel, equipment, facilities and match funds) by the granting agency.

**Step 4:**
**Coordinator of Proposal Development:** Coordinates submission of grants. Upon receipt, the CPD will review, sign and send the proposal to the appropriate Vice President or President.

**Step 5:**
**Appropriate Vice President or President:** Approval indicates commitment of divisional resources and match funds and advances the mission, goals and objectives of the university.

**Step 6:**
**Restricted Funds Accountant:** The proposal complies with University Policy and recommends approval by the University’s authorizing official.

**Step 7:**
**President:** The President has the responsibility 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.

**May I negotiate directly with the awarding agency?**

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