WILLIAM PATERSON UNIVERSITY

Office of Sponsored Programs

Proposal and Award Management Handbook

I. Introduction

A. Statement of University Support

The Board of Trustees, the President and the Vice Presidents of William Paterson University promote and encourage the faculty and staff to seek external support through sponsored projects to support and expand the educational, research and community service missions of William Paterson University. We encourage faculty, staff and administrators to seek funding from government agencies, foundations, corporations and other agencies to support projects and activities such as funding for faculty research, research equipment acquisition, faculty/student research collaborations, professional and program development, cultural programs, business and community development, training, curriculum development, student recruitment and retention, student scholarships, service projects, outreach, and pre-college activities.

University Policy on External Funding

William Paterson University seeks external funding to support research, scholarship and creative activity that will advance knowledge in the traditional disciplines, improve skills in professional areas, and integrate research and teaching to enhance student learning. Projects are expected to support William Paterson's mission of excellence, equity, and access. Projects that advance one or more of the following institutional goals are encouraged:

- Promote faculty-student research collaborations

- Enhance the quality of academic programs

- Develop meaningful partnerships with successful institutions and agencies

- Increase and maintain affordability and access to education

- Lead and support community-based initiatives

1) All letters of intent, letters of inquiry, preliminary proposals, full proposals, and contracts must be submitted by the OSP; faculty or staff cannot directly apply for grants or other external funding.

2) Faculty or staff cannot partner with or enter into any agreements with external organizations, schools, or school districts without prior authorization from the OSP.

3) No member of the University community is authorized to solicit funding from foundations, corporations, alumni or individual donors, formally or informally, or to use University stationery

without the prior knowledge of and authorization from the Provost and Senior Vice President for Academic Affairs (Authorize Official WPU).

4. Part-time faculty or staff must partner with a full-time member of the University community to apply for external funding.

5. Adherence to post-award administration policies, procedures and guidelines is the responsibility of the Principal Investigator/Project Director.

B. General Information on the OSP Mission, Goals and Objectives

The mission of the Office of Sponsored Programs is to provide value-added assistance to encourage, develop and support the research, scholarship, education, creative, and community service aspirations of William Paterson University's faculty, staff and students.

The Office of Sponsored Programs accomplishes its mission by:

- Collaborating in the development of projects and leading the submission of proposals to Federal, State and other government sponsors, grantmaking public charities, professional associations, and some commercial sponsors;

- Securing and initiating awards, supporting stewardship and compliance requirements, and assisting in closing-out individual awards; and

- Developing, monitoring and implementing policies to ensure compliance with sponsor expectations and regulatory requirements that are not limited to any one individual award.

OSP's catchphrase is *Promoting Ideas Into Knowledge.*

C. Sponsored Programs Glossary

Additional Compensation: Payment for services rendered by an employee in addition to base salary payable for the normal working activity contemplated by the terms of the Employee's appointment.

Agreement: A generic name for grant, contract, or other sponsored agreement.

Allocable costs: Allowable costs that directly benefit the grant or contract to which they are charged.

Applied Research: Systematic study to gain knowledge or understanding necessary to determine the means by which a recognized and specific need may be met.

Audit: A formal examination of an organization or individual's accounts or financial situation. An audit may also include examination of compliance with applicable award terms, laws, regulations, and policies.

Authorized Official: The individual(s) authorized to bind the institution to grants, contracts, cooperative agreements, and other agreements.

Award: The provision of funds by a sponsor, based on an approved proposal and budget, to an Organizational entity or individual to carry out an activity or project.

Basic Research: Systematic study directed toward fuller knowledge or understanding of the fundamental aspects of phenomena and of observable facts without specific applications towards processes or products in mind.

Broad Agency Announcement (BAA): An announcement of a federal agency's general research interests that invites proposals and specifies the general terms and conditions under which an award can be made (e.g., Department of Defense agencies such as ONR, AFOSR, and ARL issue BAA's).

Budget: A detailed financial statement of project costs that are needed to support work described in a grant or contract proposal. The proposal budget is often called the "fiscal expression" of a sponsored project.

Budget Period: A time period of finding, usually expressed incrementally, e.g., Year 1 of an incrementally sponsored project, or the first 12 months.

CFDA: Catalog of Federal Domestic Assistance.

CFR: Code of Federal Regulations.

CITI Program: Collaborative Institutional Training Initiative, Provider of web-based training materials on research education content.

Certification: A statement, signed by an applicant or recipient as a prerequisite for receiving federal funds, that (1) meets or will adhere to certain conditions and/or (2) will undertake or not undertake certain actions.

Closeout: The programmatic and administrative process during which the PI/PD, OSP, and the Office of Grant Accounting complete all required work of a sponsored project and undertake all

necessary administrative tasks to complete the project in accordance with university policy, sponsor's requirements, and federal and state rules and regulations.

Co-Investigator: The individual involved with the PD/PI in the development or execution of a project. The co-investigator (collaborator) may be employed by, or be affiliated with, the applicant/grantee organization or another organization participating in the project under a consortium agreement. A coinvestigator typically devotes a specified percentage of time to the project and is considered senior/key personnel.

Competing Renewal Proposal: Proposals (for ongoing projects) that must compete again if the term of the original award has expired.

Conflict of Interest: Situations in which employees use their positions for purposes that are, or give the appearance of being, motivated by a desire for private gain for themselves or others, such as those with whom they have family, business or other ties.

Consultant: An individual independently hired to provide routine professional services on a sponsored project for a fee, but generally not as a university employee. Consultants are typically not involved in the programmatic direction or management of a project.

Contract: A binding agreement between the sponsor and contractor for the provision or purchase of a product or service of direct benefit to the sponsor. The administration of federal contracts is governed by Federal Acquisition Regulation (FAR).

Copyright: An intangible, incorporeal right granted by statute to an author or originator of certain literary or artistic productions, where he/she is invested, for a limited period, with the sole and exclusive privilege of multiplying copies of the same and publishing and selling them. Works of authorship include literary, musical or dramatic works, works of art, motion pictures or video tapes, audio recordings or computer programs.

Cooperative agreement: An award similar to a grant, but in which the sponsor's staff may be actively involved in proposal preparation, and anticipates having substantial involvement in research activities once the award has been made.

Cost Accounting Standards (CAS): Federally mandated accounting standards intended to ensure uniformity in budgeting, accounting and reporting project costs.

Cost-Reimbursement Type Contract/Grant: A contract/grant for which the sponsor pays for the full costs incurred in the conduct of the work up to an agreed-upon amount.

Cost-sharing or matching: Costs of a sponsored project not borne directly by the sponsor. Cost-sharing, or matching, are either "in-kind" or "cash" contributions by the recipient of the sponsored project, or by a third-party.

Data Use Agreement (DUA): A contractual agreement used for the transfer of non-public data that is subject to some restriction on its use, serves to outline terms and conditions of the transfer and addresses limitations on use of data, obligations to safeguard the data, liability for harm arising from use of the data, publication, and privacy rights that are associated with transfers of confidential or protected data.

Developmental Research: Systematic application of knowledge or understanding, directed toward the production of useful materials, devices, and systems or methods, including design, development, and improvement of prototypes and new processes to meet specific requirements.

Direct Costs: Costs that can be specifically identified with a particular project, program, or activity.

Effort: The time devoted to a particular sponsored activity, expressed as a percentage of the total time spent on WPU teaching, research, and service activities.

Effort Certification: A self-attestation of an employee's University activities for a stated time period. Appropriately certified effort provides audit-able documentation to demonstrate to the University's sponsoring partners that the sponsor did in fact receive the level of effort committed through the award process.

Effort Reporting: Proportional distribution of 100% of an employee's university effort across categories of activity for a stated time period. Certification of reported effort is required by the federal government's Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards.

Encumbrance: Those funds that have been set aside of "claimed" for projected expenses pending the actual expenditure of the funds.

End Date: The date signifying the end of the period of performance, typically indicated on the notice of award; may also be called "Expiration Date."

Equipment: A tangible article that has a useful life of more than one year and an acquisition cost of $5,000 or more. Each piece of equipment requested should be described and justified fully in the budget justification section of a proposal. Quotes may be required.

Expanded Authorities: The delegation of prior approval directly to the institution. Many federal agencies allow universities to exercise expanded authorities for specific actions, e.g., an initial request for a no cost extension provided sufficient programmatic justification.

Extension: An additional period of time authorized by the sponsor (or awardee institution, as appropriate) to an organization for the completion of work on an approved grant or contract. An extension allows previously allocated funds to be spent after the original expiration date

FastLane: FastLane is the National Science Foundation's electronic system for conducting business over the Internet. All NSF proposals and reports must be submitted using FastLane.

Federal Acquisition Regulation (FAR): The system of federal rules and regulations that govern the administration of government procurement contracts.

Financial Conflict of Interest (FCOI): A significant financial interest that could directly and significantly impact the design, conduct, and reporting of the research.

Financial Report: Periodic, scheduled financial reports required by the sponsor showing the financial status of awarded funds for a specific time period. PIs/PDs will work directly with the Office of Grant Accounting to ensure that periodic and final financial reports are submitted on time and in compliance with the sponsor's guidelines.

Financial Status Report (FSR): A standard, government-wide report that recipients must submit to the federal funding agency that identities the status of funds for a specific grant or cooperative agreement. (40 CFR Part 31)

Fixed-Price (FP) Contract/Grant: A contract/grant for which one party pays the other party a predetermined price, regardless of actual costs, for services rendered or the delivery of a final product/report. Quite often this is a fee-for-service agreement.

Fringe Benefits: Employee benefits paid by the employer, e.g., health insurance, F.I.C.A., Worker's Compensation. Fringe benefit rates are calculated using fixed percentages that vary depending on the employee's classification and may change from year to year.

Grant: Financial assistance provided to complete a project, generally with a public purpose, need or "public good" in mind. There is usually limited involvement from the federal government in the project except to convey the funds. Policies governing the management of grants from federal sponsors are covered in the Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards.

In-Kind: Contributions or assistance in a form other than money. Equipment, materials, or services of recognized value that are offered in lieu of cash.

Indirect Costs: Synonymous with "Facilities and Administrative Costs," or "F&A." Costs an organization incurs in the conduct of research or other externally sponsored activity which cannot readily and specifically be identified with a particular sponsored project or other

institutional activity (e.g., facilities maintenance, plant operation, library services, utilities, general administration, or sponsored projects administration).

Indirect Cost Rate: The rate, expressed as a percentage of a base amount as defined by the funding opportunity's guidelines, established by negotiation with the cognizant federal agency on the basis of the institution's projected costs for the year. The indirect cost rate is charged on a set of direct costs known as an indirect cost base. See Modified Total Direct Costs (MTDC) and Salary + Wages for description of percentages.

Institutional Animal Care and Use Committee (IACUC): Oversees the institution's animal research program, facilities, and projects involving the use of animals. Every research, testing, and teaching project involving the use of a live vertebrate animal must be reviewed and approved by the IACUC prior to initiation.

Institutional Review Board (IRB): An administrative body established to protect the rights and welfare of human research subjects recruited to participate in research activities conducted under the auspices of the organization with which it is affiliated. The Institutional Review Board has the authority to approve, require modifications in, or disapprove all research activities that fall within its jurisdiction.

Key Personnel: Personnel of primary importance in carrying out a research or other sponsored project; typically senior personnel (e.g., Co-Investigator).

Letter of Inquiry: A brief description, usually 1-2 pages, of research plans and estimated budget that is sometimes submitted to determine the interest of a particular sponsor prior to submission of a formal proposal. This type of inquiry is often not required but encouraged by funding agencies.

Letter Of Intent (LOI): A letter of intent (LOI) is a notification to a funding agency of an applicant's intent to submit a full proposal for a particular opportunity. The agency uses the notifications to recruit peer reviewers and manage workload. The LOI may be optional or required, per the funding opportunity guidelines.

Mandatory Cost-Sharing: Cost-Sharing that is required or mandated by the sponsor as a condition of receiving a sponsored award.

Memorandum of Understanding (MOU): A nonbinding or binding agreement between two or more parties outlining the terms and details of an understanding or partnership, including each parties' requirements and responsibilities.

Modified Total Direct Costs (MTDC): The cost-base for calculating F&A costs (Indirect Costs) incurred on a sponsored project. MTDC is a subset of direct costs and typically excludes

equipment, tuition, scholarships/fellowships, renovations, space rental, and subawards in excess of $25K from being charged F&A.

Misconduct in Science: Fabrication, plagiarism, falsification or destruction of data, or other practices that seriously deviate from those that are commonly accepted within the scientific community for proposing, conducting, or reporting research. It does not include honest error or honest differences in interpretations or judgments of data.

Modification: An award document that modifies any aspect of an existing award other than those named above. Example: Carryover approvals, adding or deleting special terms and conditions, changes in funding levels (administrative changes initiated by the agency, extensions that include changes in terms, change of principal investigator, etc.)

Non-Competing Continuation Proposal: A continuation proposal reports on progress made during a portion of the project period and requests continuation funding for the next portion of the project period. Continuation proposals do not compete with new project proposals and are not subjected to peer review beyond the initial project approval.

No-Cost Extension: An additional period of time authorized by the sponsor to complete work on an approved grant or contract at no additional cost to the sponsor. An extension allows previously allocated, remaining funds to be spent during the extension period, provided sufficient programmatic justification. On many federal awards, the University may authorize an extension unilaterally without sponsor prior approval for a one-time period of up to twelve months if the award terms allow for this action under "Expanded Authorities."

Notice of Grant Award/Notice of Award: The official, legally binding document, signed (or the electronic equivalent of signature) by a Grants Officer and/or Program Officer that: (1) notifies the recipient of the award of a grant; (2) contains or references all the terms and conditions of the grant and funding limits and obligations; and (3) provides the documentary basis for recording the obligation of funds.

Peer Review: A system using reviewers who are the professional equals of the principal investigator or a program director who is to be responsible for directing or conducting the proposed project. It is a form of objective review. Peer review is legislatively mandated in some programs and in other programs is administratively required.

Period of Performance: Time interval between the approved start date and the end date of a project. This is the period in which the sponsor has authorized the award recipient to conduct the scope of work. The period of performance may be made of one or more budget periods, typically of uniform length (e.g. Twelve months).

Preliminary Proposal: A brief presentation by the PI of goals, methods, personnel, and overall budget submitted to a funding agency. Pre-proposals are used by funding agencies to determine the eligibility of the applicant and the suitability of the proposed project for support.

Prime Award: In the context of sub-awards or subcontracts, the prime award is the award made directly from the sponsor to the recipient institution. When a recipient institution makes a subaward or subcontract under the terms and conditions of the award to a second organization, the sponsor's award is labeled the prime award and the terms and conditions are generally included as part of the agreement to the subaward or subcontract site.

Program Announcement: Describes existence of a research opportunity. It may describe new or expanded interest in a particular extramural program or be a reminder of a continuing interest in an extramural program.

Project Period: The total time for which support of a project has been programmatically approved. A project period may consist of one or more budget periods. (Also see Budget Period.)

Principal Investigator (PI)/Project Director (PD): The PI/PD is that person primarily responsible for the technical and fiscal management of a sponsored project.

Prior Approval: Written approval from the sponsor's designated Grants Officer. Sponsor approval may be required for specified post award changes in the approved project or budget. Such approval must be obtained before undertaking the proposed activity or spending funds.

Program Announcement: Describes the existence of a funding opportunity. A formal statement about a new or ongoing activity or program. It may serve as a reminder of continuing interest in a research area, describe modification in an activity or program, and/or invite applications for grant support.

Program Officer: Program office staff person responsible for (1) developing program regulations, application notices, and application packages; (2) overseeing the review and ranking of applications submitted under their programs; (3) providing detailed funding recommendations to the Grants Division for applications; (4) participating in negotiations, as necessary; (5) providing technical assistance to applicants and recipients; (6) monitoring funded projects; and (7) making recommendations to the Grants Division about recipients' requests for revisions to project activities and budgets.

Progress Report: Periodic, scheduled reports required by the sponsor summarizing research or project progress to date.

Proposal: A set of documents containing a descriptive narrative of an idea and a budget to be submitted to a funding agency for sponsored support. Some agencies require that proposals be submitted on preprinted forms, while others have no specific format.

Project Approval Sheet: The Project Approval Sheet is an internal WPU document that is used to record, track, and report on the proposed project. In addition, the Project Approval Sheet is also used to obtain both the PI/Project Director and Co-PI/Project Director's certifications and signatures, and the endorsement of the appropriate College Dean(s) and Department Chair(s). The Project Approval Sheet must be signed by the PI, the department head, and the dean to ensure approval for the proposal.

Release Time or Reassigned Time: Faculty release/reassigned time is defined as when a faculty person is provided time off from teaching and other responsibilities to focus on the activities funded by a grant.

Rebudget: Refers to the process of transferring sponsor approved budgeted funds from one line item to another, e.g., for a different purpose than originally intended. Rebudget requests are reviewed by the Office of Grant Accounting and, in some cases, sponsor prior approval may be necessary.

Recipient: Organizational entity or individual receiving a grant or cooperative agreement. Typically the organizational entity is the legal recipient of a grant, contract or cooperative agreement.

Regulatory Noncompliance: Failure to adhere to regulations, policies, procedures or special conditions related to the conduct of research. Examples of such noncompliance include, but are not limited to, failure to obtain/maintain approval for research; coercion of human subjects; performing unapproved procedures; and conducting research at unapproved sites.

Request for Applications (RFA): An RFA is a formal statement that solicits grant or cooperative agreement applications in a well-defined scientific area to accomplish specific program objectives. An RFA indicates the estimated amount of funds set aside for the competition, the estimated number of awards to be made, whether cost sharing is required, and the application submission date(s).

Request for Proposal (RFP): Announcements that specify a topic of research, methods to be used, product to be delivered, and appropriate applicants sought. Proposals submitted in response to RFPs generally result in a contract award.

Request for Quotation (RFQ): A formal request from a sponsor for solicitation of a proposal to provide the sponsor a good, or service of direct benefit to the sponsor (e.g., a corporate or industry sponsor typically will issue an "RFQ").

Salary + Wages: Salaries and wages charged to sponsored agreements are paid for services of University employees rendered to the project during the period of performance of the particular agreement. All such payments must be made through University payroll procedures. Vacation, holiday, sick leave pay and other paid absences are included in salaries and wages and are charged to sponsored projects as part of the normal charge for salaries and wages. WPU's negotiated indirect cost rate uses a base of salaries and wages.

Scope of Work: The description of the work to be performed and completed on a research project.

Senior Personnel: Professional personnel who are responsible for the scientific or technical direction of a project.

Sponsor: An external funding agency which enters into an agreement with the University to support research, instruction, public service, or other sponsored activities. Sponsors include private businesses, corporations, foundations and other not-for-profit organizations, other universities, and federal, state, and local governments.

Statement of Work/Scope of Work: A summary description of the work to be performed and completed on a project or sponsored activity.

Stipend: A payment made to an individual under a fellowship or training grant in accordance with pre-established levels to provide for the individual's living expenses during the period of training.

Subaward/Subcontract: A document written under the authority of, and consistent with, the terms and conditions of an award (e.g., a grant, contract, or cooperative agreement), that transfers a portion of the research or substantive effort of the prime award to another institution or organization.

Subcontract, Subgrant, or Subagreement: A document written under the authority of, and consistent with the terms and conditions of an award (a grant, contract or cooperative agreement), that transfers a portion of the research or substantive effort of the prime award to another institution or organization. Subs - Short for subcontractors.

Summer Salary: Summer salary is defined as compensation paid during July and August to a faculty member in excess of his or her academic year salary. The summer period is defined to be the period outside Institutional Base Salary and the academic year appointment.

Teaming Agreement: An agreement between two or more parties to participate in a research project or teaching activity.

Terms of Award: All legal requirements imposed on an agreement by the sponsor, whether by statute, regulation(s), or terms in the award document. The terms of an agreement may include both standard and special provisions that are considered necessary to protect the sponsor's interests.

Unallowable Costs: Unallowable costs are specific categories of costs that cannot be charged, directly or indirectly, to federally sponsored agreements in accordance with Federal regulations.

Uniform Guidance: Established in 2013 (effective 12/26/2014), the Office of Management and Budget Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards establishes uniform administrative requirements, cost principles, and audit requirements for Federal awards to non-Federal entities.

Unsolicited Proposal: A proposal submitted to a sponsor that is not in response to an RFP, RFA, or program announcement.

D. Corporate & Foundation Relations VS. Sponsored Research & Programs

Submission Determination
Office of Sponsored Programs (OSP) OR Corporate and Foundation Relations (CFR)

Which office will handle the submission of a grant proposal – Office of Sponsored Programs (OSP) or Corporate and Foundation Relations (CFR)?
IF the following is true, the proposal application will be submitted through the Office of Sponsored Programs:

- Funder is a Government agency (local, State, or Federal);
- Private entity but source of funds is a government agency (e.g., the New Jersey Council for the Humanities is a private entity; however, their grant programs are funded through the National Endowment for the Humanities);
- Proposal is being submitted to a private entity (i.e. foundation or corporation) for non-governmental funds, BUT the project is primarily for support of an individual faculty member's research which has a defined workplace, budget, and outcomes (OSP will confer with CFR); or
- Post-award management and reporting requirements are similar to the oversight required by governmental entities.

IF the following is true, the proposal application will be submitted through Corporate and Foundation Relations (CFR) or the WPU Foundation in collaboration with CFR:

- Applicants MUST be a 501c3;
- Funds are requested from a foundation, individual, or corporation for projects that do not meet the criteria in the bullet points above for OSP.

All competitive applications are decided on a case-by-case basis; please contact OSP before proceeding with an application if you are uncertain as to which office should be managing the submission process for your proposal. We will contact Corporate and Foundation Relations on your behalf and work with them to determine which office is better positioned to handle the submission.

E. Sponsored Awards Cycle

1. Define Opportunity

- Before seeking a grant PI/PD with the help of OSP should seek information and available options. OSP generates a funding opportunity email and provides information that supplements what PI/PD may receive or obtain on their own from other sources.

2. Proposal Development and Submission

- Communicate information on funding opportunities to faculty, department chairs, and deans in support of their research interests and institutional goals

- Provide researchers with proposal-writing support

- Identify and interpret sponsors' guidelines and regulations

- Develop researchers' skills in electronic proposal submission

- Provide proposal budgeting guidance based on the project director's needs, agency guidelines, and university policy

- Assist in the logistics of large-scale interdisciplinary proposals

- Provide guidance on the preparation of sponsors' forms and assurances

- Process and submit accurate proposals in a timely manner

- Suggest alternative funding sources and assistance with resubmitting proposals

3. Award negotiation and Acceptance

- Negotiate, review and approve awards. Manage any pre-award modifications.

- Negotiate acceptable terms and conditions with sponsors who want to contract with the university

- Verify that appropriate regulatory approvals and assurances are in place

- Obtain authorized organizational representatives' signatures on proposals and contracts

- Issue Subawards

4. Award Set up

- OSP starts the process with a kick off meeting

- Business services sets up the award in Banner

5. Award Administration and Management

- Interact with sponsoring agencies and other WPU offices on the behalf of project directors

- Monitor submission of technical reports

- Assist project directors with the administration of their grants, including financial management, procurement activities, and human resources processes

- Assist project directors with budget revisions

- Obtain no-cost extension for grants

- Notify appropriate officials of non-compliance

6. Close Out

- Monitor submission of final reports (technical/programmatic and financial)

- Close out files, records must be kept for seven years after termination of the grant

7. Policy & Procedures Links
   - **https://www.wpunj.edu/business-services/grants.html**

   - **https://www.grants.gov/web/grants/learn-grants/grant-policies/omb-uniform-guidance-2014.html**

   - **http://www.state.nj.us/treasury/revenue/rms/retentiondisposition.shtml**

   - **http://www2.ed.gov/policy/fund/reg/edgarReg/edgar.html**

   - **http://www.nsf.gov/awards/managing/**

8. OSP Workshops

The OSP provides support services and training to WPU faculty and staff in identifying, securing, managing and providing tools to comply with external funding. The OSP is a resource center that supports each phase of obtaining awards and starting the project. We have a series of workshops to address special training or information needs for departments, groups or individuals. Please contact us to discuss your particular needs.

OSP Workshops

9. Signature "Policy"

The President, the Provost and Senior Vice President for Academic Affairs, the Vice President for Institutional Advancement, and the Vice President for Administration and Finance are WPU's Authorized Representatives for signing sponsored project proposals, contracts, subcontracts, and reports. After these documents have been approved for submission, representatives of the Office of Sponsored Programs, Office of Business Services, and Institutional Advancement serve as signatories and agents of the University to expedite, implement or support the submission and management of the proposals, contracts and subcontracts, and reports as appropriate for each sponsor that have been approved.
The Signature Policy can be found here: Signature Authority for Sponsored Projects

10. Faculty Resource Guide

The Faculty Resource Guide is intended to assist faculty members navigate academia in the context of WPU. This guide contains information on the kinds of support available to faculty in their primary roles of teaching, research and scholarship, and service.
The Faculty Resource Guide can be found here: Faculty Resource Guide

II. Proposal Development

A. Proposal Development

Proposal development includes but is more than submitting an application to a funding agency; proposal development is the proactive process that OSP uses in our work with faculty and staff to encourage, guide, and facilitate the application preparation and submission process.

OSP assists applicants with the strategic steps noted below:

- Discuss ideas and interests

- Find an appropriate funding opportunity

- Review the guidelines and related proposal guides; provides additional guidance with requirements and review criteria.

We also encourage the applicants to work independently as well as collaboratively with the OSP on the following:

- Talk to colleagues, the Program Officer, and others as the project develops and work on the proposal begins.

- Develop the project before writing about it. Know the expected outcomes and costs, and have preliminary data and background information ready to use.

- Allow enough time to write, review, edit and fuss over the entire application package as well as to complete WPU's proposal approval process. Also, if other institutions or agencies will be involved, plan for the time it will take to develop the collaboration.

1. Eligibility

Principal Investigators/Project Directors (PI/PDs) and Co-Principal Investigators/Project Directors (Co-PI/PDs) have primary institutional responsibility for providing scientific/technical leadership and administrative and financial management of sponsored projects. WPU encourages the following personnel and considers them eligible to serve as a principal investigator and submit proposals for external funding:

- Faculty - All full-time faculty, regardless of status (Assistant Professor, Associate Professor, or Professor) are eligible to submit applications for funding.

- Adjunct and Emeritus Faculty – May not be a PI/PD but may serve as a Co-PI/PD or in another role on a project.

- Staff - Professional staff of all levels are also eligible to apply for funding, with the permission of their supervisor.

Adjunct Faculty are NOT eligible to be a lead applicant but may serve as a Co-PI/Project Director or in another supporting role on a project.

2. Search for Funding

OSP's **Funding Opportunities** web page contains links to many federal and state funding opportunities. Many agency-specific sites also allow for keyword-based e-mail notifications (e.g., NSF, NIH). In addition, the Grants.gov Subscriptions web page allows for customized e-mail notifications of federal opportunities or RSS feeds based on agency selection and other advanced criteria. You must have a user registration to sign up for the email notifications. WP also has access to GrantSearch via the Grants Resource Center (a division of American Association of State Colleges and Universities [AASCU]. Information for this service is also available on the Funding Opportunities webpage.

The OSP sends the OSP Reporter (previously referred to as "Funding Opportunities Announcement") bi-weekly to provide timely information on funding agencies and grant opportunities. Current relevant external opportunities, articles highlighting funding agencies and trends in funding, news concerning workshops and conferences, updated sponsor policies and regulations, tips for searching for funding and writing and preparing grant proposals, and updates about research and scholarship here at William Paterson are included.

3. Meeting with OSP Pre-Award Staff and Customized Search Requests

OSP encourages faculty, staff and administrators to contact us directly to discuss research or program ideas. OSP can help identify prospective funders, interpret proposal announcements, review proposal guidelines, provide institutional information, and answer budget-related questions.

4. Determination of Eligibility

Before embarking on a proposal, it is very important that any potential funding opportunity of interest be closely reviewed to determine feasibility and eligibility. After reviewing a funding opportunity announcement, if you have any questions on whether or not you (or the University) are eligible to apply for a particular opportunity, please contact OSP. Some points to closely consider are noted below.

- Status: Is the opportunity still active? Is meeting the deadline reasonable?

- Organizational eligibility: Is the University eligible to submit?

- Individual eligibility: Are you eligible to submit?

- Feasibility: Can you complete the project in the available timeframe and suggested budget guidelines? Are necessary institutional resources available?

- Be sure to determine individual and institutional eligibility before you get started on your proposal!

- Proposal Limited: Are the number of submissions per institution limited?

- Cost-Sharing: Is there mandated or implied cost-sharing? (Approval from the Deans, Department Heads, Provost, etc., may be required prior to dissemination.)

5. Proposal Development Timetable

Project planning and proposal development takes time; applicants should begin planning a project one to two years prior to submitting an actual proposal. OSP recognizes this is not always possible if an applicant is reactive to a recently released funding opportunity. However, as much as possible, particularly for recurring funding opportunities, meeting with OSP early and often is a necessary step towards success.

The image below illustrates the full project and proposal development process over a one-two year process, broken down into various phases. OSP will help applicants navigate the various steps.

Proposal Development: Positioning for Success
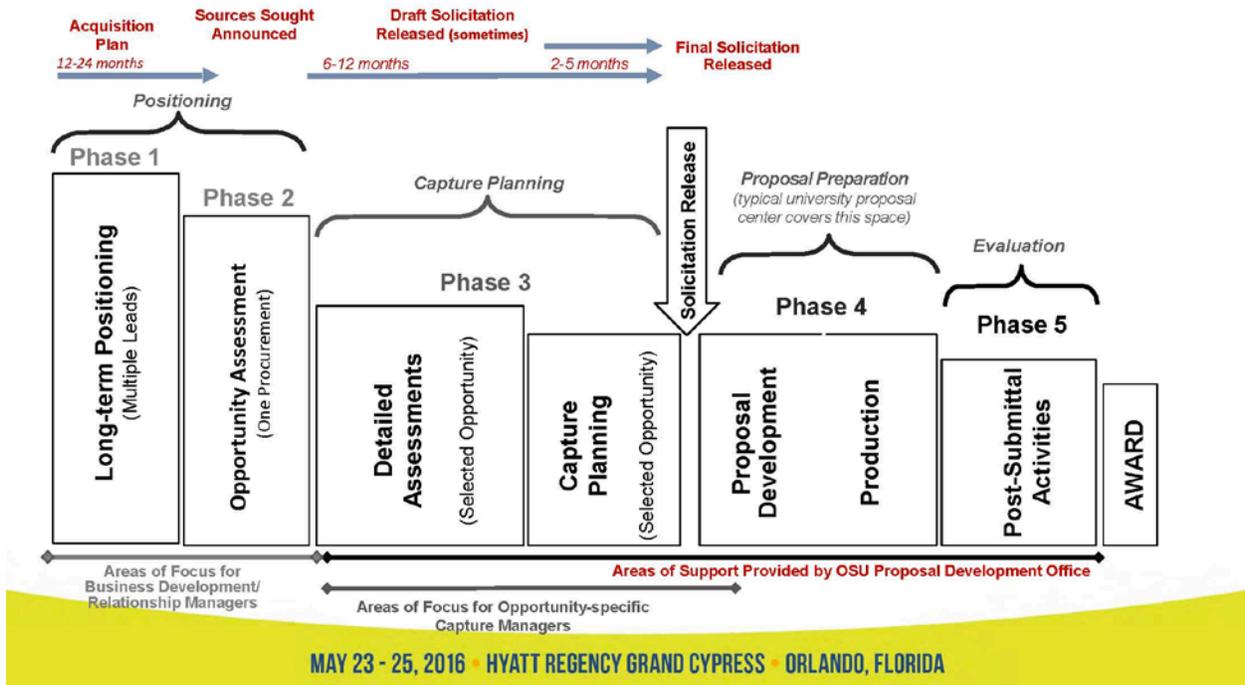
a) Final Review and Preparation for Submission

In addition to the pre-planning indicated in the timeline above, WPU requires that all proposals be reviewed and approved by OSP prior to submission to the sponsor. This applies regardless whether WPU is the lead institution submitting directly to the sponsor, or WPU will be a subcontractor or collaborator on another institution/organization's submissions. It also applies regardless of the method of submission, e.g. paper copy, email, or electronic submission portal.

OSP's review of proposals includes both budget and compliance requirements. Sufficient time is also needed to develop an appropriate cost proposal, complete all sponsor-required forms and certifications, and secure all required approvals. Approval of a proposal is evidenced by signatures on the Project Approval Sheet.

Developing a good proposal takes considerable time and effort. It is important to discuss your proposed project with your colleagues, department chair, the dean of the faculty and the OSP. The OSP is available to review and critique the proposal.

6. Proposal Types

OSP should be notified of all intents to apply, regardless of the type of proposal. Once we are contacted by a potential applicant, we will discuss the next steps for each type of application.

- **Letter of Intent:** Submitted by Principal Investigator/Project Director (PI/PD) or OSP to the funding agency indicating intent to submit a full proposal in the future, typically to enable the funding agency to prepare their resources in advance of the full submission round. A "binding" LOI may lead to a full proposal submission upon invitation.

- **White Paper:** Less formal than a preliminary or full proposal, a White Paper is most often submitted by the PI/PD directly to the funding agency. Typically a two- to five-page document describing a research hypothesis. Discussions with an agency program officer may result in an invitation to submit a full proposal.

- **Pre-Proposal (also Preliminary Proposal, Pre-Application)**: Solicited or unsolicited, a brief presentation by the PI of goals, methods, personnel, and overall budget submitted to a funding agency. Pre-proposals are used by funding agencies to determine the eligibility of the applicant and the suitability of the proposed project for support.

- **Full Proposal:** A complete application package for funding, it includes all attachments and representations and certifications by OSP attesting to adherence to federal/state and institutional policies. OSP typically submits proposals on behalf of University faculty and staff. Proposals may be classified as follows:

- **New**: A proposal not previously submitted to a sponsor.

- **Renewal/Competing Renewal**: A proposal based on previously funded work for consideration by the sponsor for renewed funding.

- **Resubmission**: A proposal that is based on a previously not-funded application, resubmitted for consideration by the sponsor.

- **Non-competing Continuation:** A proposal submitted to a sponsor for expected, continued funding (e.g., Year 2 funding of a five-year grant).

- **Supplement:** A proposal for supplemental support on an active award (e.g., NSF Research Experience for Undergraduates [REU] stipend support).

- **Solicited vs. Unsolicited:** A solicited request is a funding announcement seeking proposals for a very specific purpose. Unsolicited proposals typically fall within general priorities of a funding agency, though not for a specific purpose. They are broadly related to a priority area, but the agency is not soliciting for a specific project they already have in mind.

7. Process for Limited Submission Competitions

Certain agencies and program announcements limit the number of proposal submissions from a given institution. (A good example of this is the NSF's Major Research Instrumentation (MRI) grant, which limits the number of submissions per institution to three, two of which must be for equipment "acquisition.") Submitting proposals in excess of the sponsor limitation may result in the automatic rejection of all proposals from the University. If the funding agency limits the number of submissions, please let OSP know about your submission plans as soon as you are reasonably certain that you will proceed with the submission. OSP will work with the appropriate College/School Dean to determine which proposal(s) will be submitted if the institutional submission limit is exceeded.

Information about Limited Submission Opportunities and the specific process are available on the OSP homepage at: https://www.wpunj.edu/osp/funding-opportunities/limited-submission.

Please note that any list of opportunities provided on the webpage is an attempt to be as inclusive as possible. As noted, if a potential applicant identifies an opportunity that is limited submission, please contact OSP as soon as possible to discuss the process in more detail.

8. Application Guidelines/RFPs

Proposal format is determined by the sponsor's guidelines which can vary significantly from sponsor to sponsor and program to program. For example, some sponsors may place a limit on the number of words contained in the project abstract, or include strict limitations on font size and margins. In an era of increased numbers of applications for limited funding, there is little margin for error. Applicants should download the online version or print a copy of the application guidelines from the sponsor. **The application and sponsor guidelines should be carefully reviewed then re-reviewed as the success of a particular application will depend in large part on following the sponsor's programmatic and formatting guidelines.**

Most federal and state agencies, and many private agencies, in addition to their general funding areas, solicit proposals in predetermined areas of need through publication of Requests for Proposals (RFPs) or similarly named documents (e.g., RFAs). The RFP requirements normally take precedence over the generic requirements for a funding agency; often, both must be followed. It is very important that these guidelines be followed precisely. Most agencies will not even consider a proposal that is incomplete, out of compliance, or late.

In addition to basic proposal content and format instructions, most RFPs include a section outlining the criteria that will be followed by reviewers. To ensure a competitive proposal, carefully review and respond to every item in the review criteria section of a proposal preparation guide. This will help you to target your proposal directly to the concerns of the reviewers.

- **Links to common funders' general guidelines NSF Guidelines; NIH Guidelines**

9. Typical Proposal Components

While each sponsor's guidelines vary—often significantly—some general observations can be made that will help ensure a strong submission:

- **Abstract:** A brief summary of your proposed project that describes the methodology, objectives, and significance of the project. Many consider the project abstract to be one of the most important parts of the proposal—if the abstract is not well-written, interesting, creative, innovative, etc., the reviewer may not feel compelled to read the full proposal.

- **Project Narrative:** The project narrative is often page limited. It should be well written, organized, and easy to read. The project narrative typically includes the following components: introduction/statement of need; statement of project objectives, methodology, evaluation, and data dissemination. Tables, charts, graphics, and timelines are an excellent way to organize and present information and may also be included, sponsor permitting.

- **Bibliography (or References/References Cited)**: Here the applicant may cite his or her own publications, but also demonstrate to the reviewer that he or she is up-to-date with the latest, most advanced research on the topic. (Keep in mind that the reviewers indeed may be among those whom you cite!)

- **Facilities, Equipment and Other Resources:** Typically a description of the resources (physical and human) that either you or the University have at your disposal to carry out the project and can "leverage" to make your proposal more attractive to the sponsor. Some examples include space, library, facilities, human capital, and/or particular institutional strengths or programs that can be brought to bear on a project. OSP can provide boilerplate material in some circumstances.

- **Biographical Sketch:** Must be provided in sponsor format. (Reviewers like consistency—do not stray from the sponsor's format or provide additional information that is not requested!)

- **Current and Pending Support:** Includes all active support of one's research or other programs, and all pending applications, whether federal or non-federal. OSP can provide a template upon request. Sponsors will often use this section to determine if an applicant has existing or pending funds in support of the proposed research, or has sufficient time available to devote to the project.

- **Dissemination/Data Management Plan:** Increasingly, sponsors are requiring assurance that the data and findings that result from a project will be made freely available to the public.

- **Budget:** The "fiscal expression" of your project. Budgets should be reasonable and carefully considered within the scope of the project you are proposing. Applicants should be careful not to "pad" a budget—reviewers in the field generally know what it takes to do the work. Conversely, budgets that are too low for the scope of work you are planning may be viewed as unrealistic.

- **Budget Narrative:** A written narrative of your budget request that explains why each item of cost is necessary in order to carry out your project. This may be particularly important, for example, where equipment is requested, or travel is required in order to carry out your project.

B. Budget Development

Creating a budget for a proposal can be as much of a creative writing experience as preparing the narrative of your proposal. It is important to develop your budget in context with--and at the same time-- your narrative.

The OSP encourages Project Directors to take advantage of the support our office provides when developing a budget for a proposal. Budget preparation varies by sponsor and funding source and individual guidelines. The costs included in the proposal should be necessary, reasonable and allocable to the sponsored program and comply with sponsor terms and conditions, federal, state and WPU policies and procedures. The OSP will work with the PI to develop the detailed budget and ensure all costs are appropriate and provided in the agency's preferred format.

WPU uses the Federal requirements related to budgets and expenditures as its standard. Unless otherwise directed by a non-Federal sponsor, these standards will be applied to all

proposals and projects. References in this section to "federal requirements," therefore, apply to all sponsors.

1. Summary of Federal Cost Principals and Allowability

Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards, or the "Uniform Guidance," are regulated by the Federal Office of Management and Budget (OMB) and it sets forth the principles for determining the allowability of costs applicable to research and development, training, and other sponsored activities performed by colleges and universities under grants, contracts, and other agreements with the Federal Government. These agreements are referred to as sponsored agreements. For a cost to be allowable it must be:

- **Reasonable**: a prudent person would have purchased this item and paid this price (e.g., travel at federal domestic and/or foreign per-diem rates are generally deemed "reasonable" on federal grants).

- **Allocable**: expenses can be allocated to the federally funded activity based on the benefit derived, cause and effect, or other equitable relationship (e.g., a purchase of specific materials and lab supplies must be directly allocable to the particular sponsored grant or project being charged).

- **Allowable**: permitted as a direct cost under the terms of a specific grant or contract.

2. Factors Affecting Allowability of Costs

Except where otherwise authorized by statute, costs must meet the following general criteria in order to be allowable under federal awards:

- Be necessary and reasonable for the performance of the federal award and be allocable there to under these principles.

- Conform to any limitations or exclusions set forth in these principles or in the federal award as to types or amount of cost items.

- Be consistent with policies and procedures that apply uniformly to both federally financed and other activities of the non-federal entity.

- Be accorded consistent treatment. A cost may not be assigned to a federal award as a direct cost if any other cost incurred for the same purpose in like circumstances has been allocated to the federal award as an indirect cost.

- Be determined in accordance with generally accepted accounting principles (GAAP). This resource provides key information about the University often requested at the time of proposal submission or when partnering with another institution on a collaborative project.

- Not be included as a cost or used to meet cost sharing or matching requirements of any other federally financed program in either the current or a prior period.

Federal sponsors such as the NSF and NIH have their own implementing guidelines for the Uniform Guidance, e.g., the **NSF's Proposal & Award Policies & Procedures Guide.**

3. Direct Costs vs. Indirect Costs

The cost of a sponsored agreement is comprised of the allowable direct costs plus the allocable portion of the Facilities & Administrative Costs (F&A) or Indirect Costs of the institution.

a) Direct costs: Costs that are incurred to achieve the goals, objectives and activities of a grant, cooperative agreement or contract. (e.g., summer salary, GA assistants, graduate and undergraduate student workers, fringe benefits, equipment, materials, supplies, travel, external consultants, subawards, tuition).

b) Indirect costs (F&A) Costs: Costs of doing business that are not readily assignable to a particular sponsored project but are necessary for the general operation of WPU. This generally is meant to include the cost of utilities, general administrations services and resources, and office space and campus facilities.

These costs are classified under two broad categories:

i. Facilities (depreciation and use allowances, equipment, operation and maintenance, and library expenses)

ii. Administrative (general, sponsored projects, departmental, and school administration, and student administration and services)

F&A is normally an element of every proposal budget, unless it is disallowed by the sponsor.

(Please refer to OSP costing policy for more details).

4. Effort

Project personnel may not work more than 100% of their time, nor can they be paid more than 100% of their base salary rate. In other words, the total allocation of time to University teaching, service, and research activities may not exceed 100%.

The minimum teaching expectation for faculty is 2 courses per semester. Therefore the maximum amount of reassigned time per person is 50% per semester, this is inclusive of all research programs, ART and incentives. If the amount of proposed effort will exceed 50% effort within a semester then accommodations or shifting of responsibilities must be approved by the Dean.

William Paterson University has an effort reporting process in place managed by Business Services. Training is offered to new investigators at the time of the award.

5. Budget

OSP will meet with applicants to discuss necessary costs associated with the successful completion of the project. All activities discussed in a proposal narrative must be included in the budget (and vice versa – all costs included in the budget must be noted in the proposal narrative in some way).

Budgets must be as accurate and detailed as possible, based on estimated costs. OSP will work with applicants to develop a grant proposal budget using the appropriate OSP Excel budget spreadsheet templates. These templates include institutional rates and formulas to help develop your budget in accordance to federal and University guidelines.

- Budget Period: Usually 12 months; one or more budget periods make up the "Project Period" or "Period of Performance."

- Salaries and Wages: Payment for academic year or summer time allocated to a sponsored project. All Salary requests must be made in accordance with the RFP budget guidelines and must be consistent with University Policy on teaching overload and reassigned time.

  i. Academic Reassigned Time: Release/reassigned time is time away from teaching, service, and/or administrative responsibilities by the University to conduct research or other activities during the academic year. Faculty members must receive the approval of their Chair and Dean when applying for reassigned time. Release time for faculty is usually expressed in terms of percentage of effort and is based on the ten-month academic year.

  ii. Course Release: One course release is equal to 12.5% of annual base salary. In general, requests on funding grants do not exceed 25% per year (one course per semester) without special permission of the Department Chair and Dean.

    iii.   <u>Monthly compensation:</u> This is computed at 8.33% of base salary for 12-month employees and at 10% of base salary for 10-month employees.

    iv.   <u>Summer Salary:</u> Faculty on a standard 10-month appointment can receive up to 2 months of compensation for sponsored programs each year, or 20% of their base salaries. The salary is calculated as Base Salary/10 x 1 or 2 months (half months are acceptable). A 3% average increase should be added prior to calculating the per-month cost.

    v.   <u>Other Project Personnel:</u> Such as student research assistants, graduate assistants, undergraduate/graduate student workers, and/or other technical personnel may be included in the budget when those costs are directly related to the project.

    vi.   <u>Project Administration:</u> Under the Uniform Guidance in some instances, project administration may be an allowable cost provided such costs are integral to the project and the individuals involved can be specifically identified to the project or activity. Such cases must be explicitly stated in the budget and have the prior written approval of the awarding agency.

a)   Fringe Benefits: Fringe benefits are direct costs associated with salaries and wages and include: FICA (Social Security); retirement; insurance for medical, dental, life, unemployment insurance, long-term disability, and employee liability coverage; and worker's compensation. WPU adheres to the following fringe rates:

    i.   7.65% Part-time staff including undergraduate and graduate student hourly workers and adjunct professors

    ii.   7.65% Faculty overload and summer pay (July and August only)

    iii.   Full time personnel including faculty reassigned time, post-doc, and other support staff such as Project Coordinators/Managers will use the NJ approved rate at the time of the proposal. The current full-time rate can be found on the State of NJ website at: State of New Jersey Fringe Benefit Rate

b)   Travel: All travel attributable to the project should be itemized. Travel expenses should be subdivided for domestic and foreign travel. List countries to be visited and dates of travel (if known), and justification for travel. Domestic per-diem travel rates can be estimated using **U.S. General Services Administration (GSA) Rates**; foreign per-diem travel rates can be estimated using **State Department Rates.**

Please note that most government agencies require the use of a domestic carrier for travel both in the U.S. and abroad, except under very specific circumstances. For more detailed information see the **Fly America Act**.

c) Equipment: Often otherwise defined by a funding agency, for WPU purposes, equipment may generally be defined as an item with a unit cost in excess of $5,000 and has a useful life of two or more years. Any request for equipment should be clearly justified in the proposal's budget justification. **WPU Purchasing Policy**

d) Supplies: Identify all consumable supplies needed for the project. Supplies are defined as expendable items that do not meet the definition of permanent equipment. These include laboratory supplies, chemicals, books, and computer supplies. Some sponsors will request itemization (Rate x Qty.) for these types of costs. On federal grants, computing devices are treated as supplies provided their cost is less than $5,000. Computing devices are those devices "that acquire, store, analyze, process, and publish data and other information electronically, including accessories (or 'peripherals') for printing, transmitting and receiving, or storing electronic information."

e) Publication: If a publication is one of the expected results of the project, a brief synopsis of the expected publication content and its costs should be detailed.

f) Facilities and Administrative (F&A) Costs: Also known as Indirect Costs, are those expenses related to research that cannot be easily identified with a particular sponsored project, instructional activity, or any other institutional activity. These costs are classified under two broad categories:

   i. Facilities (depreciation and use allowances, equipment, operation and maintenance, and library expenses)

   ii. Administrative (general, sponsored projects, departmental, and school administration, and student administration and services) F&A is normally an element of every proposal budget, unless it is disallowed by the sponsor.

6. Cost Sharing

a) Definition: **UNIFORM ADMINISTRATIVE REQUIREMENTS, COST PRINCIPLES, AND AUDIT REQUIREMENTS FOR FEDERAL AWARDS** defines cost-sharing or matching as that portion of project costs not paid by Federal funds (unless otherwise authorized by Federal statute).

Cost sharing is any project cost that is not reimbursed by the sponsor to support the scope of work defined by the federal or non-federal sponsored award. Cost-Sharing occurs when a portion of the total cost of a sponsored project is borne by WPU rather than the sponsor. It becomes a University commitment and represents a legal, binding obligation of the University once the award has been granted.

Types of Cost sharing:

- **Mandatory cost sharing:** costs required as a condition to receive an award, and specified by the agency in the proposal guidelines or program announcement.

- **Voluntary committed cost sharing:** costs that are not a condition of the award, but those that WPU voluntarily commits by describing and quantifying specific costs in a proposal budget and/or budget justification.

- **Voluntary uncommitted cost sharing:** costs WPU incurs as part of completing the project but were not disclosed nor committed to in the proposal budget and/or budget justification.

- **In-Kind Contribution:** *non-cash* contributions provided by the University or partners in the project. Such contributions may be in the form of real property, equipment, supplies/other expendable property, and the value of goods and services directly benefiting and specifically identifiable to the project or program.

    The Uniform Guidance makes no distinction between cost-sharing and matching. However, matching usually refers to the specific ratio between the amount of the award and the amount committed by the recipient, such as a dollar-for-dollar match (1:1). Cost-sharing is a more general term and used in this document to refer to both cost-sharing and matching.

    Committed cost-sharing (quantifiable cost-sharing included in any part of a submitted proposal) creates a legal, binding obligation by the University and must be treated similarly to any direct or indirect expenses. Cost-sharing of direct expenditures represents a commitment of departmental, program, or University resources to support a sponsored project or program and it represents a legal, binding obligation of the University once the award has been granted. Under the **Uniform Guidance, Subpart D (§200.306)** (effective 12/26/2014), voluntary committed cost-sharing is not expected. In addition, it cannot be used as a factor during the merit review of applications or proposals, but may be considered if it is both in accordance with federal awarding agency regulations and specified in a notice of funding opportunity. Criteria for considering voluntary committed cost-sharing and any other program policy factors that may be used to determine who may receive a federal award must be explicitly described in the notice of funding opportunity.

b) **Cost-Sharing Approval:** William Paterson University limits cost-sharing to that which is mandated by the sponsor. In some instances of voluntary cost-sharing, the University may determine that cost-sharing may be an implied mandate by a private non-federal sponsor necessary to the project's funding outcome. Where cost-sharing is not required by the sponsor or necessary to ensure the competitiveness of a proposal, PIs and departments should refrain from making such commitments voluntarily.

All proposed mandatory and voluntary commitments of cost-sharing arrangements must be discussed and approved by the Chair and Dean before the proposal is submitted to the OSP. Prior to considering University cost-share on a sponsored proposal/project:

  i. The PI should confer with the Chair and/or Dean regarding a cost-share strategy to meet the sponsor's requirements;

  ii. The PI, Chair, and/or Dean may wish to contact OSP to discuss the specifics of the proposal and to determine the sources of funds to meet this requirement; and

  iii. All cost-sharing commitments must be indicated and approved by Chair, Dean, Provost, and Business Services prior to submission.

c) **Source of Funds:** The PI is responsible for identifying all sources of funds for cost-sharing of direct costs. The PI may not utilize funds from an existing federal award as the source of cost-sharing, except as authorized by statute. Cost-sharing is typically funded by donation of academic year time/effort, associated fringe benefits, or other department designated funds. Cost-sharing may also include indirect costs associated with the identified direct costs if the sponsor allows indirect costs to be included as cost-sharing.

d) **Allowable Cost-Sharing Expenditures:** Cost-sharing expenditures must satisfy all of the following criteria:

  • Verifiable from the official University records;

  • Not previously used as cost-sharing for another project (the same cost-sharing expenditures cannot be used for multiple projects);

  • Necessary and reasonable for proper and efficient accomplishment of the project;

  • Allowable under the terms of the award (e.g., in compliance with the **Uniform Guidance, Subpart E (§200.403) Factors affecting allowability of costs;**

  • Incurred during the effective dates of the grant or during the pre-award phase when authorized by the sponsor; and

  • Not paid by the Federal Government under another award.

e) **Unallowable Cost-Sharing Expenditures:** The following expenditures cannot be offered as cost-sharing commitments in sponsored project proposals:

  • Costs considered unallowable by the sponsor;

- Costs considered unallowable under the **Uniform Guidance, Subpart E (§200.420) Considerations for Selected Items of Cost**;

- Salary amounts exceeding a regulatory salary cap (e.g., National Institutes of Health);

- University facilities such as laboratory space. PIs should not commit the use of facilities as cost-sharing, but rather characterize the facilities as "available" for the performance of the sponsored agreement at no direct cost to the project.

C. Multi-Institution Collaborations

Multi-institutional, multi-disciplinary collaborations are increasingly prevalent as research becomes more complex and solutions require multi-disciplinary approaches. As a result, sponsors are finding these types of efforts desirable and, in fact, are issuing an increasing number of RFPs that specifically call for multi-disciplinary efforts.

When collaborating with other individuals or institutions, the nature of the collaboration should be predetermined and identified in the proposal. Collaborators meeting generally accepted criteria can be appropriately identified as either a subaward or contractor/vendor.

Please refer to the Subrecipient Management Procedures:
Subrecipient Management Procedures

III. Proposal Review and Submission

A. Review and Submission

1. Submission of Proposals

The effective and consistent development of proposals and applications to funding agencies is the most important task of the OSP. Maintaining a complete and appropriate record of the development of a proposal, its approval and then its submission is very important. This record will be needed when the project is funded in order to establish the account and initiate the project; it may be needed if there are questions or concerns about the approved scope, content or activities of the project; and it would be needed if there are compliance issues at any time during the review of the application or implementation of the project.

No proposal may be submitted without approval by at least the Provost. Only the President and the Provost are the "Authorized Representatives" who may sign a proposal on behalf of the University. In the case where a proposal is submitted electronically, after the proposal has been signed or approved for submission, the Director of the Office of Sponsored Programs acts in this capacity as a representative of the Provost to assure compliance with submission requirements, to be WPU's primary contact concerning the submission, and to manage all proposals that are submitted electronically.

2. Proposal Review

All proposals to government agencies require approval for submission because the required certifications and assurances can only be accepted by the official representatives of the Board of Trustees: the President and Provost. Furthermore, only the President and Provost can commit WPU's financial, personnel and facility resources to a project. Federal grant contracts are sent to WPU based on our already legally-binding agreement to these terms as well as our commitment to undertake the project as submitted.

The Project Approval Sheet is a critical step leading to the submission of a proposal. It is important for the applicants to take a more proactive role in completing the sheet and having a conversation with their Department Chair and Deans about their project.

A proposal that is ready for final review has:

1) A project Approval Sheet that has been signed by the applicant, his/her department/unit leadership,

2) A nearly final narrative,

3) A final budget, which may include a detailed spreadsheet, a summary form, and a narrative description of expenses, and

4) The forms that require a signature are completed.

Keep this in mind when planning your next proposal. Please contact the OSP prior to beginning to work on a proposal so we can provide the appropriate assistance as well as to help get the proposal into the review process on time.

3. Proposal Approval Forms

The Project Approval Sheet is used to obtain signatures as noted above in the "Glossary". OSP will work with applicants to facilitate the process although PI/PDs are expected to obtain the signatures of the Department Chair and Dean before forwarding the signed form. The form can be found on the OSP website at Project Approval Sheet or by contacting OSP directly.

4. Submission of a Proposal

The majority of proposals from OSP are submitted electronically but occasionally are still sent via hard copy postal mail. OSP will work with an applicant to determine the required process, including an internal deadline, for submitting applications.

Electronic Systems
The electronic systems that OSP uses to submit applications to funding agencies are: Grants.gov; FastLane/Research.gov (used for National Science Foundation proposals only); NIH ASSIST; NJ SAGE; and NJ EWEG.

Because electronic systems can slow down or other issues can occur, OSP aims to submit all proposals 24 hours prior to a deadline.

Grants.gov has recently transitioned to a fully online system. However, due to the nature of the system, applicant contact with these forms is minimal (to date). OSP plans to provide training to applicants so that Grants.gov can be used in collaboration with OSP for preparation of proposals. The same for FastLane/Research.gov and the NIH ASSIST systems.

The NJ SAGE system is used for the majority of proposal to NJ funding agencies. The forms used by each agency can vary dramatically but its functionality and terminology remains consistent. The NJ Division of Mental Health and Addiction Services uses a different system: CIMS.

For EWEG, applicant contact and use of the system is more than the OSP's.

For each of these and the other systems for proposal submission, the OSP has to determine or negotiate the right level of proposal developer interaction and involvement. Once a funding

opportunity is identified, OSP meets with applicants to determine the timeline and specific process for submission of application.

5. Acquisition of Signatures and Approval

As noted above, a close to final proposal package must be reviewed and approved by the Office of Sponsored Programs. Once OSP approves an application, we will request review and approval from the Provost's Office. After approval from the Provost's Office is received, we will proceed with submitting the application on behalf of the PI/PD and the institution. Only with special approval by OSP can an individual PI/PD submit an application. There are select circumstances where a PI/PD is required to be the submitter but the review and approval process must take place before the application is submitted.

B. Research Compliance at the Proposal Stage

1. Conflict of Interest

William Paterson University (WP) embraces the ethical position that integrity, objectivity, honesty and the avoidance of self-dealing are essential elements in ethical conduct and critical for excellence as well as preservation of the public trust. This policy is specific to conflict of interest regulations for sponsored projects and research and is supplemental to the ethical obligations imposed by the State of New Jersey.

The **Sponsored Projects and Research Conflict of Interest and Commitment Disclosure Policy (Policy)** requires that **key project leaders** have the required Disclosure Form on file with the OSP before a proposal is submitted or a sponsored project is initiated, and must be renewed annually for the duration of the project. Disclosure Forms will be reviewed for potential conflicts and, if any are identified and cannot be eliminated, either the proposal will not be submitted or the conflict in the sponsored project will be reported for action to the University Ethics Liaison Officer.

- **Sponsored Projects and Research Conflict of Interest and Commitment Disclosure Policy**

- **Conflict Interest Disclosure Form**

- **Conflict Of Interest CITI Course**

2. Institutional Review Board

The Institutional Review Board (IRB) is a group of individuals charged with reviewing proposed research involving human subjects to ensure the protection of those subjects is in compliance with federal human subject's regulations. William Paterson University (WPU) embraces the ethical position that integrity, objectivity, honesty and the avoidance of self-dealing are essential elements in the ethical conduct of sponsored projects and research. This is critical for defining excellence and is foundational for obtaining and maintaining public trust. WPU and its employees are committed to conducting themselves and their activities in accordance with the highest standards of integrity and ethics. For research involving the use of human subjects, this ethical foundation is based on The Belmont Report.

The following links will take you to WPU Policy and additional related resources.

- **Institutional Review Board Policy and resources**

3. Animal Use and Care

The housing or use of live vertebrate animals in a laboratory, field or other situation by faculty of the University for teaching and/or research is regulated by the US Department of Agriculture and in certain cases by the National Institutes of Health as well. WPU complies with these regulations through its Institutional Animal Care and Use Committee (IACUC), the Committee on Laboratory Animal Welfare (CLAW). CLAW meets twice a year to conduct an on-site inspection of the facilities where vertebrates are housed and to evaluate all active and proposed protocols for animal use. Approved protocols have a life of three years, and can be continued.

For information on the WPU CLAW policy and to obtain a protocol form, please contact Dr. Jueng Woon Lee, Chair.

C. Proposal Outcomes

1. If Your Proposal is Declined

The harsh reality is that the great majority of proposals are declined for funding. The overall funding success rate for both NIH and NSF is less than 20%. In most cases, it is wise to plan to revise and resubmit your declined proposal, especially if your program officer encourages you to resubmit. Chances of funding are enhanced on the second submission. In many instances, you will have the benefit of detailed reviewer comments which identify the areas of weakness those reviewers saw in your proposal. Most funding agencies have guidelines about resubmission. NIH allows one resubmission. NSF allows resubmissions but the proposal must be

substantially revised or it will be returned without review. It is important to have a frank discussion with your program officer about the reviewer comments and next steps.

2. If Your Proposal is Accepted

Congratulations! Take some time to enjoy your success. Then carefully read the information in Section 3: Managing an Award.

The keys to successful grant administration are:

- Know the funder's requirements and the University's policies and procedures;

- Plan ahead; and,

- Use the resources of OSP to help you manage your grant.

IV. Award Negotiation and Project Set-Up

A. Grants, Cooperative Agreements, and Contracts

Grants, cooperative agreements, and contracts are all externally sponsored "mechanisms" of funding, yet each are unique in how they are negotiated prior to award and administered and carried out upon award. It is important that the PI/PD notify OSP when they have received initial contact from a sponsor that an award has been recommended for funding so that negotiations can begin in a timely manner. OSP will assist the PI/PD in ensuring that any changes to the project or budget are in keeping with University policies, and in compliance with federal and state rules and regulations. During the negotiation phase, OSP often consults with many parties, to include the PI/PD, University Counsel, and other administrative and academic units and personnel, to ensure that the PI/PD and University's interests are considered and protected.
See flow char at the end of the section for an overall view of the process.

1. Grants

Upon indication from a sponsor that a proposal is being considered for funding, there is often a period of time where the sponsoring agency and awardee will negotiate the terms and conditions of the grant agreement. Where grants are concerned, this negotiation typically amounts to addressing a series of technical or programmatic questions from the review panel and/or program officer, and negotiating adjustments in the proposed budget and corresponding scope of work. Prior to award, some sponsors will ask for additional documentation to justify costs in the proposed budget, or may require other documentation (e.g., proof of insurance, institutional certifications/representations) in order to proceed. Grants, in particular, provide the greatest degree of freedom and flexibility in how a project's activities are carried out as the sponsor issuing a grant typically does not have any direct involvement in the research or work to be performed. For this reason, grants are considered a form of "financial assistance" where the sponsor provides funding based on a previously approved proposal for research or other activity (e.g., instructional, educational). Grants typically benefit a public "good" or purpose. Interestingly, most federal grants do not require that the award notice be formally signed by the University's Authorized Official. "Acceptance" is implicit upon acceptance of the award notice without objection, as well as grant set-up and subsequent incurring of expenses.

2. Cooperative Agreements

Cooperative Agreements are similar to grants in that they both typically represent a form of financial assistance from the sponsor in furtherance of a public good, or purpose. However, under these types of agreements, the sponsor anticipates having substantial involvement in the

research or other programmatic activity upon award. Review and acceptance of cooperative agreements is similar to grants.

3. Contracts

Contracts, by contrast, are very different than grants or cooperative agreements. Under a contract agreement, the sponsor typically agrees to pay the contractor a fixed price for the delivery of goods or services of direct benefit to the sponsor. Clearly defined "deliverables" are spelled out in the proposal, and a timetable for delivery is usually required. Payment may be based on reaching specific "milestones." For example, government procurement contracts can be quite complex.

The terms of U.S. Government contracts are guided by [Federal Acquisition Regulation (FAR)](#) which currently occupies nearly two thousand pages. Federal acquisition contracts from U.S. Department of Defense agencies, in particular, may include terms and conditions that restrict publication and impose export control requirements (among other considerations) that might limit who can work on the project. OSP works with University Counsel to successfully negotiate and navigate through the complex terms and conditions of a federal, state, or local contract agreement. Where private and, in particular, industrial or corporate sponsors are concerned, negotiation points typically center on areas to include intellectual property, confidentiality, publication, and payment. Industry/University agreements can be quite complex and take time to negotiate. The University/Industry Demonstration Partnership was formed in the mid-2000's to identify issues impacting university industry (U-I) relations, and to develop new approaches to working together. There is a wealth of very helpful materials for PI's and administrators on their website to guide universities in negotiating U-I contracts to successful conclusion.

B. Notice of Award

Sponsors will issue a "notice of award," "notice of grant agreement," or contract via electronic notification or regular mail. This notice will typically specify the amount of funding being provided in the current year, as well as expected funding in future years. It will also incorporate, or "incorporate by reference," the terms and conditions of the award. It is very important the PI/PD review these terms to become familiar with the sponsor's expectations and requirements in carrying out the project. For example, federal sponsors will often expect annual and final technical reports. The notice of award will also spell out any budgetary or programmatic restriction and specify the circumstances under which any changes in the project require the sponsor's prior approval (e.g., change in key personnel).

1. Public Announcements

The OSP encourages that PI/PD copy us in communications with Marketing and Public Relations. Certain funders or programs have restrictions or specific requirements with regard to

public announcements and the timing of announcements and we can assist with Sponsors expectations.

2. Award Review and Negotiation

Award review and negotiation can take several forms, ranging from significant programmatic and budgetary changes to not having to do anything. Typically, if changes will be required by the sponsor, we will be contacted and informed that we are being considered for an award but that certain changes are needed before the award can be made. While this generally means that successfully making those changes means that the award will be issued, this is not guaranteed. If the sponsor issues the award without requesting changes, and then we determined that changes were needed, then we would initiate those changes either before we begin the project or at point that is more appropriate.

Not all awards require WPU to sign and return an award document. When this is a requirement, and the award is processed through the OSP, signatures are obtained by the OSP from the appropriate WPU officials and returned to the sponsor. When the counter-signed form is received back, we then proceed to project start-up. If no signature is required because the acceptance of the awards was included in the submission of the proposal and will be confirmed by the first invoice we submit for reimbursement of expenses, we move directly to project start-up.

The process for making these changes is mostly limited to the project leadership and the OSP working together to prepare and submit the changes. This may also include involving a subrecipient. Unless the changes are significant, re-approval by one of the signatories of the Project Approval Sheet is unusual because this is more about fine-tuning rather than changing the project. This is within the scope of the OSP acting as the agent of the Provost to finalize, submit, manage administrative requirements, and support the general activities of sponsored projects.

There are times, though, when there are unusual terms and conditions or the broadness of the language of a section of a contract requires review by the Office of the General Counsel, Glenn Jones. Changes that he requires/suggests are then negotiated by the OSP along with the other issues related to the award. Often though, the "standard terms" provided in the sponsor's award are not negotiable and we have to determine the level or risk or impact of the wording before finally accepting the award.

3. Award Set Up

Once an award has been accepted and the budget and other start-up concerns have been either settled or identified, the OSP determines if a kick-off meeting is required. If it is not required, then whatever documents are needed to convey the terms of the award are assembled and distributed.

If a kick-off meeting is needed, it is scheduled and a kick-off notebook is prepared. The kick-off notebook collects all of the relevant paperwork regarding the award, from RFP to proposal to contract and also includes an award summary form to sign at the end of the meeting, project management guides or requirements of the sponsor and the University, the financial and effort budgets, and, when necessary, information about any subawards we may have to issue.
The OSP focuses the meeting around three specific items: the summary form, the contract and the budget. Other items are reviewed or referenced as needed.

Rules and Regulations: Sponsor Guidance

Public Law

Award

Institutional Policy

Specific Program Guidance

Agency Specific Terms & Conditions

OMB Circulars

Slide 16

Contract Processing/Completion Flowchart

| Contract received from funding agency. Can it be negotiated? | → | Does it need to be signed to be accepted by WPU? |

| Are modifications required prior to completion of the contract? Are certifications required before completion of the contract? Review and work with PD/PI throughout review to signature. | → | Prepare and submit requested modifications and/or certifications to funder for review and approval. |

Review terms of the contract. Are there any terms that need to be reviewed by other WPU offices?

Forward the contract as needed for review and comment by WPU offices.

Approval or request for modifications provided.

Are modifications needed?

Contact and work with funder and WPU offices until concerns are resolved for both.

If contract is received by President's Office, (a) it may be signed and returned to funder directly without apparent or communicated review, approval or acceptance by other WPU offices and a copy may not be distributed to OSP and project staff without request, or (b) it may be provided to OSP for processing.

Are there any terms that are in conflict with WPU or State policies, regulations, laws or practices?

Who will sign for WPU: The President or the Provost?

President: Prepare and route for review and approval by VP Admin & Finance and Provost's Office. Obtain agreement to accept award from Dean/AVP.

Provost: Prepare and submit to Provost's Office for review and signature.

Submit to President, respond to questions and additional reviews as required until accepted and signed.

Receive back from Provost or President, complete preparation if needed, photocopy and forward to the funder for counter-signature.

Receive back from funder.

See project set-up flow chart. Summary: Complete transfer sheet and prepare award packet to send to Project Direct/Principal Investigator, Dean/AVP, and Business Services. Determine if kick-off meeting is needed. Determine if subcontracts needed.

V. Post Award Non-Financial Management

A. Roles and Responsibilities in Grant Management

Successful grant management requires teamwork. Understanding the roles and responsibilities of the various players will help the PI/PD successfully manage his/her grant.

1. Provost and Senior Vice President for Academic Affairs

The Provost and Senior Vice President for Academic Affairs (Provost) is the Authorized Official for the University. The President of the University has delegated to the provost the authority to sign all grant contracts, awards, agreements, certifications, representations, and other documents incidental to research contracts and grants. The Provost has delegated some of this responsibilities to the OSP.

2. Principal Investigators/Project Directors (PI/PD)

The Principal Investigator/Project Director (PI/PD) is the individual who has final responsibility for the conduct of research or other activity described in a proposal or an award. He/she is responsible for carrying out the project as proposed. PI/PDs are accountable for their grant's fiscal and program management, fulfillment of proposal goals, and preparation of pertinent reports. In their capacity as grant project directors, and regardless of their academic affiliation, all PIs/PDs of grant-funded programs must report to OSP on all grant-related issues. The PI/PD must comply with the terms, conditions, and policies of both the sponsor and the University, including oversight of the budget, personnel review, time and effort reporting, and timely submission of all reports. Grant funds must be expended as approved by the funding agency. All PI/PDs must comply with pertinent sponsor guidelines. All Principal Investigators/Project Directors are expected to uphold the highest integrity in data collection, analysis and dissemination and to avoid every act, or appearance, of plagiarism.

3. Dean/Department Chair

When the Project Investigator/Project Director is a faculty member, the Chair of the Department where the PI is affiliated and the Dean of the College provide guidance and support for the PI/PD. When the PI/PD is staff, the Dean of the college or VP of the division where the grant is located provides this support. Often the Director/Chair or Dean is an experienced grant administrator and can offer suggestions to a new PI/PD that will help ensure the success of the project. In any case, the PI/PD should feel there is an open door to discuss the grant with his/her supervisor and request guidance whenever needed.

4. Project Administrative Support

The ability of the PI/PD to successfully manage and conduct the project as detailed in the funded proposal and awarded budget is reliant on adequate administrative support. Typically, administrative support is provided by the secretary, administrative assistant, or program assistant in the department of the PI/PD or in a related administrative area such as the Dean's office.

The OSP and Business Services provide support to PI/PD throughout the award period and operational day-to-day support as described throughout this handbook. We recognize that sometimes certain projects need to have support provided in a different manner and, as a team, we will decide prior to the initiation of the project. The following are some of the criteria taken into consideration to decide if additional administrative support is needed:

  a) New PI/PD;

  b) Awards with less than $10K in value or the # of transactions in the budget;

  c) # of budget lines that will require added administrative processes;

  d) PI/PD Previous Experience; and/or

  e) Insufficient department support

5. Office of Sponsored Programs

The OSP provides additional services depending on the needs of the project. The successful fulfillment of a grant or contract is a collaborative, University-wide effort led by the Project Director or Principal Investigator and supported by many people and offices.

Four key areas of collaborative effort are (1) the processing of the contract that formalizes the relationship between the University and the sponsor, (2) the management of the relationship with the sponsor to insure regulatory compliance, (3) the reporting on grant funding activity, and (4) the development and monitoring of subcontracts. The OSP is central to all these activities. OSP provides information, guidance and training to all PI/PDs on the procedures necessary for successful implementation of their sponsored projects. OSP promotes education and training.

6. Business Services – Grants Accounting

The Division of Finance and Administration is responsible for providing the financial, human resources and other systems for use by a PI/PD in the management of their project, including training and support as needed for each PI/PD.

Grants Accounting has responsibility for reviewing all expenditures related to grants, preparing and submitting all financial reports, billing sponsoring agencies, drawing down funds or invoicing sponsors, processing cash receipts for sponsored projects, and closing out grant and contract accounts after the final reports have been submitted. Grants Accounting works closely with the OSP and PI/PD to ensure timely and accurate processing of all grants related activities. Approves all budgets, budget revisions, and cost transfers. The applicant is William Paterson University, but the PI/PD is responsible for ensuring that the work is carried out as proposed and that the funds are spent as budgeted and as allowed by sponsored guidelines. PIs are responsible for monitoring and spending external funds in a timely manner that is consistent with the approved work plan and project objectives.

7. Human and Animal Subjects

WPU's Institutional Review Board (IRB), is administered by OSP, reviews all research, sponsored or unsponsored, involving human subjects to protect the rights and welfare of the people who participate in WPU research. [Institutional Review Board](#)

WPU's Institutional Animal Care and Use Committee (IACUC), also known as the Committee on Animal Welfare (CLAW), reviews all research involving vertebrate and some invertebrate animals to protect them from undo harm.

B. Prior Approvals

The PI/PD may need to make post-award changes to their award budget or other aspects of the award in order to accomplish programmatic objectives. The terms and conditions of the Notices of Award (NOA) and Federal Regulations require recipients to obtain prior written approval from the federal sponsor for many possible actions.

1. No-Cost Extensions

If the PI feels it is not feasible to complete the project on the original schedule, the PI must notify OSP as soon as he/she is aware that the project will not be finished by the original end date. It may be possible to extend the award at no additional cost to the sponsor. No-cost extensions cannot be requested simply because there are unexpended funds available. OSP will work with the PI to obtain appropriate approval from the sponsor for a no-cost extension. In all such cases, the extension must be requested well before the original termination date for the award; extension requests submitted after the termination date are rarely approved.

2. Rebudget

During the performance of the project, a PI/PD may discover that he/she needs to allocate funds approved for one purpose to another purpose. In some cases, this can be done without sponsor approval.

3. Change in Senior/Key Personnel

Changes in key personnel, to include the PI and Co-PI, almost always require sponsor approval.

4. Sabbaticals

Disengagement from the project from more than three months or a 25% reduction in time devoted to the project by the approved PI/PD.

5. Subawards

Changes or amendments to a subaward including additional funding, extending the period of performance, or modifying the reporting schedule. Also changes in the scope of work, recipient's PI/PD or transferring the subaward from one recipient to another.

6. Change in Scope or Objective

A change in scope is defined as a change in the direction, aims, objectives, purposes or type of research (even if there is no associated budget revision requiring written approval)

7. Special Situations

Talk about special conditions that come with the award ex. International travel, events

C. Issuing Subawards

Upon notice of award (and, in some cases, prior to notice) the process will begin in issuing appropriate agreements to any external collaborating entities, be it a public or private university, corporation, or nonprofit entity. OSP will assist the PI/PD with this often complex process.
The link to the Subrecipient Management Procedures can be found here:
Subrecipient Management Procedures

1. When WPU is the Lead Institution

When WPU is the prime recipient of a grant that has one or more subrecipient(s), a subcontract agreement is sent to the subrecipient(s) by OSP. OSP will prepare the subcontract agreement in accordance with the terms and conditions of the prime award and send to the subrecipient's institutional contact for signature. Subcontracts are generally issued from year to year, although if a program/project is "fully-funded" up front, a subcontract can be issued for the entire project period, particularly if the PI/PD and OSP have a level of familiarity and comfort in working with that particular subrecipient.

2. When WPU is the Subrecipient (an external entity is the lead institution)

When a PI/PD receives notice from his/her collaborators that an award is forthcoming, the PI/PD should contact OSP as soon as possible so that OSP can make contact with the external organization's Sponsored Programs Office. As with any award, it is important not to incur any expenses or start work on the project until the subcontract agreement has been fully executed by all parties. Similar to a subcontract issued from WPU to another organization, a subcontract received by WPU from another organization may be issued annually, or multi-year. WPU may need to satisfy any pending IRB/IACUC approvals prior to the award's issuance, and the lead organization or institution may request additional information (e.g., a copy of WPU's latest Audit Statement).

(Please see Subrecipient Management Procedures in our website for details of the process.)

3. Typical Components of a Subaward or Subcontract

a) Cover Page: The cover page typically identifies the subcontracting parties, the project title, budget or performance period start and end date, subcontract number, prime award number, and signature lines for each party's authorizing officials.

b) Contact Page: Identifies the appropriate institutional technical, financial, and administrative contacts at each organization/institution.

c) Terms and Conditions: Incorporated in full or by reference and includes those terms and conditions to which the subrecipient must comply in the performance of the sponsored agreement. Some examples might include: technical and financial reporting requirements; disposition of tangible (equipment) or intangible (intellectual) property; termination; provisions for changes or modifications of the budget, key personnel, scope of work, and other amendments.

d) Attachments: The attachments section most often includes the final statement of work and final approved budget.

4. Subrecipient Monitoring

The PI/PD is responsible for receiving and approving program reports, financial reports and invoices from Subrecipients. The approval and acceptance of these reports must be contingent on the PI/PD's knowledge of the work that has been undertaken and completed based on the approved work plan of the prime award as well as their regular communication with the Co-PI/PD who is responsible for the partner's portion of the project. Refer to the subaward management procedure for guidance.

The PI should contact the OSP if modifications are needed for the Subaward, for example:

- Change in Conditions: The conditions that would require a modification will be defined in the Subaward or the sponsor's regulations. Typically, changes are related to, but not limited to, project personnel (i.e. reduction or increase of effort; sabbatical; staffing changes, etc.), budget, Subrecipient project activities, period of the award, or the reporting schedule.
- Budget for Subsequent Project Period
- Carry-Over Funds
- Other Changes (personnel, extensions)

D. Reporting

1. Project Reporting

The reporting requirements for a project are established either in the RFP or in the award documents. On receipt of an award, OSP will prepare a project and financial reporting schedule based on the funder's requirements. A copy of this schedule will be provided to the Project Director at the kick off meeting. OSP will make every effort to remind the PI/PD when reports are due. It is important for PI's/PD's to know when they need to submit reports, what format the report should follow (i.e. paper or online submission), and who has to approve/sign and submit the report. The PI's/PD's will be encouraged to have a calendar (Outlook, Cell phone or paper) that will house important project dates, deadlines, paperwork and report submission dates. There will be a strong emphasis on submitting reports and documents to the sponsor on time. If there are issues that occur that would prevent a report submission it would be wise for them to alert our office prior to so we can advise them on the necessary next steps.

a. Programmatic or Technical Reports

It is the responsibility of the PI/PD to comply with all sponsor requirements for timely interim and final project reports, paying particular attention to deadlines and to the sponsor requirements for report content. All programmatic and technical reports must be approved by the University through the Office of Sponsored Programs prior to its submission by the OSP or the PI/PD. A copy of all reports, including any external

evaluator reports, is maintained in the OSP as part of the award record. If the report is submitted by the PI/PD, a complete copy must be provided to OSP along with confirmation of submission. The PI/PD should also maintain copies of reports in their award records.

b. Financial Reports

All interim financial reports are prepared by the Grants Accountant to the sponsor. All final financial reports are prepared and submitted by Grants Accounting. If requests for additional financial reports are received by the PI, he/she must contact Grants Accounting to ensure the accuracy and consistency of reporting. Grant Accounting will review expenditures for accuracy with the PI/PD before reports are submitted.

c. Effort Reporting

Business Services maintains an effort certification process in accordance with the OMB Uniform Guidance. The Uniform Guidance Subpart E 200.430 contains the regulatory requirements for internal controls over certifying time expended on sponsored projects. The University utilizes the Banner Effort Certification module, accessed via Banner 9 Self-Service to comply.

Training is offered to new investigators at the time of the award. All salary charges to grants for full time and part time employees must be certified. PI/PDs are responsible to certify their own salary and any other salaries charged to their grants.

For more information, please contact Business Services and see procedure manual for certifying effort at this link:

Manual for Certifying Effort

E. Records Management

1. Records Retention

The general rule of thumb is **keep everything** that might be important. This could mean keeping everything from copies of emails, calendars, meeting summaries, and all communication and advertising documents (events, seminars, training session brochures and pamphlets etc.). The kickoff notebook tabs can be the first place to store information. Also a file cabinet with proper labeling can also be a good means to store documents and information.

The State of New Jersey Bureau of Records Management places all public records on Records Retention Schedules that list the minimum legal and fiscal time periods they must be retained

by state and local governmental and educational agencies. Generally speaking, all State, Federal and Private grant files (including but not limited to grant award, correspondence, payments, reports, and other supporting documentation) **must be retained for 7 years** after termination of the grant.(After Final report was submitted)

VI. Post Award Financial Management

A. Purchases and Approvals

Please visit the Purchasing website and get familiar with the Purchasing Policy and website:

WPU Purchasing Policy

1. Creating Requisitions

The Project Coordinator or person designated to enter requisitions is responsible to stay up to date with changes in purchasing procedures. Stay attentive to public announcements and purchasing website.

Requisition Overview: A Banner requisition is created as the first step in the WPUNJ procurement process. All requisitions created in Banner must also be approved in Banner before Purchasing can transfer them into a purchase order. Requisitions should NOT be entered in the following situations:

a) for any employee travel expense

b) for registrations or prepayments that are part of travel by an employee

c) for payments to a University employee or student

d) for charges incurred in a previous fiscal year

In each of these situations use a travel expense voucher or a voucher payment form. Banner assigns requisition numbers. These numbers are assigned sequentially as each requisition is created. Be sure to keep a record of your requisition numbers. Once a requisition is created, a budget reservation is established. This moves the funds from the available budget. The reservation is changed to an encumbrance when the requisition is transferred to a purchase order. When the invoice is processed the encumbrance is relieved. Banner requisitions cannot be changed once created. In order to make changes you must:

1) Have the department head disapprove the requisition. All disapproved requisitions will be deleted from the system overnight. This will relieve the budget reservation and return the funds to the budget.

2) Recreate the requisition making the required revisions. Banner will assign a new requisition number. Banner has a web session time out feature that will close the application after a prolonged period of inactivity. Any requisition that is started but not fully completed will be lost if a time out occurs. Created requisitions move into approval queues based on the requisition's accounting data Fund and Organization hierarchy. A requisition will always have at least two approval queues, one at the Department Level

and one at the Purchasing level. A requisition may also require a Grant or other approvals.

To see the Instructions for Creating Requisitions go to Purchasing/Forms and Information:

- **Instructions for Creating Requisitions**

- **How to View Your Requisitions**

2. Using New Vendors

WPU is committed to a procurement process that fosters fair and open competition, conducted under the highest ethical standards and which enjoys the complete confidence of the public. Before acquiring a new vendor familiarize yourself with the policies of WPU. The information in this section comes from purchasing and business services. (Please contact them for clarification or help with any of the topics listed here).

- **WPU Purchasing Policy**

- **WPU Vendor ACH Data Collection, processing and Record Keeping Policy**

- **Independent Contractor Questionnaire**

- **Payments to Individuals Flowchart**

- **Payments to Individuals Flowchart Explanation**

- **Transactions with Non-US Individuals and Corporate Entities**

3. Payments to Vendors

The following steps must all be completed before a vendor can be paid for a sponsored project purchase:

1) Enter requisition in Banner

2. Requisition changes into Purchase order
3. Vendor sends Invoice, needs to be approved and signed by PI
4. Grants Accountant will approve and pay

4. Purchasing Computer Equipment or Software

Equipment may generally be defined as an item with a unit cost in excess of $5,000 and has a useful life of two or more years. Equipment items upon receipt will have an inventory tag placed on them and entered into the asset inventory system by the University Storeroom.

5. Bidding Thresholds

Refer to the Bidding Threshold and Exceptions policy in the following link:

Bidding Threshold and Exceptions

Contact the Purchasing office for additional documentation, processing and Lead Times.

Purchasing Supplies: W.B Mason is WPU's preferred vendor. Contact the purchasing office for questions.

6. P-Card Expenditures for Sponsored Programs

The University facilitates and supports sponsored programs. The Office of the Controller maintains transactional mechanisms and ensures compliance of all University financial transactions. Acknowledging that sponsored programs may have special expenditure requirements that cannot easily be fulfilled using the University's requisition-to-payment process, this policy defines circumstances under which sponsored program expenditures can be transacted using a p-card when the particular transaction type(s) are not permitted under the University's general P-Card Policy.
PIs must apply for the p-card following instructions in the WPUNJ Procurement Card Program Policy and Procedures document.
The P-Card Standard Operating Procedure can be found here:
P-Card Standard Operating Procedures

7. Gift Card Purchase and Oversight

Participant incentive gift card purchases must follow the procedures outlined by the office of the controller, the policy can be found here:
 Gift Card Purchase and Oversight Standard Operating Procedures

B. Reimbursement for Personal Expenditures

Do not make personal purchases for your grant or sponsored program and expect to be reimbursed. It is the policy of the University not to reimburse employees who use personal credit cards for the convenience of ordering. University policy requires that all expenditures must be initiated through a requisition. Please note that there is **no guarantee** that reimbursement requests for personal expenditures will be approved or, if approved, will be processed. The use of personal funds for any reason is therefore strongly discouraged.

If you used cash or a personal credit card for a purchase because of some extenuating or emergency circumstance, you may process a requisition for reimbursement. Once the requisition is complete a reimbursement voucher must be completed to accounts payable including all receipts and a detailed explanation of why the University purchasing system was not used. **The explanation that the materials or supplies were needed quickly is not considered a valid reason.** Reimbursement request requisitions relating to sponsored projects follow the same approval process as other sponsored project-related requisitions

C. Monitoring Expenditures

1. Monitoring Expenses

While the official record of financial activity will be Banner Finance, PI's/PD's are encouraged to develop a system that accurately tracks and monitors all expenditures that can be reconciled periodically with Banner, such as a "shadow spreadsheet." If the expenditures on your spreadsheet don't match what's in Banner Finance you should first look internally to make sure all requisitions, invoices, bills etc. have been posted correctly. If you have done everything correct on your side then you can follow up with Business Services to see what the issues maybe. Also, keep in mind there may be a time lag from the time you post something to the time it shows up in Banner so be mindful of this and check periodically.

2. Banner Training

After the kick off meeting, business services will provide the project directors banner training. This training will provide the PI's the details on how to log in the system to monitor the budget of the award.

3. Cost Transfers

The Business Services office requires that Cost transfers are required when expenses are incorrectly charged to a particular grant. Cost transfers include: payroll reallocations and invoice reclassifications between FOAP's. All corrections must be posted as soon as possible,

but no later than 30 days from the date the original expense appears in Banner. Additionally, all final corrections must be forwarded to the grant accountant within 10 days of the grant's termination date.

Policy and Procedure for Cost Transfers

D. Travel Related to Sponsored Projects

Travel expenditures must comply with the policies and procedures set forth in the WPU Travel Policy and Travel Procedure. WPU generally requires that travelers who will be reimbursed from federal grants or contracts use U.S flag carrier service, consistent with the Fly America Act. All University travel forms must be used.

- Fly America Act

- Procedures Required for all Travel

- Travel Policy

This form can be found in WPConnect/Employees/Finance/Accounts Payable.

- Transactions with Non-US Individuals and Corporate Entities

E. Hiring Grant Supported Personnel

All University Human Resources policies and procedures must be followed when hiring grant supported personnel. If your sponsored project budget includes personnel who will be supported by the grant, you should contact HR as soon as possible to obtain guidance. Also use the Independent Contractor questionnaire to determine the correct classification for individuals who will receive payment from WPU in exchange for services provided. Individuals could be classified as either independent contractor or employee. These forms can be found in WPConnect/Employees/Finance/Accounts Payable.

- Independent Contractor Questionnaire

- Payments to Individuals Flowchart

- Payments to Individuals Flowchart Explanation

- Transactions with Non-US Individuals and Corporate Entities

- Hiring Graduate Students to Support Sponsored Projects

1. The Position Control Form (PCF)

The Position Control Form is used by Human Resources to authorize the filling of full and part-time career service and unclassified positions with the exceptions of faculty, adjunct faculty and graduate assistant positions. It also serves as the primary document to effectuate new hire and promotional personnel actions for career (classified) service employees. The Position Control Form is valid for one (1) year from the date of initiation by the originator.

This Form is also used when an employee will be charging the grant for salary or to charge a different FOP.

2. The Human Resources Action Form (HRAF)

The Human Resources Action Form is used to initiate personnel actions for new employees and effectuate changes to existing employee records for faculty, librarian, professional staff, higher education manager, graduate assistant and project specialist titles. An example of its used would be to assign % of effort to a grant account.

3. Additional Compensation Memo

Additional Compensation Memo is payment for an allowable and approved activity that is outside of an individual's IBS. As described above, this can only be paid in certain circumstances. Ideally, these situations should be identified during the development of a proposal so the expense can be approved as part of the proposal. If they are identified after the award has been received then a specific request to the funding agency would be required. Overload is never an allowable project expense because Federal funds may only be used to compensate employees within their IBS. Overtime may be an allowable expense in certain time limited instances.   (See below.)

Institutional Base Salary Components for Faculty, Professional and Administrative Staff

	Faculty IBS Academic Year and other 10-Month Employees **(September to June)**	**Professional Staff** **(12 months, July to June)**	**Administrative Staff** **(12 months, July to June)**
Activity to be compensated within the IBS	-Teaching, research/scholarship, service, and administration	-Administrative responsibilities -Academic responsibilities	-Administrative responsibilities

	-Sponsored Project Effort Commitment -Release/reassigned time provided for research, service or administration	-Sponsored Project Effort Commitment	-Sponsored Project Effort Commitment
Activity NOT included within the IBS	-Overload -Overtime -Workshops and incidental activity -Summer Salary	-Overload -Overtime -Workshops and incidental activity -Adjunct assignment	-Overload -Overtime -Workshops and incidental activity -Short-term support -Adjunct assignment

4. New Hire Paperwork

Contact Human Resources to get all the information and procedures needed to hire the prospective employee and the "HR new hire packet for Project Employees"

5. Adding students to payroll

If the grant includes in the budget hiring part time employees or students. Send an email to the Budget analyst specifying the following:

a) Name of Student
b) Start and end date of assignment
c) 855 number
d) Rate per hour ($/hr.)
e) FOP

When the Budget Analyst gets all this information from the PI she makes sure that the student's status is still as a student and communicate with other departments about the process of setting the student up. The PI will receive an email confirming that the student is in payroll. Students need to fill out a timesheet that has to be approved by PI. It is the PI's responsibility to keep track of the students hours and that the amount paid corresponds with the budget.

F. Distribution of Indirect Cost

Charging and Distribution of Indirect Cost: Indirect cost also known as overhead costs, are real costs. They are by their nature difficult to assign to any one specific project without extensive cost accounting procedures. Federal sponsors and most non-governmental entities recognize the existence of such costs.

Examples of these costs include:
(a) the costs of using the buildings and equipment; (b) accounting, personnel, standard computing, and purchasing expenses; (c) general mail, printing, and duplicating expenses; (d) library services; and (e) administration.

WPU will apply the maximum allowed indirect costs to all grants and this amount should be included in all grant application budgets. Any exception to applying the full overhead rate will require the approval of the Department Chair, College Dean, Finance and Administration, and Provost & Senior Vice President for Academic Affairs. Approval is indicated when signatures are affixed on the Project Approval Sheet. The University's current federally negotiated indirect cost rate is a percentage of salary and wages. Please contact OSP to obtain the current rate which must be used for federal proposals.

WPU will distribute indirect costs recovered from an external grant to further recognize, support, and stimulate sponsored research and programs as follows:

Provost and Senior Vice President for Academic Affairs	50 percent (or 40% or 35%)
Dean of the College or Associate Vice President of the unit over the department of the principal investigator/project director of the award	25 percent
(Office of Sponsored Programs)	(10 or 15%)
Principal investigator/project director of the award	15 percent
Department of the principal investigator/project director of the award	10 percent
When a project has multiple directors or investigators from multiple college, units or departments, a proportional distribution of recovered indirect funds will be made based on the indirect cost formula used in the award.	

G. Closing out the Award

The award period ends on the day designated in the contract/agreement or if a time extension was approved, on the last day of the extension. Within the three months immediately following the end of the award period, all outstanding obligations are finalized and the Final Financial Report (FFR) submitted. An immediate refund of all un-obligated cash is returned to the sponsor if applicable. The PI/PD is responsible to submit the final performance report. A copy of the final performance report should be provided to the grant accountant and OSP. The reporting due dates are determined by the sponsor.

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H. Audit Matters

1. General

All awards to the University are subject to audit. Audits may be performed at multiple levels including the:

a) University Internal Auditor

b) Office of the State Auditor

c) Sponsor Auditors

d) Public Auditors

Business Services is responsible for coordinating all financial audits. Federal, state, and public firm auditors must make their initial contact with the Authorize Official. The purpose of the advance contact is to identify the auditors, outline the general purpose of the visit, and facilitate the audit.

Depending upon the nature of the audit or subject matter, the OSP may elect to be represented in audit discussions at the departmental level.

2. Right of Access

Under the legal terms of grants and contracts awards, auditors have the right of access to all official University records associated with an award. The University is obligated to make such records readily available for examination. This includes records held by the PI/PD, the OSP, Business Services, and any other University office or individual.

VII.   Compliance

A. Federal Wide Regulations

Federal regulations stipulate that institutions applying for federal funds assure the appropriate federal agency that certain conditions and policies are in place at the applicant institution. Federal funding is at risk University-wide if individuals do not comply with these very important assurances.

1. Uniform Guidance
2 CFR 200- Uniform Administrative Requirements, Cost Principles, And Audit Requirements for Federal Awards

2. U.S. Department of Education
Education Department General Administrative Regulations (EDGAR) and Other Applicable Grant Regulations

3. National Science Foundation
Proposal & Award Policies & Procedures Guide (PAPPG), January 2018

4. National Institutes of Health
Award Conditions and Information for NIH Grants

B. Responsible Conduct of Research

The National Science Foundation (NSF) and the National Institutes of Health (NIH) have specific requirements for the training of students involved in funded research in the responsible conduct of research (RCR). WPU has established the following policy for undergraduate and graduate students who are funded by either of these agencies as well as their faculty advisors or supervisors.

WPU provides an online training program to support these NSF and NIH requirements. Click on the following link to the CITI Program, register as a member of the WPU community and select the appropriate RCR Course. Please note, if someone has already completed training in the use of human subjects in research, he/she should use that same login information. When the course is completed, a copy of the Certification is also provided to the Office of Sponsored Programs.

1. Responsible Conflict of Research
The Responsible Conflict of Research Policy can be found here:
Policy and Procedures on Training Certification in the responsible Conduct of Research by Recipients and Participants in Externally Sponsored Research

2. CITI Course in the Responsible Conduct of Research

<u>This is not required for anyone who's involvement in research is not funded by the NSF or NIH</u>. However, the course is available to anyone who wishes to learn more about the current standards and expectations regarding the responsible conduct of research.

The course can be found here: CITI Course in Responsible Conduct of Research

3. Research, Scholarship, and Academic Misconduct and Fraud

The Policy on Research, Scholarship, and Academic Misconduct and Fraud policy can be found here: Research, Scholarship and Academic Misconduct

C. Conflict of Interest and Commitment

William Paterson University (WP) embraces the ethical position that integrity, objectivity, honesty and the avoidance of self-dealing are essential elements in ethical conduct and critical for excellence as well as preservation of the public trust. This policy is specific to conflict of interest regulations for sponsored projects and research and is supplemental to the ethical obligations imposed by the State of New Jersey.

The **Sponsored Projects and Research Conflict of Interest and Commitment Disclosure Policy (Policy)** requires that **key project leaders** have the required Disclosure Form on file with the OSP before a proposal is submitted or a sponsored project is initiated, and must be renewed annually for the duration of the project. Disclosure Forms will be reviewed for potential conflicts and, if any are identified and cannot be eliminated, either the proposal will not be submitted or the conflict in the sponsored project will be reported for action to the University Ethics Liaison Officer.

- **Sponsored Projects and Research Conflict of Interest and Commitment Disclosure Policy**

- **Conflict Interest Disclosure Form**

- **Conflict Of Interest CITI Course**

D. Institutional Review Board (IRB)

1. Certification is required for:

   a. *Investigators*

Certification of Training is required for anyone serving as the principal investigator, co-principal investigator or senior-level support of research involving human subject unless the investigator is an undergraduate or graduate student.

b. Educators

Certification of Training is required for faculty teaching courses that require students to actively engage subjects in significant research activities. Certification is required prior to the receipt of student research protocols.

c. Administrators

Certification of Training is required for all members of the IRB, the Responsible Institutional Official, the IRB Chair, and the IRB Administrator. Certification of Training is strongly suggested for Deans, Department Chairs and other Managers and Senior Administrators of because of their supervisory responsibilities.

2. Certification is not required for

Graduate and Undergraduate Students: The IRB considers faculty to the lead investigators in courses that requires students to undertake significant projects involving human subjects. As the lead investigator, the course instructor must have a Certification on file with the IRB. Faculty may ask or require their students to complete the Certification Training but that does not remove their oversight responsibility.

3. The Certification Program for Faculty and Staff

William Paterson uses the **CITI Program** to provide and monitor Certification of Training. This is an internationally recognized program used by hundreds of educational and research organizations. William Paterson's program provides different courses for social-behavioral and biomedical investigators; both include William Paterson's Policy and process. Following completion of the program,

certification is provided to both the person completing the module as well as WPU's IRB Administrator.

a) CITI Program

E. Effort Reporting

William Paterson University maintains an effort certification process in accordance with the Office of Management and Budget Circular Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards ("Uniform Guidance"). The Uniform Guidance Subpart E 200.430 contains the federal regulatory requirements for internal controls over certifying time expended on sponsored projects. The University utilizes the Banner Effort Certification module, accessed via Banner 9 Self-Service to comply with Uniform Guidance requirements.

All salary charges to grants for full time and part time employees must be certified. Principal Investigators (PI) are responsible to certify their own salary and any other salaries charged to their grants. The Business Services office will assist and train new PI/PD. Contact the Grant Accountant for more information.
The Procedure Manual for Certifying Effort managed by Business Services can be found here: **Procedure Manual for Certifying Effort**

F. Indirect Cost Rate and Indirect Cost Recovery and Distribution Policies

The Indirect Cost Rate Policy applies to the those University departments engaged in supporting research and other sponsored projects through grants, contracts and cooperative agreements by establishing indirect cost recover rates, budgeting for the recovering of indirect costs, recovering indirect costs, and distributing indirect costs. Although the federally approved indirect rate is the primary source for the University's indirect cost revenue, this policy applies to all agreements that generate indirect cost revenue, including grants, cooperative agreements and contracts for projects supported by non-federal sponsors. The policy can be found here: **Indirect Cost Rate Policy.**

The purpose of the *Indirect Cost Recovery and Distribution Policy* is to enable those individuals, departments, colleges and other areas that are involved in the project to easily access and use their share of the indirect that WP receives. This means that those individuals, departments, college and other areas will each have their own "Indirect Account" where funds will be "deposited" as they are received. The funds are then available for almost any expense that supports the advancement of WPU's research, scholarship, creative, educational, and community service goals. The policy can be found here: **Indirect Cost Recovery and Distribution Policy.**

G. Other Applicable Policies

Please refer to this section for other applicable policies or regulations that govern externally funded projects.

1. Copyright

The Copyright Policy can be found here: WPUNJ Copyright Policy

2. Biohazards/Institutional Biosafety Committee

See the Chemical Hygiene plan for WPU. Contact the Chemical Hygiene Officer for questions or concerns. **Chemical Hygiene Plan- WPU**

3. Costing Policy

The Costing Policy establishes consistent practices for defining direct, indirect and Cost-Sharing costs as part of developing a proposal and the management of the award. The policy can be found here: Costing Policy for Proposal Development and Award Management

4. Compensation Policy

(This Policy is being developed and will be provided/uploaded when approved.)

5. Export Controls

In recent years, the Federal government has become increasingly concerned with protecting both information and technologies for reasons of foreign policy and national security. U.S. export controls and sanctions programs affect any international trip — usually in minor ways, but potentially creating serious obstacles or resulting in unintended violations. Contact the OSP if you have questions or concerns. The Export Control Regulations and Information can be found here: Export Control Regulations and Information

6. Material Transfer, Patents, IP, Confidential Disclosures related to intellectual property.

Material Transfer Agreements (MTA): An MTA is a form of protection for intellectual property that governs the transfer of material and related information from one entity to another. These agreements set forth the terms of use and obligations of the recipient when exchanging materials. Typically these materials are cell lines, DNA, or chemical compounds. However, MTAs may be used for the transfer of any kind of physical material.