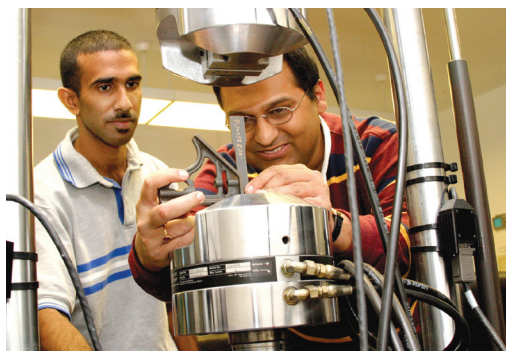
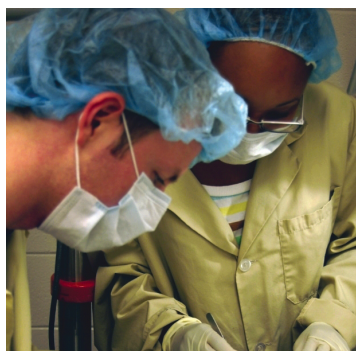




A DETAILED GUIDE

TO RESEARCH AND SPONSORED PROGRAMS



Greetings



I am pleased to endorse this document “A Detailed Guide to Research and Sponsored Programs”, which is produced to assist faculty and research staff in identifying sources of funding, preparing and submitting proposals to federal agencies and foundations for funding and successfully implementing and closing the funded grants and contracts. Tuskegee University has long been a leader in the areas of basic and applied research. Today, in such fields as advanced materials, biotechnology, and space flight food systems, Tuskegee is finding new ways to advance the safety and security of our world’s citizens. Within our Centers of Excellence, Academic Colleges, and select Institutional Units we are engaged in many areas of cutting edge research. Our faculty, students (both graduate and undergraduate), and staff are engaged in research critical to addressing the needs of today’s governments, corporations and citizens. We seek to answer the most pressing questions facing modern society. We are available to you, and invite you to utilize our services in advancing your programs.

I am proud of Tuskegee University’s faculty and staff particularly those in the Division of Research and Sponsored programs and Business and Fiscal Affairs, for their vigor in advancing research and seeking substantial increase in the level of funding.

A handwritten signature in black ink, appearing to read "Benjamin F. Payton".

Benjamin F. Payton, Ph.D

President

Tuskegee University, Tuskegee, AL 36088

Phone: 334-727-8501 | E-mail: bfpayton@tuskegee.edu



The Office for University Advancement recognizes the importance of external support of research and sponsored programs at Tuskegee University and the impact these vital programs have on the development of our students and the enormous contributions to society in general. The published document, “A Detailed Guide to Research and Sponsored Programs”, serves as an excellent tool for assisting faculty and staff researchers in identifying sources of funding, and the steps necessary to ensure funding success of grants and contracts. The Division of Research and Sponsored Programs is the coordinating office for all external sponsors funding, exclusive of gifts and donations coordinated through the Office for University Advancement. Tuskegee University has a long standing reputation as one of the nation’s premiere minority research institutions, and I am pleased to offer my leadership in assisting Tuskegee University in its ever growing and diverse research agenda.

Getchel L. Caldwell II
Vice President for University Advancement
Tuskegee University, Tuskegee, AL 36088
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The primary mission of the Division of Research and Sponsored Programs (DRSP) is to facilitate the development and implementation of sponsored research and other programs that receive external support. The division has the responsibility of establishing and implementing research policies governing the conduct and accountability for sponsored activities. The DRSP is the only officially recognized university office responsible for approval of all applications for support of research and other sponsored projects prior to final submission to the President or the funding agency. Additionally, the DRSP is responsible for ensuring that all research and other sponsored projects comply with the federal and state guidelines and the resolution of problems that arise in the conduct of sponsored projects, either with external funding agencies or with administrative offices within the university.

Please visit our web sites to learn about the functions of these departments and the ways they may assist you. The staff of the DRSP and those in the Office of Grants and Contracts Accounting, work closely with the faculty, center directors and program managers to facilitate Tuskegee University’s research and other sponsored projects. Please become familiar with persons who make this all possible. After familiarizing yourself with the policies and procedures outlined in this document, be sure to contact us regarding your particular requirements. We have a host of individuals ready to address your needs.

Shaik Jeelani, Ph.D., P.E.
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A DETAILED GUIDE TO RESEARCH AND SPONSORED PROGRAMS

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The following forms may be downloaded from Tuskegee University's research Web site or Tigernet:

- Indirect Cost Adjustment Form
- Cost Sharing and Matching Sources
- Intellectual Property Disclosure Form
- Biosafety Application
- Animal Care and Use Protocol Form
- Human Participants (IRB) Form
- Radiation Form

Additional Forms and locations:

Purchasing Department Kresge Center

- Request for Price Form
- Purchase Requisition Form
- Intra-Institutional Voucher Form
- Check Request Form

Human Resource Department in Kresge Center

- Personnel Action Form

I. INTRODUCTION

Throughout its history, Tuskegee University has been successful in generating external support to achieve its mission; teaching, research and service. The university encourages and recognizes members of its faculty and staff, who engage in seeking external funds to conduct research and develop educational and service programs. This document is published by the Division of Research and Sponsored Programs to assist faculty and staff members, particularly those who are new to the process of grantsmanship, in identifying sources of funding for the programs they are interested in, preparing and submitting the proposal, use of funds, if the proposal is funded, and successfully closing the grant.

II. DIVISION OF RESEARCH AND SPONSORED PROGRAMS

The Division of Research and Sponsored Programs (DRSP) facilitates the development and implementation of research and other sponsored programs that receive external support. The division has the responsibility of establishing and implementing research policies governing the conduct and accountability of all sponsored activities. The DRSP is the only officially recognized university office responsible for approval of all applications for support of research and other sponsored projects prior to final submission to the president of the university or the funding agency. Additionally, the DRSP is responsible for ensuring that all research and other sponsored projects comply with the federal and state guidelines and the resolution of problems that arise in the conduct of sponsored projects, either with external funding agencies with administrative offices within the university.

III. ORGANIZATIONAL STRUCTURE

The Division is headed by the Vice President who reports directly to the Vice President for University Advancement for the development and implementation of aggressive plans to increase significantly funding for research and other programs that receive external support. Since the activities of the Division of Research and Sponsored Programs have a heavy impact on the development of faculty and academic programs, the Vice President has a direct advisory relationship with the Provost as well. In addition, the Vice-President maintains a close advisory relationship with the Vice-President for Business and Fiscal Affairs, especially through the Office of Grants and Contracts Accounting regarding post-award record-keeping matters, among other things. Through its departments of Sponsored Programs and Grantsmanship and Compliance. The staff of the division works closely with the faculty, center directors and program managers to facilitate Tuskegee University's sponsored projects.

A. Office Grantsmanship and Compliance

The Office of Grantsmanship and Compliance (OGC) supports development of research and research infrastructure at Tuskegee University and ensures that the university adheres to compliance regulations of state and federal agencies. The regulations stipulate that institutions receiving federal funds for research and other sponsored programs must have policies and procedures in place to ensure that federal, state and local requirements are met in the use of funds and conduct of research. Federal funding could be lost or not granted when the applicant institution does not comply with the mandated requirements. The OGC coordinates the assurance process for faculty and staff on behalf of the Vice President for Research and Sponsored Programs. Compliance review is an essential function of the application process and is applicable to all projects involving human subjects, vertebrate animals, carcinogens, recombinant DNA, biological and chemical hazardous material and proprietary materials. Please visit Tuskegee University's website for research to learn about the organization and function of various compliance committees, institutional review boards and policies that protect university's intellectual property and responding to allegations of scientific misconduct.

Other activities of OGC include assisting the Vice President for Research and Sponsored Programs in:

- Organizing Proposal Development Workshops and training programs for compliance committees
- Processing Educational Partnership Agreements, Non-Disclosure Agreements, Teaming Agreements, Intellectual Property Agreements, etc.,
- Updating the Tuskegee University's Research Website and Research and Training Capability documents
- Publishing Annual Reports

B. Office of Sponsored Programs

The Office of Sponsored Programs (OSP) is responsible for the administration of pre-award and post-award non-financial activities of all research grants and other externally funded programs. Pre-award services include providing information on funding opportunities, assisting faculty in developing programs with potential for external sponsorship, coordinating the internal review of proposals, approving proposals prior to submission to the funding agency. The OSP maintains data on proposals submitted and awards received. Post-award responsibilities include reviewing and processing new awards, setting the budgets, coordinating the prior approval process for budget changes, sub-agreements, no cost extensions and other modifications to grants and contracts and other externally funded programs.

Other activities of OSP include assisting the Vice President for Research and Sponsored Programs in:

- Holding Grantsmanship and Electronic Submission Workshops.
- Preparing statements of grants and contracts for the president and the Board of Trustees
- Posting, on the web, all grants and contracts received, each month
- Publishing Annual Reports

IV. PRINCIPLES REGARDING RESEARCH AND SPONSORED PROGRAMS

- The following principles guide the conduct of externally funded research and other sponsored programs at Tuskegee University.
- The principal investigator is critical to carrying out research and other sponsored programs. The awards are made, however, to Tuskegee University which bears ultimate responsibility for all grants and contracts and is legally responsible and accountable for those activities.
- The authorized signatures on grants and contracts represent Tuskegee University's agreement to proceed with the project, if funded.
- The principle of freedom of research establishes the right of the principle investigator (PI) to determine the subject matter and conclusions of his/her research. It protects him/her from imposition on the works, goals and criteria other than the legal ones.
- Any agreement between Tuskegee University and an external sponsor must have some form of sanction in advance. The purpose of this sanction is to insure that the project conforms to administrative and fiscal policies of Tuskegee University and does not conflict with the rights of other scholars or with other institutional commitments.

- The source of sponsorship and the purpose of the projects must be of such a nature that the finding can be publicly disclosed. Any exception to this principle must be in the best interest of Tuskegee University and in adherence to the requirements of the sponsor and any applicable laws and regulations.
- All projects are undertaken with the clear understanding that the PI has a full right to publish any results subject only to establish safeguards for the protection of privacy or confidentiality of personal data.
- Any results obtained, papers published or lectures given by the PI on externally sponsored projects are the sole responsibility of the PI.
- All projects involving living animals and humans, or hazardous or potentially hazardous substances, must follow the safeguards established by Tuskegee University, the funding agency and any applicable laws and regulations.

V. PRE-AWARD ADMINISTRATION

Pre-award administration encompasses funding source identification, preliminary review and approval of projects with potential for external sponsorship, cost sharing analysis, proposal processing and approval. Compliance review, which is also a pre-award process, is coordinated by the Office of Grantsmanship and Compliance (OGC).

A. Identification of Opportunities

You may log onto the Tuskegee University's Research website and click on the ***Funding Opportunity*** icon. You will have access to information on funding opportunities offered by various federal agencies and private foundations. The OGC also sends, through e-mail, Broad Agency Announcements (BAA) and Request for Proposals (RFP) to all faculty members, regularly.

B. Preliminary Review and Approval

The purpose of the preliminary review and approval process is for the university to decide whether or not the PI should be allowed to proceed with the development of the proposal. ***Preliminary review and approval phase is applicable to all solicited and unsolicited proposals for submission to a federal agency, a foundation or an industry.*** The process is as follows:

1. The (PI) submits the following documents to the OSP:
 - The Internal Proposal Routing Form (IPRF) signed by all parties
 - One Page abstract or program summary
 - Budget
 - A copy of the funding announcement and instructions, if requested.
2. The OSP assigns a tracking number to the document. The tracking number will be used as a reference on all communication regarding the proposal.

3. The OSP staff reviews the documents, and either approves the request or forwards it to the Vice President for Research and Sponsored Programs or the Vice-President for University Advancement for additional review and approval.

C. Funding Agency Restrictions

Some funding agencies restrict the number of proposals to be submitted by the same applicant or institution. In the event the OSP receives more Internal Proposal Routing Forms (IPRFs) than the number of proposals the funding agency will accept, the matter will be resolved as follows:

1. If more IPRFs are received from a college than what the agency will accept, the Vice President for Research and Sponsored Programs will seek the assistance of the dean of the college in selecting the number of proposals to be developed.
2. If more than one college is involved, the Vice President for Research and Sponsored Programs will seek the solution in consultation with the college deans and the Provost.

D. Proposals to Industry or Private Foundations

All proposals or requests for submission to an industry or a private foundation must be approved by the Vice President for University Advancement and bear his signature.

E. Internal Proposal Routing Form (IPRF)

The IPRF requests information that is necessary for a preliminary review of the proposal. Instruction for completing the form is listed below.

1. **Proposal Title:** Enter the name of the project.
2. **Principal Investigator(s):** The name(s), title(s), department(s) and phone number(s) of the individual(s) who will be responsible for developing the proposal.
3. **Project Type:** Check the appropriate project type box.
4. **Award Term:** Check the appropriate proposal classification box:
 - a. **New** – The proposal has not been submitted by TU before.
 - b. **Continuation (non-competing)** – A proposal or progress report being submitted to initiate funding of next budget period of a multi-year funded project.
 - c. **Competing Renewal** – Check this box for proposals whose original project period has expired and the current submission will request new funding to extend the project for additional budget periods.
 - d. **Supplement** – Check for a proposal requesting additional funding to an existing funded award.
 - e. **Resubmission** – A revision of an entire proposal which was not previously funded
5. **Award Type:** Check the appropriate box.
6. **CFDA No:** Provide the Catalog of Federal Domestic Assistance program number, if applicable.
7. **Compliance Data:** Check the appropriate box. (attach copy of approval letter, if applicable)

- a. Human Subjects:** Indicate whether human subjects or data from human subjects will be used in the project.
 - b. Vertebrate Animal Subjects:** Indicate whether animals will be used in the project. Provide the IACUC approval number issued by the Animal Care and Use Committee.
 - c. Biohazards:** Indicate whether or not the project will require use of biohazardous materials by checking the appropriate box.
- 8. Sponsor/Funding Agency:** Enter the name of the sponsor/agency to which the proposal is being submitted (i.e., NIH, NSF, USDA, etc)
- 9. Sponsor Type:** Check the appropriate box (i.e., local, state, federal, etc.)
- 10. Program to which you are applying:** Enter the name of the program to which you are applying (i.e., Research Experiences for Undergraduates REU, IGERT, etc.)
- 11. Sponsor Contact Name & Title:** Provide the contact person's name at the sponsoring agency, if available.
- 12. Sponsor Mailing Address:** Enter the mailing address of the sponsoring agency.
- 13. Sponsor Phone:** Enter the telephone number for the agency's contact person.
- 14. Is electronic submission required?:** Check the appropriate box.
- 15. Deadline:** Enter the date the proposal is due to the agency. Provide the receipt date or postmark date.
- 16. Project Budget Summary:** Enter the total funds (including indirect costs) requested and the amount of indirect cost requested.
- 17. Project Period:** Enter the entire performance period for which funding is requested (i.e., beginning date and ending date)
- 18. Cost Sharing Total:** Enter the amount indicated in the proposal that TU will provide for the project. Cost sharing is defined as any contribution of funds or resources toward the full cost of a sponsored program. Many sponsors view cost sharing as evidence of our commitment to a proposed project. There are two forms of cost sharing:
 - Mandatory** – Cost sharing is mandatory when a sponsor requires the University to contribute toward a project's cost. The term "matching" is often used when the sponsor requires cost sharing of a specific amount or percentage.
 - Voluntary** – Cost sharing is called voluntary when it's not required by the funding agency.
- 19. Percentage of Cost Sharing Required:** Enter the percentage of cost sharing that is required by the agency and any other support from sources other than TU. Letters of support with appropriate approval must be included with the proposal.
- 20. Are subawards included in budget?** Check the appropriate box.

21. TU Cost Sharing: Provide the administering department name, GL account number and the amount of cost sharing/matching funds. NOTE: Proposals involving cost sharing must be approved by the Provost and the Vice President for Business and Fiscal Affairs.

22. Time and Effort: Enter the name of key personnel who will perform work on the project, time and effort that will be spent on the project by each key personnel and the amount of salary/fringes charged directly to the project.

23. Conflict of Interest Certification: Tuskegee University Conflict of Interest Policy must be read, and any conflict of interest must be reported. The Project Director/Principal Investigator and all co-investigators must check the relevant boxes.

24. Key Signatures: The signatures of all key personnel are required. Typically this would include the Project Director/Principal Investigator and any Co-investigators listed on the face page of the proposal, Department Head and Dean of the College before submission to the Office of Sponsored Programs for review. If more than one college is involved in the project, each college dean must sign the IPRE.

Sub-contractual/Collaborative Agreements

When Tuskegee University is the recipient of a subcontract agreement for specific work or as part of a consortia or collaborative agreement, always provide the name of the institution that will be the primary recipient of the grant as well as the information on the funding source (i.e. University of Washington/NIH).

Please provide the total amount of funding available for the entire project from the source, if available, and the amount that Tuskegee University is eligible to receive under the sub-contractual/collaborative agreement. In those cases where Tuskegee University will be the lead institution and/or primary recipient of the award, please include the total amount that is eligible for the entire project as well as the estimated amount that will be used by Tuskegee University.

Solicited/Unsolicited Proposals: If the agency has published an announcement for the program, please provide this information to OSP.

Renewal Applications: Because of changes that may be substantial in terms of personnel, institutional commitments, or funding agency requirements, a renewal application is processed in the same manner as a new application. Please provide the current grant account number.

Facilities and Administrative (F & A) Cost or Indirect Costs: It is the policy of Tuskegee University to charge the maximum federally negotiated indirect costs rate on all sponsored projects regardless of funding source unless a sponsoring agency's written policy will not allow full or partial recovery of indirect costs. If the funding agency allows reimbursement of indirect costs, please provide the amount and rate of reimbursement. If the agency does not reimburse indirect costs in accordance with Tuskegee University's negotiated rate with the Department of Health and Human Services, or where an adjustment of indirect costs is requested by a Principal Investigator, he/she must submit an Indirect Cost Adjustment Form (ICAF) to the OSP. Recognizing that a full budget may not be available at this time, the PI should calculate the adjustment according to the maximum amount of funding allowed for the specific program. The OSP will verify the information on the ICAF prior to submission to the Vice President of Research and Sponsored Programs, who will make recommendations to the general officers on adjustment of the indirect costs. Please note: there are different rates for on-campus and off-campus research, teaching and service. Current rates may be obtained from the OSP.

Special requirements (facilities, equipment, personnel): The PI must provide detailed information on the project that will require the university to renovate existing space, construct new space, the use of high-tech equipment that requires specialized training or certification to operate or maintain, or other resources that may represent a significant investment on the part of the university. The OSP will forward this information to the appropriate University officials for review and approval.

F. Proposal Preparation

1. Deadlines

The funding agency's deadline is an important consideration in preparing a proposal. Every funding agency has its own process and schedule for announcing the availability of funding. Some agencies provide ample lead time (six months to a year) for the preparation and submission of proposals. Others, especially those procuring services via contractual agreements, provide very short notice. Proposal writers are encouraged to give themselves as much time as possible to gain preliminary approvals, develop and organize their projects, write the proposal, and meet institutional and funding agency requirements and deadlines for review, approval and submission.

2. Format and Content

Most funding agencies provide instructions on proposal format and content in the funding announcement. These instructions may provide specific information on page limitations, margins, the size of the typeface/font, mailing, etc. In addition, the funding announcement may also provide information on how to respond to the review criteria or prepare specific sections of the proposal. The PI should review this information to ensure that the final proposal document reflects an understanding of the program needs, requirements and funding criteria.

3. Proposal Cover Page and Budget Sheet

If the funding agency does not prescribe a cover page or a budget format, the PI must use the formats enclosed in the Appendix.

G. Proposal Review and Approval

The PI must submit the full proposal and the budget along with the following forms properly completed to the OSP. It takes at least **two weeks** for completion of all reviews and approvals.

Indirect Cost Adjustment Form (ICAF), if applicable
Cost Sharing and Matching Sources (CSMS), if applicable

1. Compliance Reviews

The Office of Grantsmanship and Compliance is responsible for the administrative coordination of compliance reviews through compliance committees and the Institutional Review Board (IRB). The following committees and the Institutional Review Board (IRB) are involved in the review process.

Institutional Animal Care and Use Committee (IACUC) all activities involving animals must be conducted in accordance with humane and ethical principles established through federal laws, regulations, and guidelines. *Tuskegee University currently has an Animal Welfare Assurance Number on file from the Office of Laboratory Animal Welfare (OLAW), and, therefore, follows the Public Health Service (PHS) Policy on the Humane Care and Use of Laboratory*

Animals. The IACUC is the primary authority on campus for all matters related to animal care and use. The IACUC requires the Attending Veterinarian, who serves as a member on the committee, to enforce policies established by the committee for animal care and use. Details on the Institutional Animal Care and Use Policy can be found on the Research webpage.

Biosafety Committee (BC) is charged with the responsibility of ensuring that all activities within Tuskegee University involving potentially biohazardous materials are conducted in a safe manner and in conformity with federal mandated standards.

Biohazardous material includes infectious biological agents, toxins (carcinogens, mutagens, and teratogens, and other hazardous chemicals), animal or human tissue or fluids, radioactive materials, and recombinant DNA. Infectious biological agents are viruses, bacteria, fungi, parasites and other organisms/genetic systems that, by virtue of their replication properties, are potentially harmful to humans and/ or other living systems. Details on the Biosafety Policy can be found on the Research webpage.

Human Participants Review Committee (Institutional Review Board, IRB) is committed to providing a safe and healthy work and study environment for faculty, staff, and students. *Tuskegee University currently has a Federal Wide Assurance number on file from the U.S. Department of Health and Human Services (DHHS), for the protection of Human Subjects.* Tuskegee University policy requires institutional review and approval of all activities that involve the use of human participants. Details on the Human Participants (IRB) Policy can be found on the Research webpage

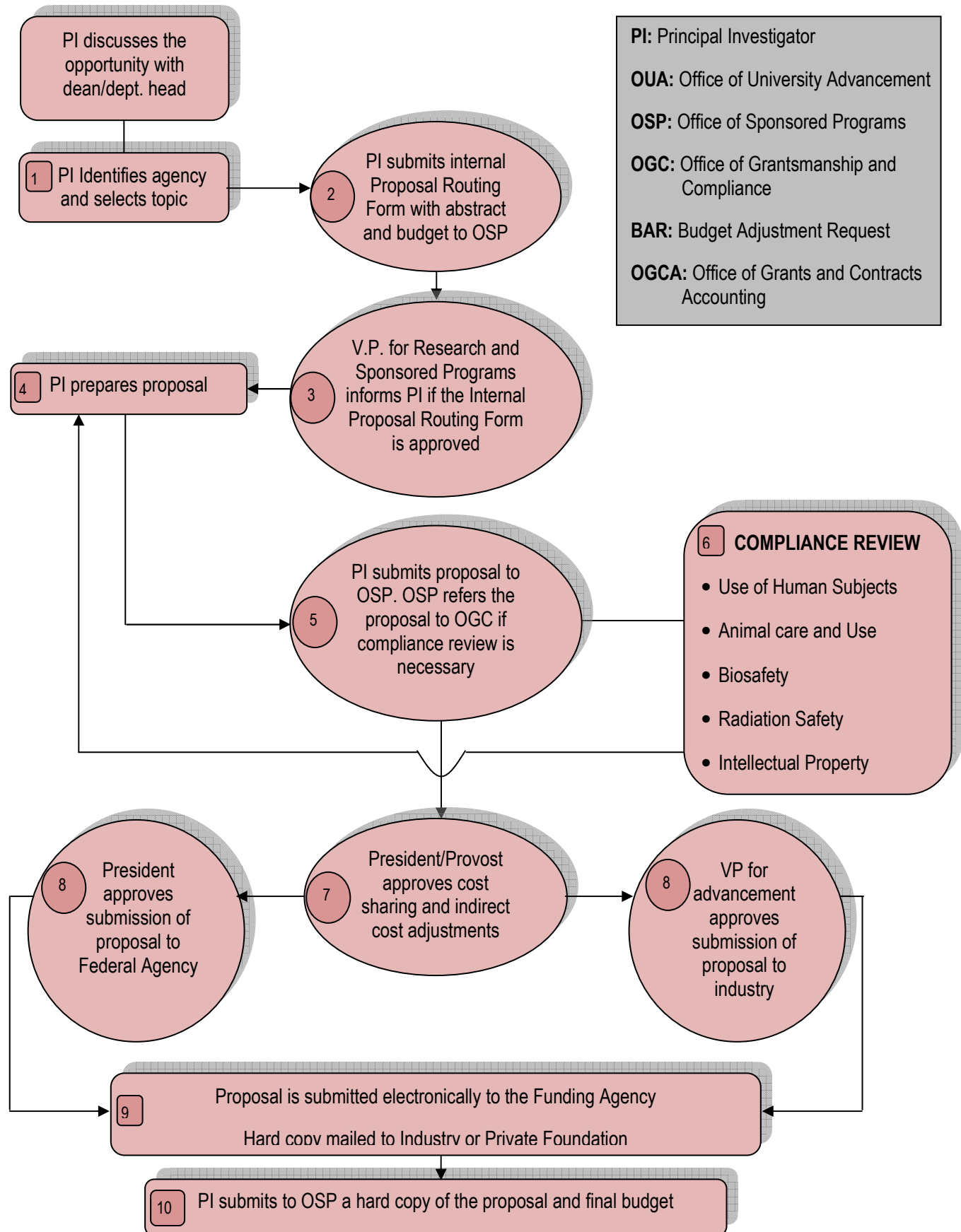
Radiation Safety Committee (RSC) *is licensed by the State of Alabama to possess and utilize radioactive materials and devices that produce ionizing radiation.* Federal and state laws require that standards, policies and procedures that are set forth in Rules of Radiation Control of the Alabama State Board of Health, Chapter 420-3-26, are enforced by persons (Institutions) holding such licenses. The primary purpose of the RSC is to ensure that radioisotopes and devices producing ionizing radiation are used safely and that they present no danger to either the campus community or to persons living in communities around the campus. Details on the Radiation Safety Policy can be found on the Research webpage

The principal investigator is responsible for providing the OGC with the hard copy with all signatures and electronic copy of the proposal, by the date established for reviews. Proposals requiring compliance approval should be developed well in advance of the deadline to insure adequate time for processing and approval.

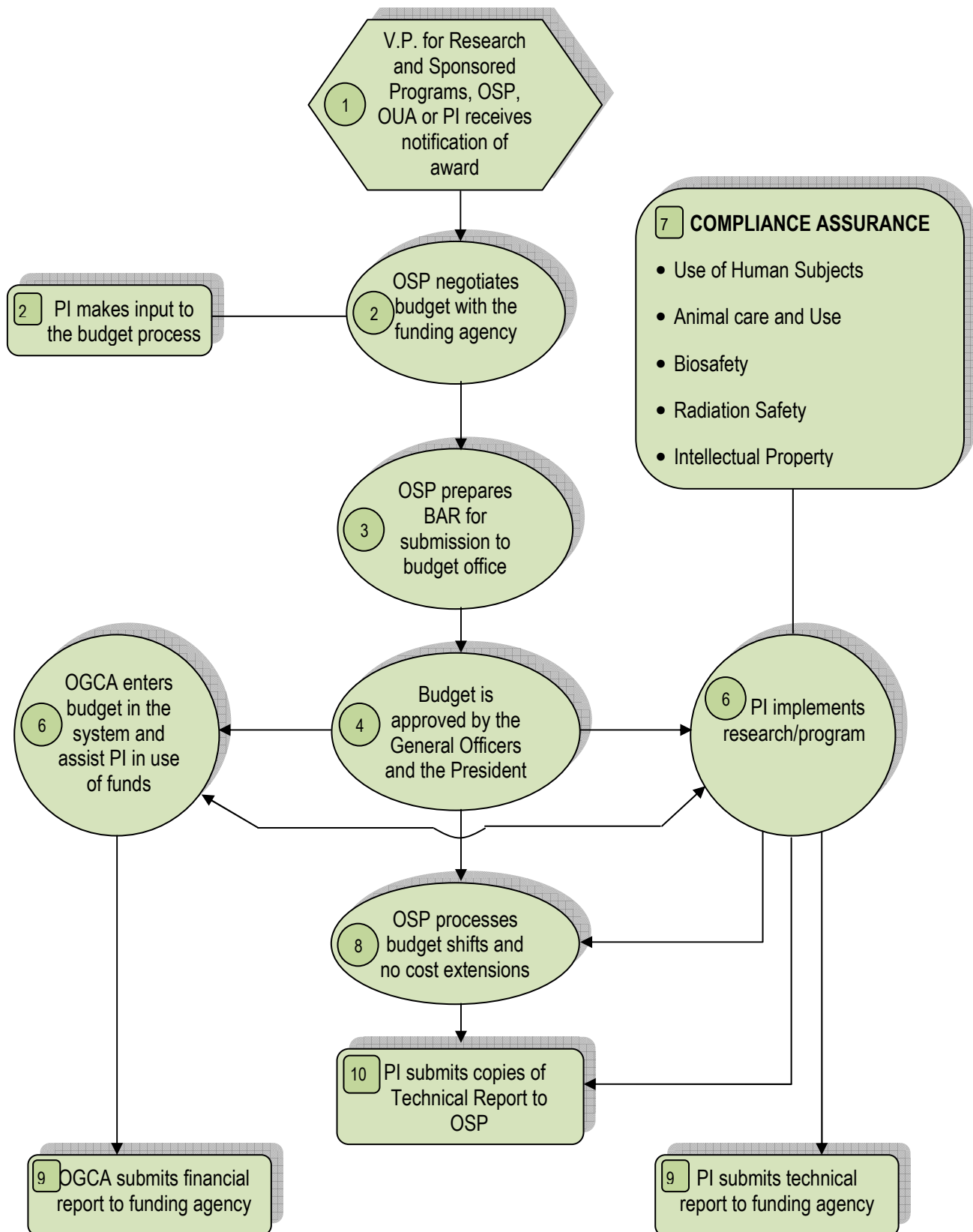
2. Time and Effort

An important aspect of the proposal review process is the analysis of the time and effort required to fill the objectives of the proposed program. As part of the review process, the OSP is required to take into consideration the amount of the individuals' effort in proposed, pending and current programs, institutional requirements related to teaching loads, release time and faculty research, as identified in the Tuskegee University Faculty Handbook, and funding agency and government requirements. Tuskegee University is required by the Office of Management and Budget Circular A-21 to gather effort-related data. These reports are used to document direct salary charges on, and mandatory cost sharing to, federally sponsored agreements.

PRE-AWARD PROCESS



POST-AWARD PROCESS



3. Release Time

Faculty member, who wishes to include release time in the proposal, is required to request the appropriate amount of his/her salary in the proposal. This would permit the hiring of additional faculty member(s) in the department to insure that the normal teaching activities of the department are not interrupted. However, when the proposal is funded, *a faculty member may not be paid more than 100 percent of his time claimed by the University, and salary supplements for the duration of a grant shall not be allowed.*

4. Summer Compensation

If an investigator is to be compensated from a grant for conducting research during the summer months, the compensation shall not exceed the rates approved by the granting agency or rates of the University.

5. Consultants

Tuskegee University allows the PIs to engage consultants, as necessary, in the implementation of the proposed project. However, *no full-time faculty member may serve as a paid consultant for a research grant held by another faculty member of the University.*

H. Submission of Proposal

The PI shall submit the final documents to the funding agency and provide a copy to the Office of Sponsored Programs. Any revisions/modifications of any parts of the proposals should be submitted to the OSP prior to the submission to the sponsoring agency. **Completed proposals must be submitted to OSP at least three working days prior to the submission deadline.**

I. Submission of Joint Proposals

If a proposal is submitted jointly with another institution, the authorized officials of both institutions must sign the proposal. If Tuskegee University includes another institution as a subcontractor, a statement of work and budget for the subcontract must be signed by appropriate officials of that institution. A letter of support from an authorized official of the partnering institution should be included in the proposal. Certifications required by the sponsor are also required by the partner/collaborator and Tuskegee University and should be submitted to the OSP at the time the final copy of the proposal is submitted.

J. Pre-Award Audits, Negotiations and Adjustments

On occasion, a funding agency will require a pre-award audit or some other type of negotiation prior to approving a proposal and issuing an award notice. Because these actions are considered part of the review process, the PI must work closely with the OSP staff to ensure the timeliness and accuracy of information submitted to the funding agency. Any adjustments made during pre-award audits or negotiations, or at issuing of an award notice, must be submitted to the OSP for processing and approval by appropriate officials at Tuskegee University. Copies of these documents must be on file in the OSP before a budget is set up. The OSP staff, in conjunction with the PI, will handle any negotiations with the funding agency or prime contractor during the pre-award phase. Negotiations may result in changes in personnel (project participation and/or time and effort), budget (matching funds, rate of indirect cost reimbursement, etc.), project period program continuation, or other obligations on behalf of the funding agency, Tuskegee University or other entities including prime contractors or subcontractors involved in the project.

VI. POST-AWARD ADMINISTRATION

Post-award administration encompasses the notification requirements for New awards; budget and agreement review; set up and approval of the BAR (Budget Adjustment Request); preparation and handling of subcontract agreements; spending restricted funds; budget changes and other modifications; and closeout.

A. Notification of Award and Approval of Budget

1. The Office of Sponsored Programs must receive copies of all award documentation (i.e., notice of grant award, letter of agreement, copies of checks/transmittal letter, etc.) whenever an award is made. Upon receipt of the award documentation, the OSP will review the documents, terms and conditions, and other information necessary to process the award.
2. The OSP will prepare the Budget Adjustment Request (BAR) and set up the budget in accordance with the funding agency's approved budget, the terms and conditions of the award, and with University policies for budget preparation. The OSP will forward the BAR and other required documentation to the Budget Officer, who obtains the necessary approvals and assigns the account number. The Office of Grants and Contract Accounting will enter the approved budget into the University's system.
3. When the Budget Office returns the BAR to the OSP, the account information is entered into the OSP's system as well and an Approved Budget Form (ABF) and the terms and conditions of the award are sent to the PI. ***Under normal circumstances, the process for obtaining an approved budget takes approximately ten to fifteen business days.*** Funds cannot be obligated until an approved budget is in the system and the PI is in receipt of all required documents.
4. When necessary, the OSP will hold a conference with all parties to ensure that everyone involved in a newly funded project understands the terms and conditions of the award and their responsibilities.

B. Contract and Subcontract Agreements

The OSP will prepare all contracts and subcontract agreements for externally supported projects according to Tuskegee University Subrecipient Monitoring Policies and Procedures. All contracts and agreements are to be approved by the Vice- President for Business and Fiscal Affairs and the Vice-President for Research and Sponsored Programs.

C. Spending Restricted Funds

1. All expenditure documents on grants and contracts are processed through the Office of Grants and Contract Accounting (OGCA). The OGCA will verify the allowability of the expenditures, availability of funds, and appropriateness of the signatures.
2. Expense documents (i.e., requisitions, check requests, intra-institutional vouchers, etc.) should have the appropriate accounting information and indicate the account number and the object code, as shown on the proposed budget attached to the Approved Budget Form (ABF). The expenditures should be made in accordance with the expense lines approved by the granting agency and with institutional policies and procedures.

3. The required signatures of the principal investigator, dean and/or department head, or general officer, if required, must be on the documents when they are submitted for processing.
4. In order to process the documents as timely as possible, the OGCA require documents to be submitted as follows:
 - a. Request for Prices** (for purchases costing more than \$xxxx)
Original and one complete copy of the request.
 - b. Requisition** (for purchasing supplies, equipment, services, maintenance agreements, payment of subcontracts, etc.) One original set of the requisition form and one copy of supporting documents such as receipts, price quotes, invoices requiring pre-payments, letters of announcements and registration forms.
 - c. Intra-Institutional Voucher** (for making payment to another unit on campus for services, transfer or use of equipment, etc.) One original set of the Intra-Institutional Voucher and one copy of supporting documents such as invoices, work orders, etc.
 - d. Check Request** (for payment of stipends to students, reimbursement of travel expenses, payment of membership dues, etc.) One original set of the white, yellow and pink document, and the original and one copy of any supporting attachments such as receipts, airline tickets, letters of announcements, etc.
 - e. Personnel Action Request Form** (for hiring personnel, summer contracts for faculty and salary raises). One original Personnel Action Form signed by the PI, the Dean/Director and the appropriate general officer must be submitted to the Provost (for faculty appointment) or the Vice President/Director for Human Resources (for Staff appointment), through the OGCA, with all necessary documents.

D. Budget Shifts, Extensions and Modifications

1. Budget Shifts

The Vice President for Research and Sponsored Programs, who serves as Prior Approval Officer (PAO), is responsible for reviewing and approving all requests for budget shifts. The procedure for requesting and approving a budget shifts is as follows:

- a. All requests must be submitted in writing by the PI to the PAO. A copy of the proposal and all grant terms and conditions must be on file in the OSP before budget shifts may be considered.
- b. The request must indicate the account number and the specific lines to be increased, decreased or created in the budget. The request must also include a clear justification as to how the changes will allow the goals and objectives of the project to be accomplished.
- c. If approved, the PAO will forward the request to the Office of Grants and Contracts Accounting for input into the university's accounting system. A copy of the approved request indicating that the data has been entered into the system will be returned to the PI.

Copies of all requests for re-budgeting will be maintained as part of the permanent file.

2. Extensions and Modifications

Requests for extensions and other modifications to grants and contracts should be made in writing through the OSP for submission to the funding agency at least 60 to 90 days prior to the ending date. In cases where expanded authority enables the university to grant extensions, the request should be submitted to the OSP at least 30 days prior to the ending date.

E. Reports

1. Technical reports are the responsibility of the PI and should be prepared in a timely manner and according to the terms and conditions and reporting requirements of the funding agency. Copies of all technical reports should be forwarded to the OSP to be placed in the permanent file.
2. Financial reports are prepared by the Office of Grants and Contracts Accounting.
3. The OSP will maintain a copy of all terminated projects for a period of 10 years.

F. Subrecipient Monitoring Policies and Procedures

1. Purpose: The purpose of this policy is to provide guidance to enable the University to be compliant with OMB Office of Management & Budgeting Circular A-133, specifically with respect to its regulations regarding oversight of subrecipients on federally sponsored programs.

Definition of Subrecipient

A subrecipient is the recipient of a subcontract awarded to a foreign or domestic university or other non-profit organization for the performance of a portion of the work statement covered by a prime agreement which is funded either directly or indirectly with Federal funds. It does not include agreements for consulting services.

2. Pre-Award Subagreement/Subcontracting Procedures:

The determination of the potential need for a subaward to a business/organization is normally made at the proposal stage. The Principal Investigator (PI) identifies the scope of work to be performed by the potential subawardee and must be prepared to justify the selection of the potential subawardee. When selecting a potential subawardee, the PI should be aware of the 'Code of Conduct' section (Subpart C.42) of OMB Circular A-110 (*"Uniform Administrative Requirements for Grants and Agreements for Institutions of Higher Education, Hospitals, and Other Non-Profit Organizations"*) which states the following:

"C.42 Codes of conduct. The recipient shall maintain written standards of conduct governing the performance of its employees engaged in the award and administration of contracts. No employee, officer, or agent shall participate in the selection, award, or administration of a contract supported by Federal funds if a real or apparent conflict of interest would be involved. Such a conflict would arise when the employee, officer, or agent, any member of his or her immediate family, his or her partner, or an organization which employs or is about to employ any of the parties indicated herein, has a financial or other interest in the firm selected for an award. The officers, employees, and agents of the recipient shall neither solicit nor accept gratuities, favors, or anything of monetary value from contractors, or parties to subagreements. However, recipients may set standards for situations in which the financial interest is not substantial or the gift is an unsolicited item of nominal value. The standards of conduct shall provide for disciplinary actions to be applied for violations of such standards by officers, employees, or agents of the recipient."

The Principal Investigator must also consider the University's policy on Conflict of Interest .

Proposals to sponsors which contain subcontracting for scientific collaboration and/or technical services need to include the following information:

- a. A detailed description of the research and/or technical services to be provided by the subcontractor/subrecipient.
- b. A detailed cost budget signed by an official authorized to bind the subcontractor/subrecipient.
- c. Depending on the proposal preparation guidelines of the sponsor, other information may also be required, such as biographical sketches, current and pending support, and available facilities.

Check proposal preparation guidelines and/or special program announcements for sponsor-specific requirements for subawardee. The subawardee documents must be submitted to the Office of Sponsored Programs (OSP).

3. Post-Award Subcontracting Procedures

If the proposal is funded and the proposed subcontracting approved by the sponsoring agency, the Office of Sponsored Programs (OSP) prepares a subagreement/subcontract in accordance with the sponsoring agency requirements.

Subagreement Setup:

- a. Tuskegee University Office of Sponsored Programs (OSP) will process the prime award and have an account number assigned. The subrecipients are then identified.
- b. Once OSP assembles all applicable documents, a subagreement is written and sent to Tuskegee University Principal Investigator (PI) for review/approval before sending to the Vice President for Business and Fiscal Affairs (VPBFA) for signature. The subagreement will define the terms and conditions with which the subrecipient must abide. The subagreement will also include a copy of TU's prime award, subrecipient's scope of work, subrecipient's budget, and the close-out documents.
- c. When OSP receives the signed subagreement from the Vice President for Business and Fiscal Affairs, two (2) partially executed copies of the subagreement are forwarded to the subrecipient to obtain their organization's authorized signature along with the subrecipient questionnaire. Subrecipients are requested to return one copy to OSP.
- d. After receipt of the fully executed subagreement (all parties have signed), a copy is forwarded to the Office of Grants and Contracts Accounting. The subagreement will not be considered fully executed or legally binding until all signatures are in place.
- e. OSP obtains a copy of the subcontractor's most recent A-133 financial audit and compliance report. The Office of Grants and Contracts Accounting only reimburses a subrecipient after these reports are on file.
- f. The subrecipient may now begin the project.

Payment:

- a. Subrecipient will mail invoices to the Office of Grants and Contracts Accounting as explained in the subagreement. The PI will review and, (a) contact subrecipient with questions; and/or, (b) process for payment. Grants and Contracts Accounting will confirm payment with PI/Department Administrator. Payment may be withheld until receipt of cost-share documentation. The subrecipient retains all documentation of expenses- only a detailed invoice is required by TU.
- b. The PI should forward invoices to Grants and Contracts Accounting for approval and payment **only** if the subrecipient:
 - meets the expectations outlined in the subagreement's scope of work and budget;
 - has submitted required technical reports; and
 - has submitted the cost-sharing statement (if applicable).
- c. To ensure control of the funds, a separate line item is set up in Colleague for the subagreement/ subcontract.

Technical Reports:

1. Technical reports must be submitted in accordance with the subagreement and submitted to the PI for approval. The PI retains these reports in the departmental file.
2. During the life of the project, the PI is responsible for the technical monitoring and control (i.e. project work is being completed in a timely and adequate manner, goals are being achieved).

Modifications/Amendments:

1. Should changes need to be made to the original subagreement, OSP will obtain the PI's approval of requested changes and issue a subagreement modification.
2. The subagreement modification will only address those portions of the original subagreement that will be changed. All other terms and conditions of the subagreement will remain in effect and unchanged.

Compliance Responsibilities of the University:

The University is responsible for ensuring that subrecipients with Federal funding in excess of \$500,000 per year comply with OMB Circular A-133. The specific oversight responsibilities include:

1. Ensuring that the subrecipient is in compliance with A-133;
2. Ensuring that appropriate corrective action is taken within six (6) months after receipt of the subrecipient audit report in instance of noncompliance with Federal laws and regulations;
3. Considering whether subrecipient audits necessitate adjustment of the University's own records;
4. Requiring that subrecipients permit independent auditors to have access to the records and financial statements as necessary in order for the University to comply with A-133; and
5. Providing the Catalog of Federal Domestic Assistance (CFDA) number to the subrecipient when issuing a subagreement/subcontract or subsequent amendment/modification.

Oversight Responsibilities:

The following departments are responsible for the monitoring of subrecipients and the receipt of subrecipient audit reports.

Sponsored Programs is responsible for (1) the development of the subagreement/subcontract for inclusion of all applicable OMB requirements, disclosures, and for obtaining the proper signatures on the subaward; (2) ensuring that a certification or A-133 audit report is submitted annually; and (3) send letters and make follow-up phone calls requesting certifications or A-133 reports not received for the prior fiscal year, unless the subrecipient responded that they have a fiscal year end date other than June 30. The audit report is due nine months after the end of the audit period (typically the end of an organization's fiscal year).

Principal Investigators/Project Directors are responsible for monitoring periodic progress reports and invoices from the subrecipients for compliance with the terms and conditions of the subagreement/subcontract. Invoices should be checked to ensure that they are reflective of progress. Non-compliance with technical reporting requirements or dissatisfaction with level of subrecipient progress should be reported immediately to the Vice President for Research and Sponsored Programs and the Office of Grants and Contracts Accounting.

The **Office of Grants and Contracts Accounting** is responsible for reviewing all fiscal matters and correspondence concerning audit compliance. In instances of noncompliance, Grants and Contracts will seek to obtain assurance from the subrecipient that corrective action efforts have taken place and shall review management's corrective action plan.

Close-out:

Upon completion of the subagreement, the subrecipient must follow the close-out procedures defined in the subagreement. The final invoice and close-out documents must be sent to Grants and Contracts Accounting. Final payment may be withheld until receipt of cost-share and/or close-out documentation.

G. Intellectual Property

University faculty, staff and students are responsible for reporting any inventions and other creations to the Office of Grantsmanship and Compliance (OGC) on the Intellectual Property Disclosure Form. The inventor must execute all documents necessary to secure the University's full rights to the invention. The inventor will share in any royalties received by the University. Currently, 50 percent of the net proceeds received by the University will be given to the inventor. The Intellectual Property Committee (IPC) reviews the disclosure forms and feedback may be provided to applicants. The IPC makes recommendations to the Vice President for Research and Sponsored Programs on the disposition of applicant's disclosure. The Vice President for Research and Sponsored Programs moves the process to the next level and the patent application will be filed. Details on Intellectual Property can be found on the Research web page.

VII. APPENDICES

- A. Internal Proposal Routing Form (IPRF)
- B. Sample Budget
- C. Cover Page for Proposals to Federal Agencies
- D. Cover Page for Proposals to Industry

Tuskegee University Office of Sponsored Programs Internal Proposal Routing Form				Submit TYPED to the OSP with completed proposal, budget, and sponsor/agency guidelines				
Proposal Title:								
Principal Investigator:				Co-Principal Investigator:				
Department:				Department:				
Campus Address:				Co-Principal Investigator:				
Campus Phone:				Department:				
Campus Fax:				Co-Principal Investigator:				
E-mail Address:				Department:				
Project Type: ☐ Instruction ☐ Research ☐ Public Service ☐ Student Services ☐ Fin. Aid/ Scholarships		Award Term: ☐ New ☐ Continuation ☐ Competing Renewal ☐ Supplement ☐ Resubmission		Award Type: ☐ Grant ☐ Contract ☐ Subcontract ☐ MOA/MOU		CFDA: 		
						Project Involves: ☐ Human Subjects ☐ Animal Subjects ☐ Biohazards Protocol consent form must be routed to an IRB		
Sponsor/Funding Agency:						Sponsor Type: ☐ Federal ☐ State ☐ Local Government ☐ Private ☐ International ☐ Federal Flow-thru ☐ Appropriation		
Program to which you are applying:								
Sponsor Contact Name & Title:								
Sponsor Mailing Address:								
Sponsor Phone: _____ Fax: _____								
Is electronic submission required? ☐ Yes ☐ No								
Deadline:		Receipt date? ☐		Postmark? ☐				
PROJECT BUDGET SUMMARY: (Please enter all amounts to the nearest \$)								
Agency Funds Total:				Indirect Costs:		Begin date:		
Cash Cost Sharing Total:				Indirect Cost Sharing:		End date:		
% Cost Sharing Required:				In-Kind Cost Sharing:				
Are subgrants included in budget? ☐ Yes ☐ No				If yes, list number of subgrants included here: _____				
TU Cash Cost Sharing: (Please enter all amounts to the nearest \$)								
Department/Unit Name	GL Account No.	Object Code	TU Cost Sharing	YR 1	YR 2	YR3	YR 4	FR 5
			\$0					
			\$0					
			\$0					
			\$0					
Direct Costs			\$0	\$0	\$0	\$0	\$0	\$0
Indirect Costs			\$0					
Total Cost Sharing			\$0	\$0	\$0	\$0	\$0	\$0
Time and Effort (Use current salary/fringes) on Project								
Name	Academic Yr or Summer?	Time and Effort	Annual Salary	Requested Salary	Subtotal	Current Fringes	Total Salary	
					\$0	19.3%	\$0	
					\$0	19.3%	\$0	
					\$0	19.3%	\$0	
					\$0	19.3%	\$0	
CONFLICT OF INTEREST CERTIFICATION: I have read and understand the TU Conflict of Interest Policy ☐ Yes ☐ No								
Will/do you or any member of your household or grant staff benefit in cash exceeding \$10,000 a year from, or own more than 5% of the voting stock or controlling interest in the above sponsor? ☐ Yes ☐ No								
Are you or any member of your household or grant staff affiliated with the above sponsor or with an external agency in any way that will hinder your abilities to fulfill obligations to TU, its students or your colleagues? ☐ Yes ☐ No (If "yes" to either or both, please explain on an attached sheet).								
SIGNATURES: Additional signature is requested for those units committing cost sharing.[Provost:]								
Recommended	Date	OSP Review and Approval				Date		
Principal Investigator:		Additional Review Required after Submission ☐						
Department Head:		V.P. University Advancement						
Dean/Director:		VP for Research:						
		OSP No:						
		ID/Identifier:						

Sample Budget (First Year)

A. Salaries			
John Doe, PI, 3 months during academic year			\$18,000
@ \$6,000/month			
2 summer months @ \$6,000/month			12,000
Technical staff (to be named), full-time			45,000
Secretarial support, 3 months/year, @ \$1500/month			4,500
Total Salaries			\$79,500
B. Fringe Benefits (19.5% of salaries)			\$15,503
C. Student Wages			\$13,460
One graduate student @ \$7.00/hr, 1280 hours	\$8,960		
One under grad. Student \$ \$6.00/hr, 750 hours	4,500		
D. Equipment			\$35,000
(Write description, vendor, etc.)			
E. Travel			\$9,500
Domestic travel			
Two trips @ \$2,500/trip	\$5,000		
International Travel			
One trip @ \$4,500/trip	4,500		
F. Participant Support Costs			\$28,000
Tuition and books for one graduate student	\$16,000		
Summer stipend for three high school students	4,000		
@ \$2,000/student			
Summer stipend for two middle school teachers	8,000		
@ \$4,000/teacher			
G. Materials and Supplies			\$15,000
(Write details of Materials and supplies)			
H. Sub-Award			\$40,000
(Attach a detailed separate budget)			
I. Total Direct Costs			\$235,963
J. Indirect Cost			\$74,243
In-house research (47% Of A, B, C, E, and G)	\$62, 493		
Sub-Award (47% on first \$25,000, first yr only)	11,750		
K. Total Costs			\$310,206

A Proposal

to

Name and Complete Address
of the **Federal Agency**

for

Complete Title of the Proposal

by

Names and Title of Proposers with the P.I.'s name first

Tuskegee University
Tuskegee, AL 36088

Dean/Director

Vice-President
Research & Sponsored Program

President

Date _____

This is a sample cover page for proposals to federal agencies. In case of proposals on behalf of more than one college all appropriate Deans must sign the cover page. Please delete this block from your proposal.

A Proposal

to

Name and Complete Address
of the **Foundation/Company**

for

Complete Title of the Proposal

by

Names and Title of Proposers with the P.I.'s name first

Tuskegee University
Tuskegee, AL 36088

Dean/Director

Vice-President
Research & Sponsored Program

Vice President
University Advancement

Date _____

This is a sample cover page for proposals to foundations and companies. In case of proposals on behalf of more than one college all appropriate Deans must sign the cover page. Please delete this block from your proposal.

Contact Information

SPONSORED PROGRAMS



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ACCOUNTS PAYABLE



Venessa Pinkard
Accounts Payable Supervisor
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For additional information, contact:
DIVISION OF RESEARCH AND SPONSORED PROGRAMS
Room 100, Chappie James Center
Tuskegee University, Tuskegee, AL 36088
Phone: 334-727-8970 | Fax: 334-724-4224
email: jeelanis@tuskegee.edu

Tuskegee University is accredited by the Commission on Colleges of the Southern Association of Colleges and Schools to award doctoral, professional, master's and bachelor's degrees. Contact the Commission on Colleges at 1866 Southern Lane, Decatur, Georgia 30033-4097 or call 404-679-4500 for questions about the accreditation of Tuskegee University.