

Northeastern State University

Research & Sponsored Programs

Guide to the Preparation of Proposals:

Grants, Contracts, Letters of Agreement, Letters of Support,
Memorandums of Understanding

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SECTION I – GENERAL INFORMATION

This guide is intended to assist faculty and staff members in the preparation of grant proposals, contracts, letters of agreement, letters of support, and memorandums of understanding (referred to collectively as “proposals” in this guide).

A. REVIEW OF PROPOSALS

All proposals submitted through NSU will be reviewed for appropriateness, desirability, and consistency with the mission of the University. The mission and goals are as follows (from the Faculty Handbook, 2004):

Northeastern University is a comprehensive regional university governed by the Board of Regents of Oklahoma Colleges within a state system coordinated by the Oklahoma Regents for Higher Education. Its mission is to provide undergraduate and graduate education leading to bachelor’s degrees, master’s degrees in selected areas, and a doctoral degree in Optometry. In fulfilling this mission the University commits itself to excellence in instruction, to appropriate basic and applied research, to educational outreach and service, to cultural activities that enhance the quality of life in the region and state. The University’s contemporary mission reflects the high aspirations and commitment to higher education made in 1846 by the founders of the original Cherokee seminaries.

To implement Northeastern State University’s mission of excellence in teaching, research and service, the following purposes provide direction for planning, administration and programming:

- 1. Provide flexible, comprehensive, and relevant undergraduate and graduate programs.*
- 2. Promote and support comprehensive academic programs that stimulate students to seek knowledge, think analytically, and communicate their thoughts effectively.*
- 3. Maintain and support a university community committed to providing educational programs that enhance the quality and vitality of student experiences through effective teaching, research, continuing education, and public service.*
- 4. Provide multifaceted opportunities for personal and social development through effective student support services.*
- 5. Provide cultural and extracurricular activities that foster informed judgment, aesthetic sensibility, and a sensitivity for ethnic and cultural diversity and a sense of historic continuity.*
- 6. Offer programs which prepare students for leadership and decision making roles in a technologically and globally oriented society, and which enable students to develop*

an awareness and appreciation for local, state, national, and international perspectives.

In addition, the following items will be considered:

- Protection of the rights, welfare, and personal privacy of human subjects (presided over by the NSU Institutional Review Board).
- Compliance with all appropriate regulations for the humane treatment of any live, vertebrate animal used or intended for use in research experimentation, testing, training, or related purposes (presided over by the NSU Animal Welfare Committee).
- Commitments of faculty and staff effort and the possible effects of such commitments on the teaching and other obligations of the personnel involved.
- Salary arrangements, for example, provisions for summer salary, add pay or release time.
- Requirements for equipment, facilities, and other special arrangements.
- Verification of all costs, including employee benefits and indirect costs; that resource needs are realistically estimated and properly stated; that items included are consistent with the policies of the University and the funding agency; and that proposed matching funds are available and can be satisfactorily documented.

B. APPROVAL OF PROPOSALS

Proposals are routed and approved within the University using the NSU Routing Form and Matching Funds Form (if applicable). See Appendix for copies of these forms. The following process is followed to route and submit the proposal:

1. Upon completion of the proposal, a NSU Routing Form and Matching Funds Form (if applicable) must be completed by the Research & Sponsored Programs Office. The Principle Investigator will need to sign this form to begin the routing process. This needs to be completed no later than 10 business days prior to the deadline.
2. The Research & Sponsored Programs Office will complete the routing process. The proposal will be reviewed and the routing sheet signed by: the Principle Investigator, the Dean(s) of the appropriate college, Research & Sponsored Programs, Research Administration, the Vice President for Academic Affairs, Budget Office, the Vice President for Administration, and the President.
3. The Research & Sponsored Programs Office will make the required number of copies and mail or electronically submit the proposal to the funding agency.
4. A completed, signed copy of the routing sheet and proposal will be sent to the Principle Investigator and the appropriate Dean through campus mail.

C. ASSISTANCE IN PROPOSAL PREPARATION

As soon as a funding source is identified, contact the Research & Sponsored Programs Office to develop a timeline for the development of the proposal. See Appendix for the “Timeline for Proposal Development”. A hard copy or a web address for the funding announcement must be provided. In the case of contracts, letters of agreement, letter of support, or memorandums of

understanding, provide in writing what services NSU will provide and what the other party or parties will provide for the project or collaboration.

The Research & Sponsored Programs Office can assist with the preparation of proposals, particularly with budget preparation including indirect costs, fringe benefits, release time, and add pay calculations. Other services provided by the Research & Sponsored Programs Office are:

- Customizing funding alerts through the Community of Science funding alert system.
- Identifying and setting up meetings for collaborations between other faculty members, other academic units, other institutions, and other appropriate entities.
- Assisting with proposal guidelines and communication with the sponsoring agency if required.
- Providing general documentation regarding NSU facts and figures, assurances, and other statistical information.

D. DEADLINES FOR PROPOSALS

To allow for proper review and approval, all proposals are due at least 10 days prior to the funding deadline. Every effort will be made by the Research & Sponsored Programs Office to ensure that your proposal is submitted in a timely and professional manner. Without proper lead time, however, it is not guaranteed that your proposal will be approved by all responsible University officials.. Without proper approval, no proposals will be submitted. See Appendix for the “Checklist for Proposal Development.”

SECTION II – PREPARATION OF PROPOSALS

A. FORM FOR PROPOSALS

Some sponsors, such as the National Science Foundation and the Oklahoma Arts Council, provide very specific forms and instructions for proposals. Many are also moving to an electronic format. It is important that whatever guidelines are provided from the funding source be followed exactly as requested. The Research & Sponsored Programs Office can assist you in locating forms or structuring your proposal to meet these guidelines.

B. BUDGET DEVELOPMENT

A primary responsibility of the Research & Sponsored Programs Office is to assist in the development of proposal budgets. For general help, see Appendix, “Common Information Needed for Proposals.” Some specific budget items are discussed in Section III. Always follow the guidelines provided by the funding agency.

SECTION III – BUDGET INFORMATION

A. SALARIES

Typically, the salary section of the budget should include the names and titles of all personnel who will be working on the project along with the percentage of time each will devote to the project and the salary or percentage of salary requested. All salaries should be verified by Payroll and include fringe benefits and indirect costs.

B. FRINGE BENEFITS

Fringe benefits must be included in all salary requests for NSU employees. Generally, the rates are as follows:

- Faculty and staff: 36%
- Part time and graduate students: 15%
- Undergraduate students: 3.5%

Always confirm fringe benefits rates with the Research and Sponsored Programs Office.

C. RELEASE TIME

Release time (or reassigned time) for Faculty may be funded through a grant proposal as outlined in the Faculty Handbook, Section 4.2:

The University may grant reassigned time from normal teaching responsibilities (described in 4.1 of the Handbook) to faculty for a specified time period to pursue approved academic projects. Such reassigned time must be used to engage in specialized scholarly and academic activity (e.g., grant administration, research), or cultural experience. Northeastern views reassigned time from teaching responsibilities as an investment with the expectation that the teaching reduction will significantly enhance the faculty member's capacity to contribute to the objectives of the University. Reassigned time approval shall be consistent with the appropriate budgetary and faculty arrangements so as not to disrupt the instructional program or other vital operations of the University.

Examples of reassigned time from instructional responsibilities include: (1) receiving internal funds through the Faculty Research Committee to cover instructional/clinical replacement for a class/lab, permitting a faculty member to pursue approved projects; (2) administration or involvement in an externally-funded grant/contract provided that the salary percentage is provided by the grant, equal to the academic load reduction (e.g., for a standard 12-hour load, 25% plus benefits for a 3-hr course equivalency reduction); and (3) serving in positions involving specified assignments essential to the instructional program of the University, such as department chair.

Faculty release time allowed to be funded through grants is based on the following calculation: Total ten month contract base pay for the faculty member divided by the standard number of hours taught per ten month contract times the number of release time hours requested. These funds may be used to hire adjunct faculty to replace classroom time.

All release time requests must be pre-approved by the Dean of the faculty member's college. Any release time request over 25% must be approved by the Vice President for Academic Affairs.

D. ADD PAY

Add pay is permitted for the principle investigator, project director, or appropriate staff member if allowed by the funding agency. Salary additions will be allowed on a scale of up to 25% per academic year of the faculty ten month contract base salary. The grant or contract must also cover the related fringe benefits. Twelve month faculty or staff may be eligible for add pay for grant participation when the responsibilities assigned through the grant exceed normal duties and obligations of the full-time position.

All add pays must be pre-approved by the Dean of the faculty member's college and the Vice President for Academic Affairs. During the routing process, the add pay will also be approved by Research Administration and the Vice President of Administration.

E. SUMMER SALARY

Summer salary is permitted for the principle investigator, project director, or appropriate staff member if allowed by the funding agency. The grant or contract must also cover the related fringe benefits. Summer grant activity is not included in the 25% add-pay academic salary cap.

F. STIPENDS

Stipends are paid for participants of a program, workshop, or approved grant activity. Presenters, however, can not receive stipends. Fringe benefits should not be calculated for stipends and they should not be included in the indirect cost calculations if the negotiated rate is used. If the negotiated rate is not used, stipends should be included in any other indirect cost rate calculation based on a percentage of direct costs. To present, teach a workshop or class, or any other similar activity, an add pay must be used. There is no designated limit on the stipend amount.

The stipend policy is as follows:

A stipend is an allowance paid to an individual for participation in a University sponsored educational program or activity. A stipend will be paid to all participants (faculty and teachers included) that attend the program with the sole intent and purpose of being a student. Should a participant be requested to present or lecture during the program, it must be directly related to the learning experience and maintained as a student function.

G. HONORARIUMS

Honorariums are given in return for services by those who are not employees of the University or any other state agency. Fringe benefits should not be calculated for honorariums and they

should not be included in the indirect cost calculations if the negotiated rate is used. If the negotiated rate is not used, honorariums should be included in any other indirect cost rate calculation based on a percentage of direct costs.

See the NSU Manual of Administrative Procedures, 2-40, which states the following concerning payment of honorariums:

*Honorarium – An honorarium is paid to an individual for professional services of a consulting, artistic or entertainment nature. Generally, the individual should be an authority or recognized expert in the field of endeavor for which retained, and the service should be of a non-recurring nature. To qualify, the individual must not have been on the University payroll or of any other Oklahoma State Agency at the time the services are provided (see **Honorarium Payments**, page 2-32).*

H. CONSULTANTS

Consultants include any person who is not an NSU employee that will work on the project. Fringe benefits should not be calculated for consultants and they should not be included in the indirect cost calculations if the negotiated rate is used. If the negotiated rate is not used, consultant fees should be included in any other indirect cost rate calculation based on a percentage of direct costs.

See the NSU Manual of Administrative Procedures, 2-40, which states the following concerning contractual payments:

Contractual – A contractual payment is made through the University Purchasing System when the individual:

- *is engaged to complete a specific item or project,*
- *considers this type of work as their regular business profession,*
- *works for multiple people on a routine basis,*
- *is not a current NSU employee,*
- *provides the University with an invoice detailing the item(s) or service(s) rendered*

I. INDIRECT (F&A) COSTS

University expenditures for departmental administration; for building operation and maintenance, e.g., heating, lighting, electricity, and janitorial services; for general expenses, e.g., telephone, mail service, and services of administrative offices such as Purchasing, Accounting, Payroll, and Personnel Offices, are included in indirect costs. F&A costs are synonymous with indirect costs.

Whenever possible, proposals should request full reimbursement of indirect costs. When a proposal provides for less than full indirect cost reimbursement, the circumstances should be discussed in advance with the Research & Sponsored Programs Office. The Research &

Sponsored Programs Office is available to determine what the funding agency will allow and to help compute the appropriate rate. In general, programs are computed using the negotiated on-campus rate below.

NSU's Federal Negotiated Rate:

On-campus: 48.0% of salaries and wages (not including fringe)

Off-campus: 14.0% of salaries and wages (not including fringe)

When not using the negotiated rate, a percentage of all direct costs is used. This is most often determined by the funding agency in the form of a cap on indirect costs. In these cases, however, student scholarships must be excluded from any indirect cost calculations.

J. MATCHING AND IN-KIND

All matching and in-kind contributions must be approved and documented on the NSU Matching Form. See Appendix 1. The Research & Sponsored Programs Office will assist in this process, but all approvals should be facilitated by the Principle Investigator in conjunction with the appropriate dean or university official. An account number for cash matches is required.

SECTION IV – AWARD NOTIFICATION AND ADMINISTRATION

A. FUNDING NOTIFICATION

After a project receives funding, the Primary Investigator will receive notification from the Research Administration Office. A meeting will be set up between the Primary Investigator, Research & Sponsored Programs, and Research Administration.

B. RESEARCH ADMINISTRATION

After the project receives funding, the Office of Research Administration will assume control over the grant award by administering the grant and assisting the Primary Investigator with expenditures, reporting, close out, and all other post-award issues.

SECTION V – OTHER ACTIVITIES OF RESEARCH & SPONSORED PROGRAMS

A. COMMUNITY OF SCIENCE AND FUNDING ALERTS

The Research & Sponsored Programs Office provides several tools for faculty and staff to find funding opportunities. Along with print and online funding announcements, the Research & Sponsored Programs Office maintains and supports the NSU Community of Science expertise and funding alert service.

Community of Science, Inc. (COS) is the leading Internet site for the global R&D community. COS brings together the world's most prominent scientists and researchers at universities, professional societies, corporations and government agencies worldwide. COS provides tools

and services that enable these professional to communicate, exchange information, and find people and technologies that are important to their work. The services available include:

- **COS Expertise** – is the largest Web network of its kind comprised of detailed professional information for over 480,000 scientists and scholars worldwide. Built in collaboration with more than 260 leading research universities, government agencies, and other R&D organization from around the world, COS Expertise continues to expand internationally.

The profiles in COS Expertise, which cover all disciplines, include contact information, positions held, publications, patents, funding received, and a first-person narrative describing current research activities and expertise. COS Expertise profiles also include direct links to e-mail, a personal home page, patent abstracts, publication abstracts, and available research grants.

All NSU faculty can create a personalized expertise profile. For help contact the Research & Sponsored Programs Office.

- **COS Funding Opportunities** – is the largest and most comprehensive research funding database on the Web. Updated daily, COS Funding Opportunities includes more than 22,000 grants from around the world.

The COS Funding Opportunities database can be accessed from any computer on campus. For help contact the Research & Sponsored Programs Office.

- **COS Funding Alert** – is a weekly notification service of funding information customized to each faculty member. The recipient can choose to view the weekly information in an e-mail as well as on his or her personalized COS Workbench.

The funding information is selected from the previous week's added and updated information in the COS Funding Opportunities database. Each funding opportunity listed in COS Funding Alert contains basic information such as title, sponsor, deadline, and amount, with a link to the full opportunity information.

All NSU faculty have a personalized (default: by discipline) expertise profile. For help contact the Research & Sponsored Programs Office.

B. RESEARCH DAY

The Research & Sponsored Programs Office coordinates NSU's participation in Oklahoma Research Day. Research Day is held at the University of Central Oklahoma each Fall. Research Day is an opportunity for students and faculty to share the results of their research projects with others in the State and participate in an awards banquet. Abstracts are submitted and posters are presented in the following fields:

ARTS:
Art & Design

Music
Theater & Dance

BUSINESS:

Accounting
Economics
Finance
Business Communication
Information Systems
Management
Marketing

EDUCATION:

Curriculum & Instruction
Human Environmental Services
Kinesiology, Health Studies & Special Services
Professional Teacher Education
Psychology

LIBERAL ARTS:

Communication
English
History
Humanities
Philosophy
Political Science
Sociology

SCIENCES:

Mathematics & Statistics
Biology
Chemistry
Computer Science
Physics & Engineering

Contact the Research & Sponsored Programs Office for more information.

C. GRANT WORKSHOPS

The Research & Sponsored Programs Office sponsors grant writing workshops for faculty and staff each fall and spring. Contact the Research & Sponsored Programs Office for more information.

APPENDIX

Internal Use Only

P# _____

Date Recvd: _____

F# _____

Date Mailed/Courier: _____

Proposal Review Form

Due Date:	Proposal Name:
College or Department:	Funding Agency:
Start Date:	End Date:
CFDA#: Other ID#:	Proposal Action: <input type="checkbox"/> New <input type="checkbox"/> Continuation <input type="checkbox"/> Other (Please Specify)

Purpose of Grant:
 Research Instructional Student Support Equipment Public Service Other (Please specify)

INVESTIGATOR INFORMATION

Principal Investigator or Project Director:

Total Grantor Request:	Current Annual Grantor Budget:
From NSU (If Applicable)	From NSU (If Applicable)
Cash Match: \$	Cash Match: \$
In-Kind:	In-Kind:
Cash or In-Kind from Other Sources:	Cash or In-Kind from Other Sources:
Identify Other Source(s) of Match:	
Total Project Budget:	Total Project Budget:

Is Release Time Requested in the proposal? Yes No Is Add Pay requested in the proposal? Yes No
Is Summer Salary Requested in the proposal? Yes No

*If Cash Match or In-Kind are Requested, an Authorization for Matching Funds Form must be Attached. Is There an Authorization for Matching Funds Form Attached? Yes No

A Budget Narrative Must Be Attached To This Document. Is There A Budget Narrative Attached? Yes No

Does this proposal involve human or animal subjects? Yes No
Date approved by IRB/IACUC: _____ Number: _____

REQUIRED SIGNATURES

(1) Principal Investigator or Project Director:	(2) Dean/Department Head:
(3) Pre-Award Department:	(4) Post-Award Department:
(5) Vice President for Academic Affairs:	(6) Vice President for Administration:
(7) Legal (if applicable):	(8) President:

Does This Proposal Obligate NSU To Continue The Project After Agency Funding Ceases? Yes No

The University reserves the right to withdraw proposals not in compliance with the mission of Northeastern State University

Authorization for Matching Funds	
Proposal Title:	Principal Investigator or Project Director:
Funding Agency:	Budget Year:
CASH MATCH INFORMATION -Actual cash dollars being allocated to this project.	
Explanation:	
Salaries: \$	Cost Center(s) to be used for Cash Match:
Fringe: \$	
Supplies: \$	
Equipment:	
Travel: \$	
Other: \$	Verified and Flagged? <input type="checkbox"/> Yes <input type="checkbox"/> No Initials:
Total Cash Match: \$	
IN-KIND INFORMATION - Existing items being donated to this project.	
Explanation: Facilities and organization resources	
Salaries: \$	Calculation:
Fringe: \$	
Supplies: \$	
Equipment: \$	
Travel: \$	
Other: \$	
Total In-Kind: \$	
APPROVAL	
Dean/Department Head Signature:	
Vice President for Academic Affairs Signature:	
Vice President for Administration:	

Northeastern State University

Research & Sponsored Programs

TIMELINE FOR PROPOSAL DEVELOPMENT

DATE

- _____ Meet with Kate Felzien in the Office of Research & Sponsored Programs to establish a timeline and discuss any special needs for the project. **Provide guidelines or RFP.**
- _____ In the case of contracts, letters of agreement, or memorandums of understanding, contact Kate Felzien in the Office of Research & Sponsored Programs to discuss the project. **Have ready and document in writing what NSU will provide and what the other party will provide for the project or collaboration.**
- _____ Inform the Dean of project and project timeline.
- _____ Meet with collaborators and define duties (if applicable).
- _____ Provide budget draft to Kate Felzien in the Office of Research & Sponsored Programs.
- _____ Provide draft of project to Kate Felzien in the Office of Research & Sponsored Programs.
- _____ Submit draft of project to IRB/IACUC for approval (if applicable).
- _____ Make any modification and submit final project to Kate Felzien in the Office of Research & Sponsored Programs. **This needs to be completed no later than 10 business days prior to the deadline.**
- _____ Sign NSU Routing Form and Matching Funds Form (if applicable). **This needs to be completed no later than 10 business days prior to the deadline.**
- _____ Upon award of funds, attend Pre-/Post-Award Meeting to discuss availability of funds and clarify any budgetary issues.

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Northeastern State University

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CHECKLIST FOR PROPOSAL DEVELOPMENT

_____ As soon as a funding source is identified, contact Kate Felzien in the Office of Research & Sponsored Programs at Ext. 2243 to develop a timeline for the development of the proposal. **Provide a hard copy or a web address for the funding announcement.**

In the case of contracts, letters of agreement, letter of support, or memorandums of understanding, contact Kate Felzien in the Office of Research & Sponsored Programs to discuss the project. **Have ready and document in writing what NSU will provide and what the other party will provide for the project or collaboration.**

_____ Contact the Dean of your college and inform him/her of your intent to apply for funding or enter into a collaboration through a contract, letter of agreement, letter of support, or memorandum of understanding.

_____ **Work closely with the Office of Research & Sponsored Programs to prepare your grant application, contract, letter of agreement, letter of support, or memorandum of understanding.** Services offered include:

- **Assisting in the preparation of the budget and budget narrative.**
- Customizing funding alerts through the Community of Science funding alert system.
- Identifying and setting up meetings for collaborations between other faculty members, other departments, other universities, and other appropriate entities.
- Assisting with proposal guidelines and communication with the sponsoring agency if required.
- Providing general documentation regarding NSU facts and figures, assurances, and other statistical information.

_____ Submit draft of project to IRB/IACUC for approval (if applicable).

Upon completion of your proposal, a NSU Routing Form and Matching Funds Form (if applicable) must be completed by the Office of Research & Sponsored Programs. You will need to sign this form to begin the routing process. This needs to be completed no later than 10 business days prior to the deadline.

The Office of Research & Sponsored Programs will complete the routing process. The proposal will be reviewed and the routing sheet signed by: the Principle Investigator, the Dean(s) of the appropriate college, Research & Sponsored Programs, Research Administration, the Vice President of Academic Affairs, Budget Office, the Vice President of Administration, and the President.

The Office of Research & Sponsored Programs will make the required number of copies and mail or electronically submit the grant.

A completed, signed copy of the routing sheet and proposal will be sent to the Principle Investigator and the appropriate Dean through campus mail.

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Northeastern State University
Research & Sponsored Programs

COMMON INFORMATION NEEDED FOR PROPOSALS

Mailing Address: Northeastern State University
600 North Grand Avenue
Tahlequah, OK 74464

DUNS Number: 072400500

FEI Number: 736017987
Agency: 485

Fringe Benefit Rate: 36% (Call the Office of Research & Sponsored Programs to confirm)
15% Part time and Graduate Students
3.5% Undergraduate Students

Indirect Cost Rate: 48% of salaries and wages (not including fringe)

IRB/IACUC Contact: Dr. Alexandria Miller, BT 210A, Ext. 2965, millerak@nsuok.edu

**Faculty Research
Committee Contact:** Dr. Jo Ann Starkweather, BT 221B, Ext. 2938, starkwea@nsuok.edu
Dr. Janet Bahr, Assoc. VP, Academic Affairs, A119, Ext. 2060, bahr@nsuok.edu

**Authorized
Organizational
Representative:** President Larry Williams

Other: Please contact:

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