

# RESEARCH & SPONSORED PROGRAMS HANDBOOK

**Office of Research  
and Economic  
Development**

FACULTY AND ADMINISTRATORS

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## Introduction

Tennessee Tech University (TTU) receives awards for research, training, and technical assistance from extramural funding sources, including federal, state and local governments and private organizations. Policies and procedures governing research and sponsored programs are diverse and complex. The Research and Sponsored Programs Handbook serves as a guide with instructions for getting started, applying for the appropriate approvals, and conducting research that is compliant with relevant government laws and regulations and TTU policies and procedures.

## The Office of Research and Economic Development

The Office of Research and Economic Development (ORED) serves as a focal point for matters relating to research and similar scholarly activities. In its mission, the ORED helps faculty **identify funding opportunities and develop research proposals** by providing information on support sources and background information. The ORED staff also **reviews and approves proposals** before submission to funding agencies, **prepares and negotiates contracts**, and **executes awarded contracts**. The ORED, working in conjunction with Grant Accounting, then **ensures that awards and contracts are compliant** with federal, state, sponsor, and TTU regulations, terms and conditions. To further help faculty reach their research goals, the staff also conducts seminars and workshops on proposal writing and funding sources and assists with intellectual property matters such as patents and copyrights.

The mission of the Office of Research and Economic Development is to establish and to technically and financially grow a TTU research enterprise with a theme to **Create, Re-Create, Collaborate, and Innovate** with all four pillars of the knowledge economy:

- Education and Training
- Information Infrastructure
- Economic Incentive
- Innovation Systems

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## Chapter 1 General Guidance to External Funded Activities

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### 1.1 What is a Sponsored Project or Research Initiative?

Sponsored projects originate from external sources, such as state, federal or private funds allocated in the form of an award to the University to support research, instruction, training, service or other scholarly activities as stated in an agreement for one of the following conditions:

- The award requires an endorsement or authorization (authorized signature or other practice designated as acceptance) and binds the University to specific terms and conditions.
- The agreement includes a Statement of Work (SOW) and obligates the Principal Investigator (PI) to a designated scholarly or scientific inquiry as proposed in the plan, provides testing and evaluation, and seeks to achieve performance goals.
- The agreement outlines how funds designated in the budget will be used for itemized expenses, within the project period.
- The agreement requires fiscal accountability as evidenced by the submission of financial reports, audit documentation, or the return of unexpended funds to the agency at the conclusion of the grant period.
- The agreement obligates the PI to report project outcomes and communicate oversight of tangible and intangible assets as a result of the project, including but not limited to equipment, records, technical reports, theses or dissertations. Intangible properties include rights in data, copyrights or inventions.
- The agreement requires considerations such as indemnification or imposes other terms of legal accountability.
- The agreement does not prohibit or inhibit the University or PI from execution of activities associated with a normal academic setting.

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### 1.2 Who Can Submit a Proposal for Externally Sponsored Funds?

- Any individual who holds a full-time position such as tenured, tenure track, or non-tenure track research; or director of a state-designated Center or University Center may serve as a Principal Investigator/Project Director for sponsored activities, and be responsible for a contract or grant. In addition, an individual who holds the position of Lecturer, Instructor, Adjunct/Affiliate, Emeritus, or part-time faculty (50% appointment) may serve as a Principal Investigator/Project Director for sponsored activities if he or she receives the approval of his or her chair and dean as shown by their signatures on the [Proposal Endorsement Form](#) and a tenured or tenure-track research faculty or director is named as co-investigator on the project.
- Fellows and students may serve as the “Principal Investigator” on a fellowship or training grant application, but must have a faculty sponsor/mentor assigned.

## 1.3 Administrative Offices in Support of Research

Sponsored research and project administration are a combined effort of the ORED, Office of Business and Fiscal Affairs, Deans, Chairs, Directors and the PI(s).

### Corporate Responsibilities

Extramurally sponsored research and projects are awarded under the aegis of the University, in the name of Tennessee Technological University. Awards of funds for sponsored research and projects are to the University and commitments are bonded through the agreements as obligations. Any work performed by a faculty of the University under a project must be considered as work performed for the University.

### Office of Research and Economic Development

The purpose of the ORED is to support faculty in developing strong research programs and producing quality competitive research proposals. Whether seeking funding opportunities, providing easy access to policies, or assisting in proposal preparation, the goal is to offer effective strategies, responsive information and tangible assistance to the TTU community.

### General Guidance on the Administration of Sponsored Research and Projects

The ORED supports the PI and provides services for Proposals, Award Management, Contract and License Negotiation, Data Access and Support Services, Research Administration, and Regulatory Compliance.

The following list is an outline of services:

- Facilitates the identification of funding opportunities
- Trains and assists with proposal development
- Submits proposals to funding agency
- Monitors project and research to ensure compliance
- Negotiates agreements, contracts and grants
- Facilitates the execution of agreements, contracts and grants
- Coordinates training for compliance of agreements, contracts and grants
- Facilitates the protection of Intellectual Property and Technology Transfer
- Facilitates meetings with PI, Business Office, other appropriate departments and units
- Collaborates with university and community stakeholders, as appropriate during the proposal process
- Develops a timeline for all input and approvals
- Involves Procurement, Grants Accounting, Human Resources as needed
- Collaborates with PI on budget and creates new record using the budget form
- Prepares budget and reviews budget justification
- Reviews proposal text for budget-related statements
- Reviews cost sharing commitments and prepares necessary cost share forms
- Reviews proposal format requirements, # of pages, etc., if time permits
- Completes forms for certification as necessary
- Communicates with PIs regarding warnings and errors as notified by the electronic system and agency
- Assists with sponsor forms and electronic submission systems

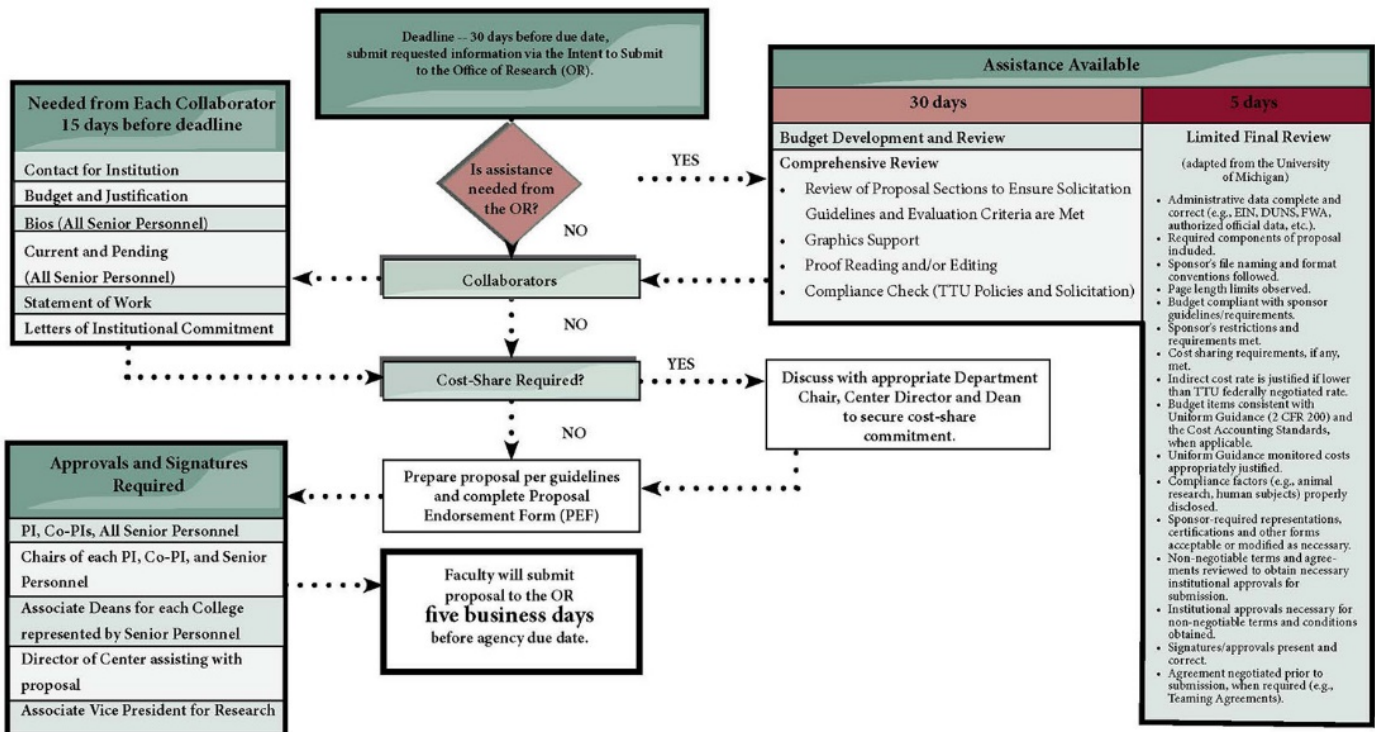
# Research and Sponsored Programs Handbook

- Assures the proposal meets all sponsor guidelines and is in final form, as time permits
- Assures appropriate academic signatures are obtained
- Assists with sponsor requests for re-budgets, etc.
- Provides University approval for proposal
- Responds to Research email
- Maintains website and digital content

## 1.4 Pathway for Proposals

Proposals follow a pathway across the University to ensure compliance. The following diagram is a guide for your reference.

### Office of Research Pathway to Proposals



## Chapter 2 SOURCES OF FUNDING

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The ORED supports internal and external funding opportunities. An example of internal grant awards are the Faculty Research Awards given to faculty for planning, development, data collection, implementation, evaluation, publication and presentation. External grants are sponsored through entities outside of the University, such as federal and state agencies, private industry and foundations. These funding opportunities are awarded according to the criteria of the agency or sponsor. A list of funding opportunities, search tools, and email alerts for GENIUS, SPIN and SMART are listed on the ORED website.

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### 2.1. Internal Funding Opportunities

The ORED administers the programs listed below. These programs are funded from University resources ([www.tntech.edu/research/find-funding/](http://www.tntech.edu/research/find-funding/)).

- **The Faculty Research Grant Program** was created to support: (a) scholarly and creative accomplishments of faculty in disciplines where external funding is typically not available; (b) faculty who have limited experience in applying for and receiving competitive external funding; and (c) pilot projects that are expected to lead to the development and submission of proposals for external funding. Applicants may be tenured or non-tenured faculty.
- **The Caplenor Faculty Research Award** was established in 1984 to encourage faculty research. The award is given annually to one member of the faculty for outstanding pure or applied research during tenure at the University. Nominations will be made by submission of a signed nomination form. Full-time faculty of TTU may nominate themselves or any other member of the faculty.
- **Funds for Visits to Extramural Sponsors**
- **Undergraduate and Graduate Research Programs and Funding**
- **The Research and Scholarly Incentive Award** provides faculty incentive awards according to established criteria.

Procedure: [http://www.tntech.edu/files/research/policystatements/Research\\_Incentive\\_Policy.pdf](http://www.tntech.edu/files/research/policystatements/Research_Incentive_Policy.pdf)

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### 2.2. External Funding Opportunities

Information and resources for external funding opportunities may be accessed via the ORED or agency's website using the link: [www.tntech.edu/research/find-funding/](http://www.tntech.edu/research/find-funding/)

- **Funding Opportunities**
  - ✓ Limited Proposal Submissions
  - ✓ Undergraduate and Graduate Research Programs and Funding



- **Funding Search Resources**
  - ✓ **Grants.gov:** single access point for more than 1,000 grant programs offered by all federal grant-making agencies
  - ✓ **The National Science Foundation**
  - ✓ **SPIN Suite:** includes a searchable database of over 40,000 funding opportunities from government and private funding sources as well as an email notification system related to funding opportunities aligned with saved searches

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## 2.3. Email Alerts

Email alerts are notifications routinely transmitted from agencies or databases to provide information on funding opportunities. Faculty and administrators are encouraged to visit the websites to register for these services.

- **Global Expertise Network for Industry, Universities and Scholars (GENIUS)** is a site for faculty to store curriculum vitae information in the GENIUS profile. The database has a search option for potential research collaborations. The GENIUS profile stores search criteria to assist faculty with matching interests to the corresponding data in the Sponsored Programs Information Network (SPIN). Searches are delivered via the Spin Matching and Research Transmittal Service (SMARTS). SPIN can be accessed both on-campus and off-campus (faculty must create a Genius Profile; profiles are mandatory for email).
- **National Science Foundation Update (replaced MyNSF)** is a database of the National Science Foundation. Alerts are distributed according to the research interest and funding opportunities of the agency. It allows access to new content categories, images, videos, events and deadlines for upcoming funding opportunities. Registration is required. Refer to the web link:  
[http://service.govdelivery.com/service/multi\\_subscribe.html?code=USNSF&custom\\_id=823](http://service.govdelivery.com/service/multi_subscribe.html?code=USNSF&custom_id=823)
- **National Institutes of Health (NIH) Guide Announcements** are published daily in these forms: Funding Opportunity Announcement (FOA), Program Announcement (PA), and Request For Application (RFA). NIH transmits an email to subscribers with the Current Weekly Table of Contents (TOC). Registration is required. Refer to the web link:  
<http://grants.nih.gov/grants/guide/listserv.htm>. Also subscribe to the RSS feed:  
[http://grants.nih.gov/grants/guide/rss\\_info.htm](http://grants.nih.gov/grants/guide/rss_info.htm)

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## 2.4. Potential Sponsor URLs

American Reinvestment and Recovery Act (ARRA)

<https://www.grants.gov/web/grants/learn-grants/grant-policies/recovery-act-2009.html>

Department of Agriculture

<https://www.usda.gov/topics/farming/grants-and-loans>

Department of Defense

<http://www.defense.gov>

Department of Education

<http://www2.ed.gov/fund/landing.jhtml?src=rt>

Department of Energy

<https://eere-exchange.energy.gov/>

Department of Homeland Security

<http://www.fema.gov>

Department of Housing and Urban Development

[http://www.huduser.org/portal/oup/research\\_partnerships.html](http://www.huduser.org/portal/oup/research_partnerships.html)

Department of Justice

<http://www.justice.gov/business/>

Department of Labor

<http://www.dol.gov/dol/grants/>

Department of State

<http://state.gov/j/prm/fiunding>

Department of Treasury

<http://www.treasury.gov/initiatives/ofr/research/Pages/Proposals.aspx>

Environmental Protection Agency

[http://www.epa.gov/ogd/grants/funding\\_opportunities.htm](http://www.epa.gov/ogd/grants/funding_opportunities.htm)

Foundations

<http://foundationcenter.org/>

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## 2.5. Federal Sponsor URLs

Federal Business Opportunities

<https://www.fbo.gov/>

Federal Register

<https://www.federalregister.gov/>

Grants.gov

<http://www.grants.gov/web/grants/home.html>

National Aeronautics and Space Administration

<http://www.nasa.gov/about/research/index.html>

National Oceanic and Atmospheric Administration

<http://www.nmfs.noaa.gov/aquaculture/funding/funding.html>

National Science Foundation

[http://www.nsf.gov/funding/pgm\\_list.jsp?org=ENG](http://www.nsf.gov/funding/pgm_list.jsp?org=ENG)

USAID-US Agency for International Development

<http://www.usaid.gov/div/>

## Chapter 3 PROPOSAL DEVELOPMENT

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### 3.1 Proposal Development

A proposal is a document used to apply for sponsored-program funds. Most funding organizations have specific requirements for awards. The federal government awards a grant for two reasons: (1) it addresses a national need; or (2) it is an opportunity for innovation. Foundations provide grants according to a designated area of interest. The program-funding announcements include the detailed requirements. Although grant opportunities may be offered by diverse entities, the proposal format includes common elements: Need, Goals and Objectives, Significance, Management Plan, Personnel Plan, Implementation Plan, Evaluation Plan and Budget.

Guide to Proposal Development: <http://tturesearch.org/prep/>

#### Initial Contact with the Sponsor

A key element of successful proposal writing is establishing a relationship with the potential sponsor early in the process. The purpose of the initial contact is to confirm the common areas of interest of the sponsor and the PI. A point of contact within the funding agency can be helpful in writing the proposal, by guiding the PI in how to respond appropriately to the solicitation and by serving as a resource for questions. PIs may contact the agency to confirm research interest in the following ways: (1) telephone, (2) office visit, (3) submit a Letter of Intent or preliminary proposal via parcel or electronic mail. Prior approval is not needed to contact a government agency for potential funding, but approaching foundations and corporations does require prior approval by University Advancement.

Note: The rationale behind this restriction is that the University is responsible for all aspects of the institution, and the charge of University Advancement is to seek external funding. Priority must be given to this capacity of the University to ensure its initiatives are enforced, and requests are not diminished or duplicated.

#### Proposal Preparation

The format or presentation of a particular proposal will depend on the requirements of the sponsor. Most sponsors have developed policies and procedures for the submission of the proposals and may require the use of specific application forms or electronic web-based systems. It is mandatory that the PI obtain the most recent version of the sponsor's application guidelines and follow the required proposal format. Guidelines, URLs and the application must be forwarded to the ORED for review well before (and no fewer than five days) the proposal deadline to facilitate timely development, internal review, and processing in the ORED.

Note: The ORED reserves the right to withdraw the application if the terms and conditions of the grantor do not meet TTU standards.

It is best to begin the writing process months in advance of any expected deadline and to develop a self-imposed timeline and monitor performance for achieving the milestones. Depending upon the complexity of the application, time estimates for a new application may vary from two to four months or longer. Renewals and revisions of applications may require less time although a plan of action is advised to ensure appropriate response to every detail of the application.

## 3.2 Proposal Notification

Communication is vital to ensuring the proposal is processed according to University policy and agency guidelines. The PI must send an Intent to Submit form to the ORED as soon as the decision is made to apply to a proposal opportunity. The Intent to Submit form can be found at the following address:

[www.tntech.edu/assets/userfiles/resourcefiles/12344/1449865493\\_IntentToSubmit12\\_10\\_2015b.pdf](http://www.tntech.edu/assets/userfiles/resourcefiles/12344/1449865493_IntentToSubmit12_10_2015b.pdf)

### Interdisciplinary Proposal Information

Funding agencies encourage interdisciplinary and collaborative proposals that are ambitious in nature and foster a broad impact on the university, community and academia. These projects are more likely to have successful outcomes and be replicated and presented as a model of a best practice in higher education. For interdisciplinary and collaborative proposals, it is mandatory for the ORED to be informed of the endeavor in the early stages to ensure the coordinated effort required, including:

- Developing reasonable timelines for all input and approvals
- Reviewing sponsor guidelines and identifying any unique requirements for the proposal
- Preparing the budget
- Following-up with subcontractors to obtain institutionally approved work statements and budgets
- Assisting with securing approvals for cost-sharing commitments
- Securing approvals for a new center or institute (if necessary)

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## 3.3 Roles and Responsibilities in Proposal Development Process

A successful proposal submission involves the cooperation and interaction of several departments and units of the University. Communication is the key to ensuring all stakeholders, departments and units are involved in the process. Roles and responsibilities will vary according to the academic function. It is vital to the process that the ORED is notified early in writing (through submission of the Intent to Submit Form) and that frequent contact is maintained throughout the process as soon as the PI becomes aware of the opportunity.

- Any individual who holds a full-time position, such as tenured, tenure track, non-tenure track research, director of a state designated Center or University Center may serve as a Principal Investigator/Project Director for sponsored activities, and be responsible for a contract or grant. In addition, an individual who holds the position of Lecturer, Instructor, Adjunct/Affiliate, Emeritus, or part-time faculty (50% appointment) may serve as a Principal Investigator/Project Director for sponsored activities if he or she receives the approval of his or her chair and dean as shown by their signatures on the Proposal Endorsement Form (PEF) and a tenured or tenure-track research faculty or director is named as co-investigator on the project.
- Fellows and students may serve as the “Principal Investigator” on a fellowship or training grant application, but must have a faculty sponsor/mentor assigned.

## Principal Investigators

The Principal Investigator has the primary responsibility for the scientific, technical and fiscal leadership of the project. The Principal Investigator has the following pre-award and post-award responsibilities.

### Pre-Award

- Completes an Intent to Submit form, which notifies Office of Research of intent to submit proposal, indicates which Office of Research services are needed, and provides contact information for project team and any collaborating institutions.
- Notifies Department Chair and Dean of intent to submit proposal.
- Reads and familiarizes him/herself and project team with application requirements for submission.
- Prepares scholarly proposal.
- Requests on-or-off-campus space needed in addition to that already assigned to the PI.
- Ensures that all project team members have completed the required Responsible Conduct of Research (RCR) CITI training.
- Works with the Office of Research or Center personnel to prepare budget.
- Provides documentation to Office of Research if reduced indirect cost rate is required.
- If applicable, provides proposal and budget draft for proofreading and/or review related to solicitation guidelines and evaluation criteria well in advance of internal five-day deadline.
- Verifies that budget items are in accordance with Uniform Guidance (which also includes cost accounting standards).
- Requests and obtains budget, scope of work and relevant documents from subcontractors and consultants.
- Completes application and any other necessary agency forms in compliance with agency guidelines with the assistance of the Office of Research.
- Ensures the proposal meets format requirements (fonts, page numbers, etc.).
- Solicits, secures, and provides documentation of all cost share commitments according to University policy.
- Forwards final, ready-to-submit proposal to Office of Research **no later than five business days before proposal deadline**.
- Prepares and signs the Proposal Endorsement Form (PEF) including the disclosure of any potential or real conflict of interest.
- Identifies and evaluates issues related to program income.
- Obtains letters of support of collaborators.

### Post-Award

- Reviews the award document for agency requirements and sends notice of award to the Office of Research.
- Obtains Office of Research signatures on award documents.
- Manages the project according to the proposal narrative and/or Statement of Work (SOW)
- Prepares and signs Grant Activation Form (GAF) and reviews for accuracy.
- Secures approval of the department chair, dean and Office of Research if the SOW is modified.
- Completes the required Office of Research request for budget or project revision form if the SOW is modified.
- Expends and manages funds in conformity with the approved budget, including for the subaward(s).
- Monitors the budget to eliminate account overages and overdrafts alongside the project bookkeeper.
- Notifies the Office of Research in writing if there is a change in the conflict of interest status of the investigator(s) prior to the time of award or after a contract is issued.
- Completes timesheets and time and effort certifications generated by Grant Accounting.

- Contacts the Office of Research regarding any issues related to Intellectual Property and Export Control.
- Adheres to the Human and Animal Subjects Policies (university, federal and sponsor).
- Maintains property and equipment according to policies (university, federal and sponsor).
- Completes award requirements by submitting technical reports and other deliverables as stipulated by agency.
- Monitors cost share requirements and fiscal documentation.
- Notifies the department and University Property Office of receipt, return of equipment or property.

## **Department Chair and Center Director**

- Reviews text to ensure research is within Tennessee Technological University's mission, is scientifically valid, etc.
- Reviews and approves any faculty release time and agrees to make the necessary accommodations required to release the faculty from their course loads.
- Reviews and approves any cost share commitment.
- Signs Proposal Endorsement Form (PEF) to indicate approval of proposal for transmission to sponsor.
- Signs Grant Activation Form (GAF) to indicate approval of activation of awarded funds.
- Approves that individual in the PI role is qualified and able to serve in that capacity.

## **Dean**

- Reviews and approves the department and/or college cost sharing commitment.
- Reviews and approves the space, facility or other resource commitments.
- Signs Proposal Endorsement Form (PEF) to indicate approval of proposal for transmission to sponsor.
- Approves the programmatic and fiscal monitoring of sponsored research and award recipients.
- Approves that individual in the PI role is qualified and able to serve in that capacity.

## **Office of Research and Economic Development**

- Reviews and approves requests for F&A rate reductions or waivers.
- Facilitates the identification of funding opportunities.
- Trains and assists with proposal and budget development.
- Monitors project and research to ensure compliance.
- Negotiates agreements, contracts and grants.
- Facilitates the execution of agreements, contracts and grants.
- Acts as institutional authority as to acceptability of sponsor requirements.
- Coordinates training for compliance of agreements, contracts and grants.
- Facilitates the protection of Intellectual Property and Technology Transfer.
- Reviews sponsor guidelines and notifies PI regarding identified key issues.
- Facilitates meetings with Principal Investigator, Business Office, and other appropriate departments and units.
- Collaborates with university and community stakeholders, as appropriate, during the proposal process.
- Assists with budget and reviews budget justification.
- Reviews proposal text for budget-related statements.
- Reviews cost sharing commitments and prepares necessary cost share forms.
- Conducts limited final review for all proposals provided five days in advance of proposal deadline. Full list of what is included in limited final review is linked [here](#).
- Assists with sponsor forms and electronic submission systems.

- Submits proposal to funding agency.
- Communicates with Principal Investigators regarding warnings and errors as notified by the electronic system and agency.
- Ensures appropriate academic signatures are obtained.
- Assists with sponsor request for re-budgets, etc.
- Provides University approval for proposal.
- Responds to Research email account.
- Maintains database of proposal submissions and awards.
- Maintains website and digital information.
- Prepares original graphics in support of proposals.
- Provides editing/proofreading of proposals and journal manuscripts.
- Processes and routes applications for review/approval of projects involving human subjects by the Institutional Review Board for the Protection of Human Subjects and notifies PIs of approval and expiration of applications.
- Submits proposals for review for potential copyright infringement issues.
- Notifies the PIs of relevant federal, state and university policy and procedure changes via an electronic newsletter and the university's media outlets.
- Provides assistance in completing any internal Office of Research form, such as the PEF and GAF.

## **Project Bookkeeper**

- Assists the Principal Investigator with budget monitoring to ensure expenditures are authorized.
- Communicates with the Principal Investigator and university staff to resolve budget management issues.
- Reviews invoices and expenditures to ensure funds are disbursed for the proposed expenditures to ensure compliance with university policy and agency regulations.
- Develops and maintains document and record management.
- Audits and reconciles award, invoices and expenses for budget alignment.
- Audits records regularly and maintains records as document evidence.
- Reconciles requisitions and purchases to Banner expenditure reports on a monthly basis.
- Ensures cost transfers are submitted as soon as possible and within 90 days of discovery of any discrepancy.
- Assists with travel claims, purchase orders, processing of student timesheets and any other transaction to be housed in the award.

## **Grant Accountant**

- Collaborates with the bookkeeper to enforce accounting principles for fiscal management.
- Reviews invoices to ensure enforcement of university policy and federal regulations.
- Submits invoices to funding agency for payment within a reasonable time period as articulated in the agreement.
- Responds to issues relative to billing or invoicing the agency for funds expended on the project.
- Prepares and submits any required financial reports as articulated in the agreement.

## **Office of Internal Audit**

- Conducts audits on agreements, contracts and grants as requested by the Office of Research and Economic Development.

## Chapter 4 BUDGET DEVELOPMENT

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### 4.1. Office of Research and Economic Development Homepage

The ORED website is the central point of communications for sponsored programs and research. The home page includes resources for Budget Development, Policy and Procedures, Proposal Preparation, Processing Forms (internal and external), Electronic Submission Procedures for Deadlines, Tracking and Grant Management. Web links to all major federal agencies and the University's information for proposal development is included on the website and will help in the Budget Development process.

<http://www.tntech.edu/research/>

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### 4.2. Budget Preparation Excel Format (Spreadsheet)

The ORED website includes an Excel spreadsheet for budget development and provides information to calculate all expenses using accurate University formulas, percentages and rates. The website and workbook should be used when developing a budget to determine appropriate amounts and justifications for proposals. The proposal budget should provide a detailed description of all expenses and represent the itemized expenditures of the project accurately to complete the work. The budget should reflect the methodology described within the proposal narrative and justify that the request for funds is sufficient and reasonable. PIs must follow the agency's and University's guidelines.

Budget Preparation:

[https://tennesseetechuniversity.sharepoint.com/sites/research/tturesearchoffice/\\_layouts/15/DocIdRedir.aspx?ID=AHH2EXZ5EPEH-12-532&e=lyYT60](https://tennesseetechuniversity.sharepoint.com/sites/research/tturesearchoffice/_layouts/15/DocIdRedir.aspx?ID=AHH2EXZ5EPEH-12-532&e=lyYT60)

Essential Information:

<https://www.tntech.edu/research/proposal-development-resources/institutional-information,-codes-and-rates-for-proposals/>

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### 4.3. Proposal Budget Justification

The budget justification explains all proposal-related expenses, including salaries, fringe benefits, supplies, equipment, graduate fees and tuition remissions, travel, consultants and other allowable budget line items as designated by the agency guidelines. (See ORED staff and website for budget development assistance.)

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### 4.4. Budget Development

A budget for a sponsored project informs the sponsor of the cost related to achieving the statement of work or the implementation of the project. The budget should include only the cost that is allowable, allocable and reasonable to support the objectives. The budget should be itemized and detailed to ensure transparency to the sponsor and provide a mechanism for dissemination of the award.

The proposal budget should provide a detailed description of all expenses and represent the itemized expenditures of the project accurately to complete the work. The budget should reflect the methodology



described within the proposal narrative and justify the request for funds is sufficient and reasonable. PIs must follow the agency's and University's guidelines.

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## 4.5. OMB Circulars for Sponsored Projects

The Office of Management and Budget (OMB) is one of the agencies of the Executive Branch of the U.S. Government. The OMB's predominant mission is to assist the President in overseeing the preparation of the federal budget and to supervise its administration in Executive Branch agencies.

On December 26, 2014, the OMB published its comprehensive overhaul of federal grant administrative, cost accounting, and audit policies in the Federal Register, to be codified in Title 2 of the Code of Federal Regulations. This final guidance, Electronic Code of Federal Regulations, supersedes and combines the requirements of eight existing OMB Circulars (A-21, A-50, A-87, A-89, A-102, A-110, A-122 and A-133).

The common name for these regulations is the Uniform Guidance, though it is also referred to as 2 CFR 200.500, Omni Circular, or Omni Guidance.

The Uniform Guidance significantly reforms federal grantmaking to focus resources on improving performance and outcomes with the intent to reduce administrative burdens for grant applications and recipients and reduce the risk of waste, fraud, and abuse.

The Uniform Guidance was effective as of December 26, 2014. Each federal grantmaking agency (NSF, DOE, NIH, NASA, etc.) will publish its guidance policies to align with the Uniform Guidance.

New and incrementally funded awards issued on or after December 26, 2014, will be subject to the Uniform Guidance.

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## 4.6. Major Budget Categories

- **Direct Costs** are the total of the expenses that are directly related to executing the statement of work. Direct cost may include personnel, fringe benefits, consultants, graduate students, equipment, computers, supplies, travel, and other direct costs as identified according to the agency regulations. **Direct Cost Procedure:** <https://www.tntech.edu/research/research-compliance/policies/direct-costs-on-contracts-and-grants>

## 4.7. Quick Reference for Allowable and Unallowable Cost

- [https://www.tntech.edu/assets/usermedia/cis/forms/Allowable\\_Unallowable\\_Costs\\_Quick\\_Reference.pdf](https://www.tntech.edu/assets/usermedia/cis/forms/Allowable_Unallowable_Costs_Quick_Reference.pdf)
- **Personnel** should include only TTU faculty and staff. Collaborators at other institutions should be included either as consultants or within a subcontract budget. The salaries should reflect the approved University policy for position and grade, including percent of effort. Multiple-year projects should demonstrate a cost-of-living increase for inflation. (Note: Some agencies impose restrictions on the level of salaries through a salary cap. Refer to the agency guidelines prior to budget development.)

# Research and Sponsored Programs Handbook

- **Fringe Benefits** are the cost for health insurance, retirement benefits, Social Security, and Medicare. Rates are charged to the grant according to the salary and the percentage of effort. For current fringe rates, see the Essential Information link below:

## Essential Information:

<https://www.tntech.edu/research/proposal-development-resources/institutional-information,-codes-and-rates-for-proposals/>

- **Consultants** are experts hired to support specialty areas that ensure the successful achievement of the statement of work. Since consultants are not employees of TTU, the fees for service should be noted as a separate budget line item. To ensure compliance with federal regulations, refer to agency guidelines for allowable costs.
- **Graduate Students** may be hired to support a project if permitted by the agency guidelines. The allowable charges include the expenses for graduate students with a salaried appointment. Tuition and fee remission costs are included unless deemed otherwise by the agency.
- **Equipment (Capitalized)** required for the project should be included as an itemized cost with a justification of the expense. The University's policy for capital equipment is the benchmark for identification. The threshold for capital equipment is \$5,000.
- **Supplies** are consumable materials that are not characterized according to the threshold of capital equipment, including small items of equipment, cost of animals, etc. Items should be included in the detailed itemized budget with justification.
- **Travel Expenses** incurred to support the project may be included according to the agency's guidelines. Expenses such as professional meetings, field studies and conferences required by the agency are allowable. Allowable costs include per diem, meals, lodging, airfare, and ground transportation. Per diem allocations are distributed based on the CONUS rate of the designated meeting site.
- **Other Direct Costs** are project expenses that are not routinely categorized, such as publications, equipment maintenance, rental fees, animal housing, and communications cost.
- **Subcontracts (Subawards)** are legal and binding contracts for the scientific or programmatic aspects of a grant awarded to TTU that are performed by another organization. The proposal submitted to the agency must include evidence of commitment from the subcontractor (if identified) as well as a statement of work and proposed budget.
- **Indirect Costs or Facilities and Administrative Costs (F & A)** are not readily identifiable with individual projects. These costs are sometimes referenced as "overhead." They include categories such as library operations, utility costs, depreciation of buildings and equipment, operations and maintenance costs, grant and contract administration and accounting, and general administrative expenses for central offices. Indirect costs are based on a rate the University negotiates with the federal government. The current University's Indirect Cost Rates:
  - Modified Total Direct Costs (On Campus) 42.0%
  - Modified Total Direct Costs (Off-Campus) 11.5%

## Essential Information:

<https://www.tntech.edu/research/proposal-development-resources/institutional-information,-codes-and-rates-for-proposals/>

**Note: Indirect Costs are not always allowable. Refer to the agency guidelines for applicable circumstances. See the Essential Information for more details.**

Procedure: <https://www.tntech.edu/research/research-compliance/policies/idc>

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## 4.8. Cost Sharing

**Cost Sharing and Matching** funds are the percentage of the entire cost of the project not funded by the agency and are considered a mutual agreement by the University, if funded, to share the burden of the cost of the project.

**Note: Commitments to obligate the University to share in the cost of a project must be discussed with the ORED prior to engaging in the proposal process, in the initial phase of preparation and the engagement of the PIs.**

Please see the following procedure to view the latest details concerning cost sharing.

Procedure: <https://www.tntech.edu/research/research-compliance/policies/cost-sharing>

## Chapter 5 PROPOSAL REVIEW, APPROVAL AND PROCESSING

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### 5.1. Required Review and Signatures

All applications must receive University approval prior to submission to an external sponsor. University policy requires the signatures of authorized officials to ensure compliance with sponsor and government regulations; acceptance of responsibility for the administration of the sponsored project, including the provision of adequate facilities and services; and compliance with University policy. Authorization also indicates acceptance of terms and conditions of an award. (Refer to the ORED: [Proposal Endorsement Form](#). Complete and return with proposal for submission).

Procedure: <https://www.tntech.edu/research/research-compliance/policies/propapprvl>

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### 5.2. Procedures for the Submission of Proposals

Proposals should be routed through the PI's department prior to submission to the ORED at least five (5) working days prior to the agency's deadline to receive the application. Five (5) working days are required for administrative review and transmittal. Electronic applications are held to the same standards and policy as those submitted in paper formats.

All proposals submitted to the ORED for review and submission to a sponsor, regardless of method, must be accompanied by the following items (if applicable):

- [Proposal Endorsement Form](#) – Completed with all required signatures of authorization
- Budget (Refer to [budget preparation assistance](#), found under the Pre-Award section on the ORED website)
- Cost Share Commitment Forms
- Proposal – Final Form: narrative, budget, budget justification, etc.
- Electronic files, packages or additional sponsor copies
- Subaward information
- Other sponsor requirements
- Letters of Support

**Note: The Proposal Endorsement Form must be signed by the PI, Co-PIs, Senior Personnel, and their appropriate administrators, including Center Directors, Departmental Chairpersons, Deans, and if applicable, Research Liaison Officer prior to submission to the ORED.**

#### Electronic Submission

Proposals that must be transmitted electronically must be reviewed and approved prior to submission to the sponsor. **The ORED will review proposals for compliance with University and sponsor requirements given the applications are submitted five (5) working days prior to the submission deadline for the agency.** The review will provide an opportunity to ensure that information provided related to any required assurances is accurate and complete.

## Deadlines

The agency requirements for deadlines may vary according to the application.

- **Agency Deadline** is the date the agency must receive the proposal for review in the competition.
- **Receipt Deadline** is the date the agency receives the proposal.
- **Postmark Deadline** is the date the postal service indicates the item was received.

**Note:** Most proposals will not be reviewed if it is not received by the agency's deadline, as designated in the guidelines.

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## 5.3. Proposal and Award Tracking

The ORED maintain a database of all applications (proposals) submitted and awards received for external funding. Record management also includes official grant and contract notices of award documents. PIs should maintain copies of documents for their records and forward all official documentation to Grant Accounting (Box 5037) for audit readiness.

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## 5.4. Site Visits

Sponsors may require a visit to the University to meet with the PIs and others responsible for the conduct and administration of the proposed project. The ORED should be notified prior to the visit to prepare required information.

## Chapter 6 AWARD ACCEPTANCE

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Types of awards are broadly identified as financial support for a specific research project, training program, equipment purchase or other activity. The four basic types of awards received by the University describe how they are allocated and controlled.

- **Grants** are transfers of funds to support specific projects that sponsors have interests in without asserting active roles. Grants are given without expectation of delivery of a specific product or service other than a final written report. Grants are written documents with general terms and conditions that usually stipulate a project period and minimal reporting requirements. Grants can also be awarded through award letters. Subgrants from other entities are usually similar to grants received directly from a funding agency. They normally fund basic research, fellowships, and training. The principal purpose of the relationship is the transfer of funds to accomplish a public purpose. There is not a substantial involvement between the grantor and grantee.
- **Cooperative Agreements** create a collaborative relationship between TTU and the sponsoring agency, which is significantly involved with the project. The University does not have much latitude to modify the scope of work, and the reporting requirements are usually restrictive. Cooperative agreements are routinely awarded in support of basic research.
- **Contracts** are agreements entered into to provide support for a specific purpose to the sponsor. Contracts are written documents enforceable by law and include detailed information, called the state of work, and a comprehensive budget.
- **Subcontracts** are subject to the terms and conditions of the prime award. Funds are transferred from a primary funding agency through another agency, industry or university to TTU.

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### 6.1 Receipt of Award

TTU requires all sponsored awards to be reviewed and accepted by the ORED on behalf of the University. Important points to be considered in the **Notice of Award**:

- **Period of Performance:** These dates may not coincide with the dates of total project period.
- **Names of Key Personnel:** The PI is responsible for conducting the project in accordance with University policy and sponsor requirements.
- **Dollars Committed and/or Obligated:** The section identifies the terms for release of funds. Funds may be released at the beginning of the project or may be obligated incrementally. The sponsor is not legally obligated to pay dollars not yet obligated.
- **Future Year Commitments:** These funds are contingent on their availability and on satisfactory progress of the project. These amounts should be applied as projections for planning purposes only.
- **Cost Sharing:** If the sponsor requires the University to contribute resources to the project, it usually specifies the requirements in the award notice. Accounting and reporting on these costs is an audit requirement for the University.

- Accounting and Reporting Obligations: All awards require technical and financial reports. Most awards require patent and property reports.
- Deliverables: Under contracts, the University must deliver specified work products to the sponsor.
- Payment to University: Awards identify the method by which the University will be funded or reimbursed by the sponsor.
- Terms and Conditions: The award may have additional terms and conditions, which may specifically limit the availability or use of funds, need for prior approvals and similar additional oversight by the awarding agency. The University must understand these restrictions prior to incurring costs. The PI must make note of these terms and conditions prior to engaging in activity.

Procedure: <https://www.tntech.edu/research/research-compliance/policies/contractapprvl>

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## 6.2. Request to Modify a Sponsored Project

Requests to modify a sponsored project should be submitted in writing to the ORED. Any request to modify an existing grant should be routed through the appropriate bookkeeper. The request includes, but is not limited to, no-cost extensions, increases in funding, or budget line item changes that exceed the sponsor's limitations. Please see the [budget revision request form](#) for more information.

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## 6.3. Negotiation/Acceptance

The ORED is responsible for reviewing all terms and conditions of an award prior to acceptance to ensure that the sponsor's requirements are in alignment with the University's policies and procedures. It is vital that the terms are clearly understood and all concerns are resolved before the award is accepted for the University. If a PI is contacted directly by the sponsor, the PI should refer them to the ORED.

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## 6.4. Account Set-Up

The ORED has an account establishment process. After an award has been accepted for the University, a grant is created by the Grant Accounting Office. The PI is notified when an account has been established.

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## 6.5. Catalog of Federal Domestic Assistance (CFDA)

A CFDA number consists of five digits assigned to most grants and cooperative agreements funded by the federal government and governed by 2 CFR 200.500. It does not apply to federal contracts and purchase orders or non-federal agreements where no federal pass-through funds have been included.

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## 6.6. Pre-Award Costs

Pre-award costs are permissible under most federal grants and allow the institution to incur certain costs up to 90 days in advance of the actual award start date. All PIs must contact the ORED prior to initiating this option for prior approval.

## Chapter 7 POST-AWARD ADMINISTRATION

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The PI is responsible for the management of the funds. The Grant Accounting Office serves as the primary administrative liaison between the PI, sponsors and other University offices in the post-award period, regarding award specific sponsor guidelines and regulations.

Procedure: <https://www.tntech.edu/research/research-compliance/policies/contractresp> and <https://www.tntech.edu/research/about-us/roles-and-responsibilities>

**Personnel:** appointments of all personnel to sponsored projects are subject to the Human Resources policies and procedures of the University.

---

### 7.1. Faculty and Staff Salaries

A research project should be charged with a portion of each employee's institutional base salary equal to the proportion of time or effort devoted directly to the project unless an approved portion is cost-shared by the University. For faculty with a nine-month appointment, one month of effort is one-ninth of the academic year salary.

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### 7.2. Professional Effort Reporting

The 2 CFR 200.500 sets federal requirements for the establishment of a Professional Effort Reporting System. The University has a written policy and procedure for Effort Reporting (refer to the University's [Accounting Policies and Procedures](#) for information on effort reporting).

---

### 7.3. Post-Award Changes and Re-budgeting of Funds

Changes that occur in the conduct of sponsored projects require prior written approval from the sponsor. The approval is granted according to the sponsor's policy. Contact the ORED for submission of changes.

Procedure: <https://www.tntech.edu/research/research-compliance/policies/budgetrevisions>

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### 7.4. No-Cost Extension Request

The no-cost extension request solicits approval of the sponsor to extend the termination date of a project without additional funds. The request must be processed 30 to 90 days prior to the scheduled termination date. Contact the ORED for submission.

Procedure: <https://www.tntech.edu/research/research-compliance/policies/no-cost-extensions>

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### 7.5. Relinquishment of an Award

PIs should consult the ORED for the specific requirements of the award and agency prior to engaging in communications regarding this matter.



## 7.6. Cost Allocations for Goods and Services

Cost allocations for purchases by the University to conduct research may often benefit more than one sponsored award. Such costs must be allocated to the sponsored awards in proportion to the actual benefit received by the awards. (Refer to 2 CFR 200.500 for methods for allocating an allowable direct cost to two or more grants.)

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## 7.7. Cost Transfers

A cost transfer is the re-assignment of an expense to a sponsored project after the expense was initially charged to another sponsored program or non-sponsored project. If discrepancies are found during the monthly reconciliation process, the PI, via the project bookkeeper, must submit a cost transfer to reallocate costs to the appropriate unrestricted departmental accounts. The PI should review monthly reports to identify legitimate errors in a timely manner, and any necessary cost transfers **should be done within 90 days of discovery (TTU Policy 516, Grants and Cooperative Agreements)**. Cost transfers must be supported by documentation, which contains a full explanation of how the error occurred and a correlation of the charge to the project to which the transfer is being made. In the event costs are deemed unallowable, reimbursement must be collected from the employee.

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## 7.8. Purchasing

PIs should review the sponsor's criteria for allowable costs. Prior to purchasing or ordering any items on a grant, consult with the Purchasing Department of the University and review the [policy for procurement](#).

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## 7.9. Animal Charges

PIs conducting protocols involving animals will incur animal-related charges, including purchases and husbandry costs. Charges for the purchase or caring for animals should not be charged to a sponsored award prior to receiving such approval.

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## 7.10. Program Income

Program income is gross income directly generated by a supported activity or earned as a result of an award and earned by the recipient during the period of a sponsored award. The treatment of program income on federal grants is stipulated by the administrative requirement of the award agency.

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## 7.11. Financial Monitoring Overspending or Under Spending

Overspending and under spending within projects can reflect poorly on the University by indicating inadequate planning or poor internal financial management. The PI is responsible for carefully monitoring the budget and ongoing charges and expenses. If the PI ends the project with a deficit, the University incurs the expense.

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## **7.12. Project Reporting and Financial Closeout**

In the closeout phase of a grant, sponsors may require periodic financial and technical reports, as well as invention and property reports. The reporting schedule, format and requirements are outlined in the notice of award or agency's general terms and conditions. The PI is responsible for submitting the final technical report to the ORED according to the specified time period. Failure to submit this report could jeopardize future funding by the sponsor for the PI and University.

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## **7.13. Audit Request**

The Grant Accounting Office is the focal point for the coordination of an audit request response for sponsored programs. The ORED will notify and arrange for the PI or other individuals at the department or school to be available for an interview, if so requested.

## Chapter 8 STANDARDS OF CONDUCT & REGULATORY COMPLIANCE

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### 8.1 Policy

TTU encourages faculty and students to pursue research and scholarly activities to strengthen and advance knowledge and intellectual discourse. Policy has been developed as a set of guiding principles to conduct business with the expectation that faculty, staff and students will abide. TTU's policy for research and scholarly activity is located on the website. See the following links:

- University Policy (Policy Central): <http://www.tntech.edu/policies>
  - ORED Policies and Procedures: <https://www.tntech.edu/research/research-compliance/policies/>
- 

### 8.2 Research Misconduct

The University has developed policies and procedures to respond to allegations of misconduct in all areas of research to ensure ethical standards are maintained in the research that is performed under its auspices.

Policy: <https://www.tntech.edu/research/research-compliance/policies/misconduct/>

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### 8.3 Code of Ethics

TTU expects ethical behavior. A statement of TTU's Code of Ethics is located at the following link:

[http://www.tntech.edu/files/facultysenate/TTU\\_Code\\_of\\_Ethics\\_draft\\_v5\\_after\\_changes\\_applied.pdf](http://www.tntech.edu/files/facultysenate/TTU_Code_of_Ethics_draft_v5_after_changes_applied.pdf)

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### 8.4 Protection of Human Subjects (IRB)

The University has an Institutional Review Board (IRB) in accordance with federal regulations to ensure ethical research practices and the protection of human subjects.

Policy: <https://www.tntech.edu/research/research-compliance/human-subjects-research-fd/>

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### 8.5 Training

**The Collaborative Institutional Training Initiative (CITI)** is an online course on the Responsible Conduct of Research, Human Subjects, and Export Controls. The University requires staff receiving grant funds to complete the online training.

Training: <https://www.tntech.edu/research/research-compliance/training/>

## 8.6. Animal Care and Use

The Animal Care and Use Committee is responsible in accordance with federal regulations to ensure the welfare and protection of animals in research and pedagogy.

Policy: <https://www.tntech.edu/research/research-compliance/animalcare>

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## 8.7. Responsible Conduct in Research

To ensure that faculty, students and staff are knowledgeable in the implementation of ethical research, the Responsible Conduct in Research Training Modules are located on the ORED website.

Policy: <https://www.tntech.edu/research/research-compliance/responsibleconductinresearch/>

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## 8.8. Equal Opportunity

The University will not discriminate against any employee or applicant for employment because of race, color, religion, national origin, sex, disability, age, or because of his/her status as a qualified veteran with a disability, veteran of the Vietnam era, or other protected veteran.

- TTU Affirmative Action, Equal Employment Opportunity and Discrimination, and TTU Discrimination and Harassment - Complaint and Investigation Procedure

<https://www.tntech.edu/ideaa/>

- TTU Employment Procedures

[http://www.tntech.edu/files/adminpandp/Human\\_Resource\\_Services/Employment\\_Procedures\\_Rev\\_A\\_12012011.pdf](http://www.tntech.edu/files/adminpandp/Human_Resource_Services/Employment_Procedures_Rev_A_12012011.pdf)

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## 8.9. Conflict of Interest

TTU establishes standards that provide a reasonable expectation that the design, conduct, and reporting of research, including those supported by grants, cooperative agreements, and contracts, will be free from bias resulting from investigator financial conflicts of interest.

Policy: <https://www.tntech.edu/research/research-compliance/conflict-of-interest/>

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## 8.10. Use of University Name

The University does not permit the use of its name in advertising or promotional materials related to the results of sponsored projects without prior written approval. See the ORED for assistance.

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## 8.11. Classified Information (Openness in Research)

For the University's procedure on Classified Information, see the Information Technology procedures found at:

Policy: <https://www.tntech.edu/policies/>

## 8.12. Intellectual Property

The ORED is responsible for assisting faculty in protecting ideas and implementing technology transfer activities.

Policy: <https://www.tntech.edu/research/research-compliance/intellectual-property-advisory-committee/>

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## 8.13. Patents, Copyrights and Licensing

The University is authorized by its governing body to seek and hold patents and copyrights and to assign their rights and execute royalty agreements.

Procedure: <https://www.tntech.edu/research/research-compliance/intellectual-property-advisory-committee/>

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## 8.14. Export Control

In accordance with federal regulations, the PI must ensure that the University is in compliance with the applicable laws relative the research project, contract or grant.

Policy: <https://www.tntech.edu/research/research-compliance/export-controls-and-trade-sanctions/>

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## 8.15. Record Retention

The University follows federal policies (2 CFR 200.500) for maintaining documentation on all projects.

Procedure: <https://www.gpo.gov/fdsys/granule/CFR-2014-title2-vol1/CFR-2014-title2-vol1-sec200-333>

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## 8.16. Certain Testing, Funded Public Service and Professional Service Projects

All activity involving TTU must receive prior approval to ensure University and federal compliance.

Procedure: <https://www.tntech.edu/research/research-compliance/policies/#formsandagreements>

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## 8.17. Certification, Debarment, Suspension and Other Responsibility Matters

The University requires certification of the PI that persons working on federal grants and contracts have not been debarred or suspended from participation on a federal grant or contract.

Procedure: <https://www.tntech.edu/research/research-compliance/policies/cert-debar>

## 8.18. Certification: Drug Free Workplace

The University's certification is submitted with the [Proposal Endorsement Form](#).

Procedure: <https://www.tntech.edu/research/research-compliance/policies/cert-drugfree>

# APPENDIX

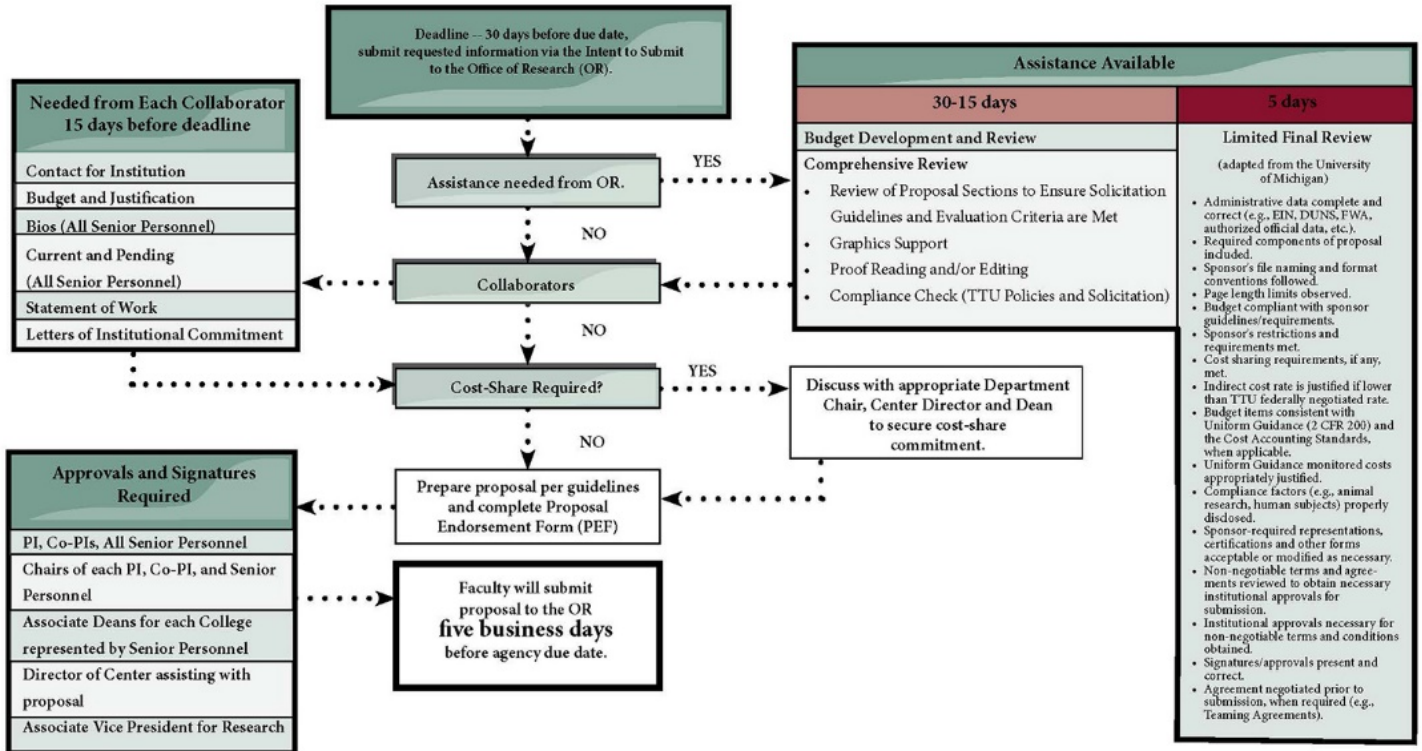
## **QUICK REFERENCES**

- **PATHWAY FOR PROPOSALS** Page 32-33
- **ALLOWABLE AND UNALLOWABLE COSTS FOR FEDERAL SPONSORED PROJECTS** Page 34-36
- **SUMMARY CLOSEOUT SCHEDULE** Page 37-38
- **UNIVERSITY INDEX OF FORMS** Page 39
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# PATHWAY FOR PROPOSALS

# Research and Sponsored Programs Handbook






**ALLOWABLE  
AND  
UNALLOWABLE  
COSTS  
FOR SPONSORED  
PROJECTS**

## Quick Reference Guide:

A "short list" of Allowable and Unallowable Costs for Federally Sponsored Projects

From: 2 CFR 220 (formerly OMB Circular A-21), Cost Principles for Educational Institutions

 For a cost to be deemed *allowable*, it must meet OMB criteria of being: reasonable, allocable, consistently treated, and conform to any limitations or exclusions set forth in the cost principles, in the sponsored agreement, and UMS Administrative Practice Letters and UMaine Policies.

CFR Reference	Type of Cost	 Allowable as a Direct Cost	 Unallowable as a Direct Cost
J30	Maintenance & Repair Costs	Allowable as a direct cost as necessary to carry out the technical and scientific aspects of and <u>actually used for the performance of a sponsored project</u>	Unallowable for costs incurred for necessary maintenance, repair, or upkeep of bldgs & equipment which neither add to the permanent value of the property nor appreciably prolong its intended life, but keep it in an efficient operating condition (Generally F&A). *Costs incurred for improvements which add to the permanent value of bldgs & equipment or appreciably prolong their intended life shall be treated as capital expenditures.
J31	Material & Supplies Costs	Allowable as a direct cost when necessary, and actually used, for the performance of a sponsored project.	Generally Unallowable for routine office supplies & postage (Refer to UMS APL VIII-C)
J32	Meetings & Conferences	Allowable when the primary purpose is the dissemination of technical information directly related to the project. This includes costs of meals, transportation, rental of facilities, speakers' fees, and other items incidental to such meetings or conferences.	"Entertainment costs" are unallowable (see above)
J33	Memberships, Subscriptions & Professional Activity Costs	Generally unallowable as a direct cost (considered F&A). See UMS APL VIII-C	Costs of membership in any civic or community organization, country club or social or dining club or organization are unallowable. Costs of the institution's membership in business, technical and professional organizations AND Costs of the institutions subscriptions to business, professional & technical periodicals are generally considered F&A costs.
J34	Patent Costs	Allowable if req'd by the sponsored agreement	Unallowable for foreign patents
J36	Pre-Agreement Costs	Allowable <b>with prior approval</b> from the awarding agency	
J37	Professional Service Costs	Allowable when in accordance with OMB A-21, J37 b & c and in compliance with University policy	Unallowable for officers or employees of the institution
J38	Proposal Costs	<b>Unallowable</b>	<b>Unallowable</b>
J39	Publication & Printing Costs	Allowable if the costs can be <b>identified with a research project</b> . If the cost is for page charges, the charges are allowable for professional journals if the work is supported by the Federal Government and the charges are levied impartially on all research papers published, not just those funded by federally sponsored authors	Generally unallowable for routine copying & postage (considered F&A). Refer to UMS APL VIII-C
J40	Rearrangement and Alteration Costs	Allowable with prior approval of the awarding agency when incurred specifically for the sponsored project	Unallowable for costs incurred for ordinary or normal rearrangement and alteration of facilities
J42	Recruiting Costs	Allowable when related to and necessary for the project and if reasonable (color ads are not considered reasonable - See OMB A-21, Section J1)	Advertising which includes color, material for other than recruitment purposes, or which is excessive in size is unallowable.


ORSP 2/8/10



This is a summary only. For a detailed description of these costs refer to 2 CFR 220 under the section noted in "CFR Reference"

## Quick Reference Guide:

A "short list" of Allowable and Unallowable Costs for Federally Sponsored Projects

From: 2 CFR 220 (formerly OMB Circular A-21), Cost Principles for Educational Institutions

 For a cost to be deemed *allowable*, it must meet OMB criteria of being: reasonable, allocable, consistently treated, and conform to any limitations or exclusions set forth in the cost principles, in the sponsored agreement, and UMS Administrative Practice Letters and UMaine Policies.

CFR Reference	Type of Cost	 Allowable as a Direct Cost	 Unallowable as a Direct Cost
J43	Rental Costs of Buildings and Equipment	Allowable for reasonable costs (subject to the limitations of leases given in OMB A-21, Section J43 a-d) when incurred specifically for the sponsored project.	Unallowable costs include amounts paid for profit, mgmt fees, and taxes that would not have been incurred had the institution purchased the facility.
J44	Royalties and Other Costs for Use of Patents	Allowable when necessary for the performance of the sponsored project.	Unallowable when the Federal Government has a license or the right to free use of the patent or copyright; or when the patent or copyright has been adjudicated to be invalid, has been administratively determined to be invalid, is considered to be unenforceable, or has expired
J45	Scholarships and Student Aid Costs	Allowable only when the purpose of the sponsored agreement is to provide training to selected participants and the charge is approved by the sponsoring agency. Stipulations apply.	
J48	Student Activity Costs	<b>Unallowable</b>	<b>Unallowable</b>
J50	Termination Costs Applicable to Sponsored Agreements	Allowable for costs which would not have arisen had the sponsored agreement not been terminated, provided they meet the requirements of OMB A-21, Section J50	Unallowable for any costs continuing after termination due to the negligent or willful failure of the institution to discontinue such costs.
J51	Training Costs	Allowable for training provided for employee development for a specific sponsored project.	
J52	Transportation (Freight) Costs	Allowable for costs for freight, express, cartage, postage and other transportation services when related to goods purchased, in process, or delivered (must be project-specific).	Unallowable for routine/general postage
J53	Travel Costs	Allowable for transportation, lodging, subsistence and related items for employees who are in travel status on project-specific business, subject to University policy	Unreasonable travel costs (including airfare costs in excess of the lowest available commercial discount airfare except where justified & documented) are unallowable. Non-employee travel unallowable unless related to OMB A-21, Section J2 or specifically required to fulfill the requirements of the solicitation.

### References:

OMB Circulars, general page

<http://www.whitehouse.gov/OMB/circulars/>

OMB A-21 Relocated to : Title 2 in the Code of Federal Regulations (2 CFR 220), effective 8/31/2005

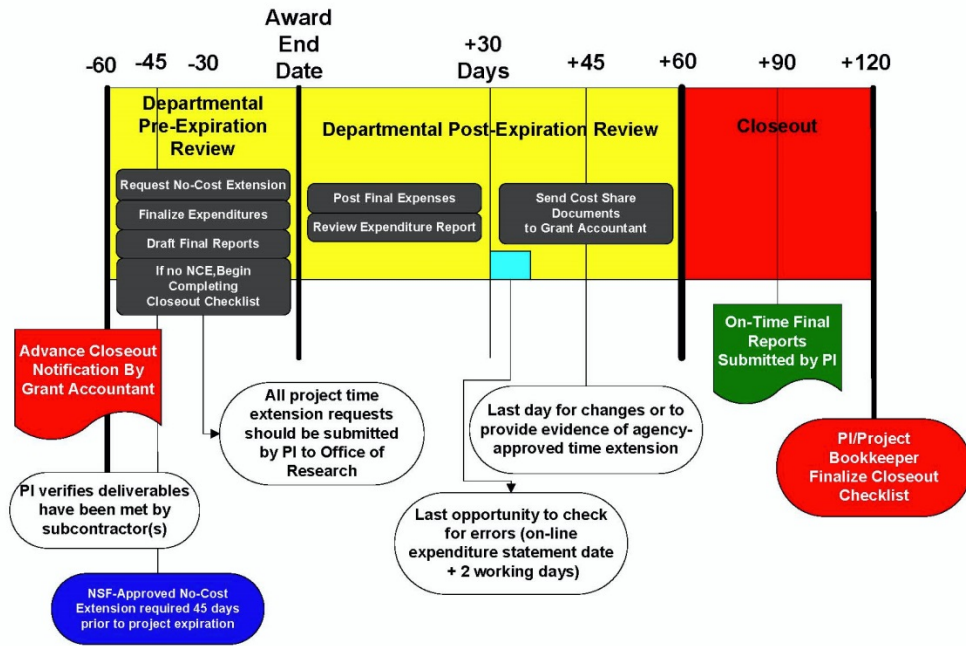
[http://www.whitehouse.gov/sites/default/files/omb/assets/omb/fedreg/2005/083105\\_a21.pdf](http://www.whitehouse.gov/sites/default/files/omb/assets/omb/fedreg/2005/083105_a21.pdf)

University of Maine System Administrative Practice Letter VIII-C: Sponsored Programs – Direct Charging Of Expenses

<http://www.maine.edu/pdf/APLVIII.CDirectChargingOfExpenses.pdf>

# SUMMARY OF GRANTS CLOSEOUT SCHEDULE

### Summary of Closeout Schedule



UNIVERSITY INDEX  
OF FORMS  
FOR  
PROCESSING



# INTENT TO SUBMIT FORM

# PROPOSAL ENDORSEMENT FORM (PEF)

# GRANT ACTIVATION FORM (GAF)

# PROJECT ABSTRACT FORM

# BUDGET INSTRUCTIONS & WORKSHEETS

- PRINCIPAL INVESTIGATOR
- CLERICAL - ADMINISTRATIVE
- GRADUATE ASSISTANTS
- UNDERGRADUATE STUDENTS