



Sponsored Projects Handbook

**Office of Sponsored Programs
Southern Polytechnic State University**

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Section I

Pre-Award Activities

Sponsored Projects Handbook: Introduction

The purpose of the Sponsored Programs Handbook is to introduce faculty, staff and administrators at Southern Polytechnic State University to the basic processes involved in obtaining external funding and administering the awards that result. It has been designed as a reference tool for those occasions where basic information about participating in sponsored programs activities is needed by SPSU employees.

The Office of Sponsored Programs (OSP) is responsible for assisting faculty and departmental staff in proposal submission and award administration activities. All grants, contracts and sub-awards submitted must be routed through the OSP.

Investigators should be aware that most government agencies require electronic submission of proposals. They require an official electronic signature in order to complete the proposal submission and this signature is only available through the OPS.

Sponsored Projects Handbook:
Grant Proposal Guide

OSP

*(Office of Sponsored Programs
of Extended University)*

Grant Proposal Guide (GPG)

The GPG is designed to introduce you to the services that are offered through OSP *(Office of Sponsored Programs)* at SPSU. We encourage faculty and staff to utilize our services to pursue external funding in support of their research and program interests.

*If interested in any of the information contained
in this guide, please contact:*

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Welcome to OSP

The mission of the Office of Sponsored Programs (OSP) is to provide pre- and post-award services as well as compliance issues on behalf of Southern Polytechnic State University (SPSU).

External funding is available for a vast array of uses. These include but are not limited to the funding of social and scientific research, travel stipends, conducting specialized workshops, curriculum development, and for the equipment necessary to carry out the above.

Toward this end, OSP provides the information, assistance, and services needed to enable SPSU faculty and staff to identify opportunities, develop proposals, and secure external funding. OSP also assists with the financial monitoring and compliance issues of proposals generated.

When the University engages in external funding programs, the benefits can be felt community-wide. By utilizing the expertise of the faculty, staff and students at SPSU, we can broaden the educational experience for the people at our University and in our local communities.

Services of OSP

The OSP assists you in all phases of proposal development including pre-proposal development, submission and post-award follow-up. These services include:

- **Identifying funding sources** including federal, state, and local government, and private/corporate foundations.
- **Disseminating information** about funding opportunities through the OSP Website, *Funding Alerts*, workshops, and individual meetings.
- **Providing full support and technical assistance** in the development, preparation, and submission of proposals and applications (i.e., writing, reviewing, editing, budget preparation, on-line submission, etc.) to meet sponsor deadlines.
- **Providing a resource library** on proposal writing, funding, and project evaluation.
- **Coordinating with the Office of Advancement** on proposals submitted to private foundations or corporations.
- **Targeting funding searches** for interested faculty and interdisciplinary teams and advising them on project feasibility, timelines, etc.
- **Maintaining pre- and post-award contact** with funding agencies.
- **Maintaining post-award financial management** for the funded faculty.

Procedures of OSP

For Grants/Proposals:

The proposal development process is a **collaborative effort** between you and the OSP. Every effort is made to produce a fundable document that reflects SPSU's mission and priorities, and that complies with the guidelines established by the funding source. To ensure a smooth procedure for the development and submission of proposals and applications, the following roles and procedures have been established.

Roles:

The Principal Investigator (PI) will:

- Notify the OSP of the plans to write a proposal.
- Obtain approval for project concepts from their dean before a proposal is developed for submission to an external funding source.
- Work with the OSP to complete the proposal budget worksheet and prepare the proposal copy.
- Submit the proposal and budget to the OSP one (1) week prior to the proposal submission deadline for review to ensure the final copy is ready for approval signatures, beginning with your dean, at least three (3) days before prior to the submission deadline.

The OSP will:

- Apprise the PI of potential funding opportunities.
- Provide workshops, support and technical assistance in proposal development.
- Help develop the proposal budget and obtain budget director approval.
- Assist the PI with writing, editing, and reviewing the proposal narrative.

OSP will (continued):

- Route the final draft of the proposal to obtain the necessary University review and signatory approvals on the Proposal Authorization Routing Form.
- Submit the proposal to the funding agency.
- Maintain a copy of each submitted proposal or application, budget information, and all correspondence with the funding source.
- Provide a copy of the proposal cover and budget pages to the Budget Director.
- Track and file all proposals whether development assistance was requested or not.
- Provide assistance in establishing an account for the project, after which the PI can proceed with project implementation.
- Monitor the status of the project and provide post-award financial management and close-out assistance.
- Assist the PI in requesting a copy of the reader's comments and preparing the proposal for resubmission as appropriate.

Procedures:

- Faculty and staff may receive customized funding source search assistance by calling the OSP or submitting a completed Proposal Development Form to the OSP (see page 12 of this packet).
- Faculty and staff must notify the OSP as soon as possible upon determining that you will be preparing a proposal. At that time, you may request any of the available OSP services listed.
- See pages 12-14 of this packet for Proposal Authorization Routing information.

New Contracts and Subcontracts:

Contracts and subcontracts are legal contracts in which the University agrees to perform work or services for another entity or institution. Contracts and subcontracts are to be made in the name of the University with an employee, a group of employees or a subunit as the performer of the service. Contract and subcontract payments are to be made payable to the University and the funds are to be managed by the OSP with assistance from the budget office, overseen by the Budget Director.

Employee Will:

- Obtain approval for the subcontract from their dean/director **before** a contract is developed.
- Notify OSP of the plans to enter into a contract or subcontract.
- Work with OSP to complete the budget worksheet and contract or sub-contract content.
- Submit the proposed contract or subcontract and budget drafts to OSP one (1) week prior to the contract signature deadline for review to ensure that the final copy is ready for approval signatures.

Note: contract and subcontracts will follow the same signatory guidelines as regular grant proposals.

OSP will:

- Help develop the subcontract budget and obtain budget director approval.
- Assist the PI with preparing the contract or subcontract proposal through writing, editing, and reviewing or all terms of contract for appropriateness.

- Route the final draft of the subcontract to obtain the necessary University review and signatory approvals on the Proposal Authorization Routing Form.
- Maintain a copy of each submitted contract or subcontract, budget information, and all correspondence related to the project.
- Provide a copy of the contract or subcontract and budget to the Budget Director.
- Track and file all contracts or subcontracts
- Monitor the status of the contract or subcontract and provide post-contract and close out assistance.
- Financial management of the contract or subcontract through closeout.

Please Note: Facilities and Administrative Costs (F&A or Indirect Costs) should be included in the cost on all contracts and subcontracts.

New Employees with existing subcontracts:

New Employees must notify OSP of any pre-existing contracts or subcontracts, transfer existing contracts or subcontracts to be payable to SPSU, and undergo the required sign-off process listed for new contracts and subcontracts.

Proposal Development Form

Please use this form to make the OSP aware of your project ideas and research interests so that we may conduct searches specific to your needs.

Name: _____ **Date:** _____

Campus Phone: _____ **Department:** _____

Campus Address: _____ **E-Mail:** _____

Proposal Title: _____

Funding Source: _____

Submission Deadline: _____

Please provide a description of your proposed project or of you research interests.

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Forward your ideas to the address listed above!

Proposal Routing Instructions

Before submission to an external funding source, *all* applications/proposals for externally funded grants and research contracts must be routed through the appropriate channels using the SPSU Proposal Authorization Routing Form. It is the responsibility of the Principal Investigator/Project Director to obtain the signatures of their Dean/Director before submission to the Office of Sponsored Programs (OSP). OSP will obtain the remaining signatures. All signatures must be obtained in the order presented. Definition of signatory approvals follows.

Principal Investigator / Project Director: Approval of technical and budgetary content, equipment **(Required)**.

Dean/Director: Approval of personnel assignments, technical and budgetary content, equipment, and special considerations, which include additional costs to SPSU, cost sharing, and space requirements **(Required)**.

OSP: Review of sponsor's requirements, compliance with University policies, obligations, budget, and contract requirements **(Required)**.

Budget Director: Reviews the compliance with University policies, obligations, budget, and contract requirements **(Required)**.

Vice President – Academic Affairs: Approval of academic/research content, approval of special considerations above **(Required)**.

Executive Director of Development : Approval needed only when external funds will reside in the SPSU Foundation **(Situational)**.

Chief Information Officer: Approval needed when Information Technology services and resources are committed in proposal **(Situational)**.

Budget Director: Review of required signatures and proposal **(Required)**.

Vice President of Business and Finance: Final approval of proposal for submission **(Required)**.

Southern Polytechnic State University 
Proposal Authorization Routing Form

 Proposal Title

 Initiating Department, School, Division

 Project Director/Principal Investigator

 E-Mail

 Phone

 Fax

 Campus Address

 Co-Project Director/Co-Principal Investigator

 E-Mail

 Phone

 Fax

 Campus Address

 Total \$ Amount Requested _____
 Matching Funds Required _____ to _____
 Total Project Period

 Sponsoring Organization

 Mailing Address

 Technical Contact

 Phone

Check Appropriate Response:

Type of Proposal: New ____ Continuation ____ Renewal ____ Supplement ____ Revision ____

Type of Submission: Grant ____ Subcontract ____ Cooperative Agreement ____ Other ____

All proposals will automatically be mailed **First Class Certified** unless otherwise directed below:

____ Yes ____ No **Will this proposal obligate SPSU to additional costs during the contract? If yes, on an attached separate sheet detail those costs and how they will be covered.**

____ Yes ____ No **Will this proposal obligate SPSU to additional costs after the contract? If yes, on an attached separate sheet detail those costs and how they will be covered.**

____ Yes ____ No **Is cost sharing proposed? (If yes, attach cost sharing budget) If yes, is cost sharing required? ____ Yes ____ No**

____ Yes ____ No **Will this proposal requires space in addition to that currently used by the PI/Co-PI? If yes, on a separate sheet provide a statement from your dean/director identifying the assignment of needed space.**

- Yes No Will assets or persons outside the PI school/center be needed for this project? If yes, on a separate sheet identify the other units involved.
- Yes No Will human or animal subjects are involved? If yes, please follow IRB procedures.
- Yes No Will biohazards be involved? If yes, please contact the SPSU Environmental Safety Officer for written approval and disposal agreement. Please attach these documents to this routing form.
- Yes No Do you anticipate that the sponsor desires Intellectual Property Rights (IPR)? If yes, submit statement requesting release of IPR, signed by the PI, the appropriate Dean and the VPAA.

Conflict of Interest Certification

“I certify that I have read and understood the University’s conflict of interest policy; to the best of my knowledge, all required financial disclosures were made; and I will comply with any conditions or restrictions imposed by the University to manage, reduce or eliminate conflicts of interest”

Principal Investigator/Project Director

Date

Signatures/Approvals

The officials whose signature appears below have reviewed this proposal. The signatures indicate that the signers are familiar with the proposal, certify its feasibility, and assume responsibility for all commitments as they relate to their specific area.

Principal Investigator/Project Director (Required)

Date

Department Chair (Required)

Date

Dean/Director (Required)

Date

OSP (Required)

Date

Budget Director (Required)

Date

Vice President – Academic Affairs (Required)

Date

Executive Director, Development (Situational)

Date

Chief Information Officer (Situational)

Date

Vice President – Business and Finance (Required)

Date

DRAFT BUDGET

Grant Year 2010

Category	Individual	Salary	Percent Effort	SPSU Contribution	Funds Requested
<u>SALARIES AND WAGES</u>					
Project Investigator - Academic Year		\$0	0%	\$0	\$0
Project Investigator - Summer Effort		\$0	0%	\$0	\$0
Co-PI Academic year		\$0	0%	\$0	\$0
Co-PI Summer Effort		\$0	0%	\$0	\$0
Research Associate Academic year		\$0	0%	\$0	\$0
Research Associate Summer Effort		\$0	0%	\$0	\$0
Research Associate Academic Year		\$0	0%	\$0	\$0
Research Associate Summer Effort		\$0	0%	\$0	\$0
Administrative Support		\$0	0%	\$0	\$0
Adjunct Faculty		\$0	0%	\$0	\$0
Computer Tech		\$0	0%	\$0	\$0
Research Assistant		\$0	100%	\$0	\$0
\$2,000 per semester for 2 semesters 1500 summer					
Research Assistant		\$0	0%	\$0	\$0
Student Assistant		\$0	0%	\$0	\$0
Student Assistants working on project?					
Student Assistant		\$0	0%	\$0	\$0
<u>SALARIES</u>				\$0	\$0
<u>FRINGE BENEFITS - 29% Faculty & Staff (Academic Year)</u>				\$0	\$0
(17.67% Faculty Summer, 7.65% Temporary employees & Extra Comp., 1.45% Grad Assistants)				\$0	\$0
These amounts are automatically built into the spreadsheet					
TOTAL UNIVERSITY SALARY CONTRIBUTION (COST SHARING)				\$0	

Category	Grant Year 2010			SPSU Contribution	Funds Requested
	Individual	Unit	Total		
Total Personnel					\$0
Brought forward from page 1					
Salaries and Wages			\$0	\$0	
Fringe Benefits			\$0	\$0	
<u>CONTRACT SERVICES</u>				\$0	\$0
Consultant Services - Maximum NSF allowance is \$521 per day for contract personnel					
Performance Fees	\$0	0	\$0	\$0	
Development Fees	\$0	0	\$0	\$0	
	(Amount)	(Days)	(Total)		
<u>SUPPLIES</u>				\$0	\$0
General Office Supplies			\$0	\$0	
Equipment Valued Under \$5,000.00			\$0	\$0	
<u>TRAVEL</u>					
Domestic Travel				\$0	\$0
Transportation - Miles, airfare, taxi's	\$466	0	\$0	\$0	
Meals - per diem rate	\$32	0	\$0	\$0	
Lodging - per diem rate	\$129	0	\$0	\$0	
Incidentals	\$495	0	\$0	\$0	
Foreign Travel				\$0	\$0
Transportation - Miles, airfare, taxi's	\$690	0	\$0	\$0	
Meals - per diem rate	\$65	0	\$0	\$0	
Lodging - per diem rate	\$239	0	\$0	\$0	
Incidentals	\$625	0	\$0	\$0	
<u>OTHER (Direct Costs)</u>				\$0	\$0
Must be itemized in the budget justification.					
Publishing Costs			\$0	\$0	
Equipment Rental/Leasing			\$0	\$0	
Equipment Maintenance and Service Contracts			\$0	\$0	
Tuition Remission - 1938/semester/student			\$0	\$0	
Telephone and Communications - Include any tech fees reimbursed			\$0	\$0	
Meeting Expenses - Offsite room rental and hospitality charges			\$0	\$0	
Miscellaneous items			\$0	\$0	
Participant Expenses			\$0	\$0	
This includes stipends, fees and reimbursements. Be sure to include in justification.					

					Grant Year 2010	Funds Requested
Category	Individual	Unit	Total	SPSU Contribution		
SUBAWARDS AND OTHER PASS-THROUGH					\$0	\$0
(must include a clear description of award and justification of selection process)						
1	\$0	0	\$0	\$0		
2	\$0	0	\$0	\$0		
	(Amount)	(Days)	(Total)			
EQUIPMENT and OTHER CAPITAL EXPENSITURES.....					\$0	\$0
[Durable Equipment - cost greater than \$5,000.00 with a life span of more than 1 year. (NSF 10/02)]						
1	\$0	0	\$0	\$0		
2	\$0	0	\$0	\$0		
3	\$0	0	\$0	\$0		
4	\$0	0	\$0	\$0		
5	\$0	0	\$0	\$0		
6	\$0	0	\$0	\$0		
TOTAL DIRECT CHARGES.....						\$0
INDIRECT COSTS						\$0
Indirect costs are \$ to the University to cover overhead and departmental fees. Please check with the GDC for the correct rate to charge since the rate varies per grantor.					% allowed	45%
TOTAL FUNDS REQUESTED						\$0

Southern Polytechnic State University (SPSU)

Distribution of Indirect Costs (IDC)

General Information:

- SPSU cognizant agency: DHHS.
- Rate of 45% of direct salaries and wages including vacation, holiday, sick pay and other paid absences excluding all other fringe benefits.
- Procurement guidelines: as state funds, IDC allocations are subject to any and all regular State operating fund requirements.

Distribution Philosophy

Recognizing the need to provide financial incentives to encourage externally-funded research, instruction and public services activities, and acknowledging that the University incurs additional operating costs to administer and facilitate such activities, the University seeks to define and implement a reasonable and equitable distribution methodology regarding indirect cost recoveries.

PLEASE NOTE: Facilities and Administrative Costs (F&A or Indirect Costs) are included in most grant applications. Among the University's indirect costs are personnel and purchasing services, accounting services, operation and maintenance of the physical plant and operations, etc. Indirect costs are as real as direct costs. Indirect costs are charged as a fixed percentage (the indirect cost rate) of all or a portion of a project's direct costs (the indirect cost base). The indirect cost charge is calculated by multiplying the applicable rate times the appropriate base.

Methodology for Distribution of Indirect Costs

40% of IDC to the Division responsible for securing the contract or grant.

- For Academic Affairs: 60% of this amount to be directed to the originating department, 20% to the Dean of the School and the remaining 20% to the VPAA.
- For non-academic VP's: 60% of this amount to be directed to the originating department and the remaining 40% to the Vice President.

40% of IDC to the Business Office to cover part of the costs of supporting projects at the institutional level.

20% of IDC to the Office of Sponsored Programs (OSP) to be administered by the Office of OSP and used in part to support and encourage faculty and staff to seek external funding.

Southern Polytechnic State University

Calculation and Distribution of Indirect Costs

Sample Contract Budget

Direct Costs:

Personnel Services		
Salaries*	\$ 110,000.00	
Temporary help	6,000.00	
Student Assistants	<u>4,000.00</u>	
Total Salaries and Wages		\$ 120,000.00
Fringe Benefits:	<u>34,000.00</u>	
Total Personnel Services		\$ 154,000.00
Travel	4,000.00	
OS & E	6,000.00	
Equipment	<u>11,000.00</u>	
Total Direct Costs		\$175,000.00

Indirect Costs:

Indirect Costs (45% of Salaries and Wages)	<u>54,000.00</u>
Proposal Total	\$229,000.00

** Resulting additional Part-time faculty needs to address release time. Must be covered by Department (from salary release funds)*

Distribution of Indirect Costs

40% to the Division responsible:

Originating Dept (60%)	12,960.00	
Dean of originating college (20%)	4,320.00	
VPAA (20%)	<u>4,320.00</u>	
		\$21,600.00
40% for University Overhead:		
Business Affairs (100%)	21,600.00	
		21,600.00
20% for OSP:		
Office of Sponsored Programs (100%)	10,800.00	
		<u>10,800.00</u>
Total IDC Distributed		\$ <u>54,000.00</u>

Sponsored Projects Handbook: Issues in Sponsored programs

There are many issues surrounding the administration of sponsored projects that need to be addressed on their own merit.

1. Audits
2. Compliance
3. Conflict of Interest
4. Cost Sharing
5. Personnel Effort Reporting
6. Equipment and Property
7. Open Records Act – State Of Georgia
8. Hazardous Materials
9. Human and Animal Subjects (IRB)
10. Independent Contractors
11. Indirect Costs (Facilities & Administrative Costs)
12. Intellectual Property
13. Misconduct in Science
14. Record Retention
15. Safety

Section II

Submission

Sponsored Projects Handbook: Who Submits and How

Proposal Submission Procedure

All proposals to be submitted to external sponsors require review and the completion of the sign-off form. The procedures below should always be followed to ensure adequate time for the complete review of all proposals submitted through the Office of Sponsored Programs and to avoid the possibility of missed deadlines.

- A. Timing - To ensure that your proposal is given a careful review for accuracy, completeness, and compliance with sponsor guidelines and University policies, a minimum of ten (10) days lead time is required for all hard copy proposals and a minimum of seven (7) days lead time is required for all electronically submitted proposals. Observing these lead time requirements will help ensure that your proposal can be reviewed and that any required modifications may be made in sufficient time to meet deadline dates (this is especially true for complex and/or electronically submitted proposals).
- B. Completeness - The more complete a proposal is before it is delivered to OSP for review, the quicker the review will be. Investigators should attempt to deliver proposals in a "ready to go" format to minimize the possibility that changes and/or additions to the proposal may need to be made. Faculty are encouraged to liaison with OSP prior to submitting proposals for review to discuss the proposal and bring any potential problems in completing it to light.
- C. Copies - An original and electronic copy for OSP should be provided for review purposes. Often, as part of the review process, OSP staff will need to annotate various parts of the proposal. Providing an electronic copy of the proposal facilitates the review without having to add time to the review process making copies. When sufficient lead time in accordance with A. above has been provided and the sponsor to whom a proposal is being submitted requires an original and three or fewer copies, OSP will offer the option of mailing the proposal.
- D. Exceptions - Occasionally, situations will arise where the above procedures cannot be followed, usually because an initial contact with a sponsor has resulted in a request to the investigator for quick turnaround of a proposal. OSP will modify its procedures and provide the best and fastest service possible given the situation and approve a proposal provided it is complete and materially correct. Additional documentation may be required, though, after the proposal has been approved.

Required Reviews

Federal regulations and University policies require that certain proposed activities receive the approval of University committees established for this purpose. If any of the following activities are planned, contact the appropriate University office to discuss the activity and complete the approval process:

A. Use of Human Subjects - Proposals that include the use of human subjects must be reviewed and approved by the SPSU IRB Committee. The approval process includes submission of a protocol to the IRB. Protocol approvals must be obtained by the earlier of 1) the proposal submission date; or, 2) the deadline date required by the sponsor. The requirement for protocol approval exists regardless of the source of funding (sponsored research, gifts, University funds, etc.). Contact should be made with the IRB Chair (Dr. Ruston Hunt - Rhunt@spsu.edu) to review the process prior to completion and/or submission of a proposal. For more information on the use of human subjects at SPSU, visit the IRB P & P at http://www.spsu.edu/pandp/604_0.htm.

B. Misconduct in Research - SPSU pursues knowledge through research and transmits knowledge through teaching, publication, and public service. A spirit of mutual respect and a broad trust that all faculty members, staff members, and students share in this dedication are essential to the functioning of the University. Nevertheless, from time to time, a member of the University community may appear to have disregarded the accepted norms of professional behavior. The integrity of the program of the University requires that faculty, staff, and students demand high standards of conduct for themselves and others, and that appropriate sanctions will be imposed when misconduct has occurred.

For more information visit the P & P at

<http://www.spsu.edu/pandp/pp603~08.htm>.

C. Intellectual Property - SPSU, as a campus of the University System of Georgia (University System), is dedicated to teaching, research, and the extension of knowledge to the public. Inherent in this activity is the need to encourage scholarly creativity--the development of new and useful devices and processes, the publication of scholarly works, and the development of computer software. Such activities are central to the students, faculty, staff, and the University as a whole, as well as being critical to the general welfare of the State of Georgia. It is necessary, therefore, to ensure the use of such scholarly creativity for the public good and to expedite its development and marketing. For more information visit the P & P at http://www.spsu.edu/pandp/603_0.html.

Section III

Award

Sponsored Projects Handbook: Sponsor Review and Negotiation

Sponsor Review

Proposals submitted to potential sponsors that do not conform to required submission guidelines (e.g., page limitations, font characteristics, etc.) may not get past the initial sponsor screening process. It must be emphasized that sponsors are serious in their attempts to standardize the "look" of proposal submissions and a common cause of rejections is for non-compliance with these requirements.

Once a proposal is deemed eligible for programmatic review by a sponsor, it will proceed through one of the following processes, depending upon the sponsor and the individual program review requirements. OSP staff can assist in determining the current status of a proposal during the review process.

Peer Review - This type of review involves experts, generally faculty members from other the size of the program, proposals may be sent to individual reviewers or the reviewers may gather to form a panel to review all proposals at the same time.

Internal Review - The review process usually involves only the program staffs who work for each sponsor. Such reviews are most common in foundations and private industry.

Other Reviews - Reviews may sometimes consist of site visits, administrative reviews and/or fiscal reviews, which are performed in addition to regular programmatic reviews. Such reviews can involve investigators and administrative staff of the proposing institution and contracting or program officers of the sponsor.

Negotiation and Acceptance

Not all awards received by SPSU are completely acceptable, as issued by sponsors. Frequently, it is necessary to enter into negotiations with sponsors, the purpose of which is to ensure that the University's interests are addressed. This process of negotiation commonly includes resolution of conflicts in award

terms and conditions, scope of work, and budgets with the expected result being an award that is mutually acceptable to both the sponsor and SPSU.

If a sponsor contacts an investigator directly to discuss the project scope of work, the budget, or any other component of the project, OSP should be contacted and made aware of the discussions and any changes that need to be made. A primary negotiation point is the award amount. Should a sponsor wish to fund a project but insist that the amount of the award be reduced, consideration by the investigator needs to be given to whether or not the original scope of work can be completed with such a reduced funding level. Additionally, if a proposal included cost sharing and a sponsor recommends funding at a lower dollar amount than proposed, cost sharing should normally be reduced also.

Sponsored Projects Handbook: Notice of Award

Once a negotiation is completed and an acceptable award document is received, OSP will forward the award to the Vice President of Business and Finance to sign the award on behalf of SPSU, then OSP will process it in accordance with sponsor instructions. **Investigators are reminded that they are not authorized to sign agreements (contracts, grants, modifications or cooperative agreements) of any kind on behalf of the University.**

Section IV

Post-Award Activities

Sponsored Projects Handbook: Post-Award Activities Introduction

So your proposal has been accepted by the sponsor and an award letter has been received by the Presidents office at SPSU. Often this letter will accompany a request to modify the budget prior to funds being released. This negotiation will be the shared responsibility of the Principal Investigator (PI), the Director of Sponsored Programs and the Vice President of Business and Finance. Once these negotiations have been finalized you will be notified of an official start date of your project.

An account number will be set up through fiscal affairs. This account number will be the same for the total award period of your project and will be included on all paperwork submitted to the University.

A meeting will be set up between Sponsored Programs your department chair, dean and you. We will go over the specifics of your award, the sponsor's expectations and the fiscal requirements of the sponsored agreement.

In the following sections of this guide you will find directions and reference materials that will make your administrative experiences as a Principal Investigator go smoothly.

Keep in mind that any time you have a question or concern regarding the fiscal management of your award you may call the Office of Sponsored Programs for advice and clarification at (678) 915-3156.

Sponsored Projects Handbook: Expenditure Processing and Prior Approvals

- 1.) The University is notified that a grant, sub award or contract has been funded in writing.
- 2.) Notice of funding award is forwarded to the Office of Sponsored Programs (OSP). All necessary adjustments to the budget are made if any. The budget is then reviewed and approved by the budget office and the OSP.
- 3.) A meeting will be held between the OSP and the PI, along with his/her Department Chair, to distribute the approved budgets, a spreadsheet of the spending categories and their balances, and to review management procedures.
- 4.) The following procedures apply:
 - a.) Prior to any purchase the PI must submit an Expenditure Request Form to the OSP for purchase processing.
 - b.) The OSP will confirm availability of funds in the appropriate categories and that the purchase is appropriate and allowable under the funding guidelines as outlined by the sponsor.
 - c.) OSP approval will be required on all transactions requested.
 - d.) OSP will review the paperwork, sign and process the request.
 - e.) Department Chair approval will be required on all faculty personnel and travel transactions requested.
 - f.) The OSP will reconcile the funds with Budget Office records and submit a detailed spreadsheet report of fund balances to the PI. (Copies to the PI's Department Chair and Dean will be sent upon request).
 - g.) The PI will comply with the technical and the OSP will monitor and assure compliance with the administrative contractual obligations of the grant or contract, for example, Quarterly Status Reports, software development issues and technical findings.

OSP - Office of Sponsored Programs

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678/915-7382 (Fax)
eadams@spsu.edu

Expenditure Request Form

Submit this form to OSP • Office of Sponsored Programs for the processing of all Grants and Contracts expenditures.

Date: _____ PI: _____

Please print

Phone: _____ Email: _____

Project: _____

Account #: _____

Quantity	Item to Purchase*	Description Note if EDP approval is required	Estimated Cost

* Attached specification details as appropriate.

Comments:

Signature, Principal Investigator

Reviewed By:

____ OSP • Office of Sponsored Programs

Date: _____ Initials: _____

Sponsored Projects Handbook: Personnel Effort Reports

Introduction

Southern Polytechnic State University (SPSU) is required to provide personnel activity reporting in accordance with the provisions of *Federal Office of Management and Budget (OMB) Circular A-21 - Cost Principles for Educational Institutions*. The Circular mandates that institutions receiving federal funds maintain an accounting and certification of the actual distribution of *all* employee effort directly charged or contributed to federally sponsored projects.

Circular A-21 sets forth principles for determining costs applicable to federally funded grants, contracts and other sponsored agreements with educational institutions.

Summary of OMB A-21 Requirements

To achieve the minimum requirements of OMB Circular A-21 the following groups of employees are required to certify to 100% of compensated activity, reflecting that activity's percentage distribution among the major functions of the University. This will be accomplished at SPSU with the completion of Personnel Effort Report (PER) forms. Those required to complete the form are:

- All employees working on sponsored projects directly funded by the federal government, as well as those on sub-grants and contracts funded indirectly through other agencies and organizations (i.e., on federal funds awarded through State agencies).
- All SPSU employees including Graduate Assistants working directly on federally sponsored projects, whether such work is charged in whole or in part to the sponsored agreement, or is treated as effective voluntary or mandatory cost sharing.*

* Note: Student Assistants and students participating in the CWS program complete bi-weekly timesheets which fulfills compliance with this requirement.

The reporting system does not apply where federal financing constitutes loans, scholarships, institutional traineeships or tuition rates and fees, or other awards under which the University is not required to account to the government

for actual costs incurred. Similarly, effort devoted to "extra service," and for which supplemental compensation is paid under University policy, need not be included in PER reports. Such effort will, however, be independently documented in the financial management system of the institution.

The PER documentation is gathered in after-the-fact reports including all of the activities personnel have been obligated to perform and for which they have been or will be compensated.

Note: In such reports, cumulative effort must total 100% even for employees whose obligations are less than full time.

For example: Mary Doe is employed half-time. Her compensated effort on grant account A is 30%, and 20% on account B. Her reported effort distribution will be 60% on account A and 40% on account B. Here 50% of time is equal to 100% of compensated effort.

Effort reported by or for each employee within a department or other similar organizational unit conducting federally sponsored programs, includes both the University-funded and the federally-funded portions of the total activity compensated.

The Personnel Effort Reporting System (PERS) described below is augmented by SPSU resources and information drawn from University payroll and personnel files. It is designed with the department as the basic reporting unit.

Completion of the PER Form:

- A. General Information.** PER forms are to be distributed at the end of each reporting period and will include: name, grant title, department number and reporting period as appropriate.
- B. Description of Grant Activities Performed.** This portion of the PER form should contain a statement of grant activities performed during the reporting period.
- C. Percent of Time Reported – Grant Activities.** Actual effort of grant related activities reported as a percentage of effort.
- D. Description of Non-Grant Activities Performed.** Remaining employee effort on SPSU activities must be stated, when applicable, and distributed as "Other Institutional Activities."

- E. Percent of Time Non-Grant Activities.** Actual effort of non grant related activities reported as a percentage of effort.
- F. Grand Total Effort.** The sum of total sponsored projects effort and actual effort recorded for other institutional activities must equal 100%.
- G. Signatures.** PER forms will be signed by the employee and by the Principal Investigator with firsthand knowledge of the work performed during the reporting period. This is to confirm that the reported distribution of activity represents a reasonable estimate of the effort expended by the employee. In the case of the reporting of the Principal Investigator's time The PI should sign on the **employee** line and his/her supervisor shall sign on the line below.

Routing Requirements

Required reporting materials flow from the Grant Development Center (GDC) to the Project Director, to their Department Chair and back to the GDC. From there the *original* PER is to be kept on file in the Payroll Office with copies held in the Budget Office and at the GDC.



Personnel Effort Report

Name: _____

Grant Title: _____

Department Number – Grant Number: _____

Report for month of: _____

Description of grant activities performed during the stated time period:	
Percent of time reported of grant activities during this stated time period: ___%	
Percent of time reported of non-grant activities during this stated time period: ___%	

Total Effort: ___ 100 %

I certify that I have performed the above activities

Signature: _____ **Date:** _____

PI Signature: _____ **Date:** _____
(Immediate Supervisor's signature required for PI time and effort report)

Note: This form is to be completed by each employee appointed to a federally funded project in compliance with OMB Circular A-21

[<http://www.whitehouse.gov/omb/circulars/a021/a021.html>]

Forward completed form to: Betsy Adams, Sponsored Programs, J354

Sponsored Projects Handbook: Quick Links

Federal Regulations OMB Circulars

- [A-21](#) - (Cost Principles for Educational Institutions)
- [A-110](#) - (Uniform Administrative Requirements for Grants and Other Agreements with Institutions of Higher Education)
- [A-133](#) - (Audits of States, Local Governments, and Non-Profit Organizations)
- [CFR](#) - Code of Federal Regulations

Travel - Travel Guidelines and Per Diem Rates

- [Southern Polytechnic State University Travel Regulations](#)
- [State of Georgia Statewide Travel Regulations](#)
- [USG Travel Guidelines](#) (PDF)
- [Domestic Per Diem Rates](#)
- [Foreign Per Diem Rates](#)
- [Currency Converter](#)

Pre Award Information

- Search for funding
 - [Community of Science Database](#)
 - [Grants.gov](#)
 - [Foundation Center](#)

Post Award Information

- Important Policies
 - [Policy and Procedure – IRB](#)
 - [Policy and Procedure – Intellectual Property](#)
 - [Dealing with Allegations of Misconduct in Research](#)
 - [Bayh-Dole Act Provisions](#) (PDF)
 - Expenditure Request Form
 - Personnel Effort Reporting System