Office of Research and Sponsored Programs:
Policies & Procedures for Applying for and Managing Grants

University Policies and Procedures for Requesting, Accepting, and Administering Grants, Contracts, and Cooperative Agreements

December 26, 2014 (Updated 03/19/2021)

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1.0. OVERVIEW

1.1. Purpose and Scope

7KH 5HVHDUFK DQG 6SRQVRUHG 3URJUDPV 0DQXDO FRQWDLQV JXLGHOLQHV UHJDUGLQJ SURJUDPV DQG SURMHFWV VSRQVRUHG FRRUDDJUHH &RQWULEXRRQHDQGLLQVLQGHXWRLGHFRSWKLV PDQXDO

1.2. Glossary of Terms Commonly Used in this Manual

7KLV VURYLGHV LWLRQVPRXOLQWKLV 5DOGZLDQG GHILQLWLRQV IRU PRUH VSHFLDOL]HG WHUPV LQ WKH VHFWLRQ

Application or Proposal

7KH DSSOLFDWLRQ RIWHQ WLPHV UHIHUUHG WR DV WKH SURS VXEPLWWHG VRUSHQ XQSSOLFDWLRQ DWRZRUNDG ROODU UHTXHVWKRXRSRVEXGJHWHFHVVWLPWHWSLEQFRUSRQWHG VSRQVRUHG RU FRQGLWLRQ &RQHTXLQVHVLWXWLRQSURYDO RI DSSOLFDWLRQV DQG SURSRVDOV EHIRUH VXEPLVVLRQ WR D VSR

Notice of Award, Notice of Grant Award

7KH 1RWLFH RI $ZDUG RU 1RWLFH RI *UDQW $ZDUG LV D OHJDO WKDWFULEHV WKH WHUPV DQG FRQGLWLRQV RI DQ DZDUG 6RPH $XWKRULLHGDQGWXURWLIZDUGKLRWKSRQVRUWKHQ[WHQGLWXUH RI IXQGV DV QRWLFH WKDW WZHUQVWHWXWLRQRI5HVHDUFKHQ 3URJUDPV 2563 HQGRUVHPHQW LV UHTXLUHG LQ ERWK FDVHV ZLWKLQ RQH ZHHN RI UHFHLYLQJ WKZDUGWLFHDQGWLRQPHZHL UHSUWDWLQYHV 7KLV LQFOXGHV WKH 3ULQFLSDO ,QYHVWLJDWRU HQVXUH UHJXODWRU\ DQG ILQDQFLDO REOLJDWLRQV DUH XQGHU LQFOXGH +XPDQ 5HVRXUFHV GHSDUWWKHWVFGHSHQGLQJRQWLQ SURMHFW

1.3. Authorities and Responsibilities

6 S R Q V R U H G Z D W H V D O W K H Q L Y H U V R L W \ W K H R S H Z R U U H V F U L E H G W K H J U D Q W D Z D U G D J U H H P H Q W) H G H U D O J U D Q W D Z D U G D J U H H P

- & R P S Z L W K H U R Q G L W L R Q V R U H W K H V R Q V R U H G H U D Q W K H U R Q G F R Q G L W L R Q V F R G L I L H G L Q &) 5
- 3 H U I R U P I L Q F R S Z R U N W K L Q H F L H U R G L P H
- 3 U R Y L G H D S R U D W H E W R X G L W
- 3 U R Y L G H U R U P D S R U H W V
- 5 H W X Q H [S H Q G H G

7 K H D X W K R U L W \ W R W H V D Q G F H S R Q V R U V K L W K H R U G H J H Q W K H U H V L G H Q W 7 K H 3 U H V L G H Q W K D V G H O H J D W H G W K L V D X W K R U L W \ W R W K H ' L U W K D W W K H 8 Q L Y H U V L W \ K D V L Q S O D F H D S S U R S U L D W H S R O L F L H V V S R Q V R U H G S U R M H F W V D Q G V S R Q V R U I X Q G V

7 K H 3 , L V U H V S R Q V L E L H Q W F K R O D U W K H

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1.6. Types of Awards

6SRQVRUV XVH WKUHH PDLQ OHJDO LQVWUXPHQWV WR VSRQVR
DJUHHPHQWV DQG FRQWUDFWV)RU WKH VDNH RI HFRQRP\ WKL
DZDUG W\SHV XQOHVV RWKHUZLVH VSHFLILHG JKHUH LQVWUXPH
GRFXPHQWVSHFLILFDQFHVVFLIVFDDQGPP256DJUHHPHQWV
,QYHQWLRQ 'LVFORVXUHV 0DWHULDO 7UDQVIHU $JUHHPHQWV D
LQFGXLQH WKH WHUP ³JUDQW´ IRU FRPSOLDQFH DQG SROLF\ HIILF

Grants

$ JUDQW LV DQ DVVLVWDQFH LQVWUXPHQW RI ZKLFK WKH SULP
SXUVXLWVVLRQSRQVRUHUDQRXEVWDQWRODQWFRQGXFWURMHFW

Cooperative Agreements

$ FRRSHUDWLYHDQWVLVDQWUXPHQWGHUDQLQHVZKHWKH
DJHQF\WLFLSDWHVWHQWRDYWKHZDLQUWKH SURJUDPPDWLF DVSHF

Academic Freedom

7KH LQGLYLGXDO UHVHDUFKHU SULQFLSDO LQYHVWLJDWRU 3,
KLRVKHUHVHZLWFKKQFRSWKHQLYHUPLLWVDQGRQFXUZLWQHTXLUHPHQWV
RI WKH WHUPV DQG FRQGLWLRQV VHW E\ WKH VSRQVRUVKLS RU
FRQFOXVLRQV

5HVHDUFK PHWKRGV DUH VXEMHFW WR OLPLWDWLRQ ZKHUH IR
LQWHUIHUH ZLWKHWKHFKRLOLW\WRI RRQGXFW WKHLU UHVHDUFK R
DV WKH SURKLELWLRQ DJDLQVW WKH XVH RI KXPDQ HPEU\RQLF V
HVWDEQGVLQDSSLQRSRLDSWHFHGXJKLVGDQFKDWLJRW8VFKRDUHU
SURWHFWHG DQG UHVSRQVLELOLWLHV DUH PHW

Conflict of Interest

$Q\RIILFLDO DQGHLRQURPPHQGDSHURQQJFDSUHOWWHG
JUDQWGHG SURMHFW WKH HIIHFWHSHZKLFKDZ\RXHQHEHWRIWKHS
PHPEHU RI WKH SHUVRQ¶V KRXVHKROG RU D EXVLQHVV ZLWK ZKL
KRXVHKROG LV DVVRFLDWHG

Scholar's Right to Publish

7KH VFKRODU V ULJKW WR SXEOLVKIXQGHDHQXDWV &RQFLVURLD
ZLOO QRW QRUPDOO\ DFFHSW IXQGLQJ IURP DQ\ VSRQVRU XQGHU
8QLYHUVLW\ PD\ QHYHUWKHOHVV DOORZ VSRQVRUV D UHDVRQDE
SUHYHQWHLQWGGLVFORVXUH RI WKH VSRQVRU V FRQWLGHQWLDO R
SURWHFWQXEMHWKHQLYHUWKP\DFFHSWLQKDQKLJKRXEOLVK
LV ZDLYHG ZLWK SULRU DSSURYDO RI WKH 3URYRVW

Research Subject

3.0. Pre-Award: Preparing the Proposal

7 K H W H F K Q L F D O D V S H F W V R I W K H S U H D Z D U G S U R F H V V D U H F R Q F H Q W U D W H G R Q W K H U H V H D U F K D G P L Q L V W U D W L Y H R I I L F H R I W K H Y L F H S U H V L G H Q W I R U U H V H D U F K D Q G H Q J D J H P H Q W W K U R X J K R X W W K H S U H D Z D U G P D Q D J H P H Q W O L I H F \ F O H R I W K H S U R M H F W

$ S S O L F D Q W V V K R X O G F R Q W D F W 2 5 6 3 W R H Q V X U H W K D W W K H \ D S S O L F D W L R Q P D W H U L D O V D Q G W R D Q K H Z H L J K W L G H Q W L I L F D W L R Q R I W K H F R V, W Q V P R W D W 2 5 6 3 K D Z R U Q L H W K H S R Q D Q R G D Y H S O L D E D E G W R O L E G **Please note, failure to alert the office of a proposal the applicant is submitting will result in putting the university at risk.** $ S S O L F D Q W V P X V W D O H U W K H R I I L F H R I W K H V X I I L F L H Q W W L P H W R D O O R Z I R U V X E P L V V L R Q

, I W K S H U R S R V D O L V U H Y L H Z H G D Q G D S S U R Y H G E \ W K H I R U K H O S W R K H Q V U H D W K D Q G W R D W H U E X L D W S D Q G F R Q V L V W H Q W

3.1. Roles and Responsibilities

PI

7 K H , L V H V S R Q V L E O H

- (Q V X U L Q J W K D W U R S R V H D Q G S R Q V R U T X L U H D F F X U D W H E X G J H W O L P L W D W L R Q F R Q V X O W G R Z L W K G H S D U W P H Q W D O F R Q I O L F W R I L Q W H U H V W
- (Q V X U L Q J W K D W I R U P D U R L W L H G H D F F X U D W H P S O L W K S R Q V R U V L Q V W U X F W L R Q V
- , G H Q W L I \ D Q G G L V F O R V H U H O D W L R Q V K L S V
- , G H Q W L I \ D Q G G X E D Z D Q G E F R Q W U D F W V
- , I U H V R X U F H V H D U F K L Q Y R O Y H V K X P D Q V X E M H F W V H T X L S P H Q W W K H 3 , P X V W V H F X U H W K H F D Q G L G D W H ' V F R P P L W P H Q W V

ORSP

- 3 U R Y L G H G H Q H U D O U H V H D U F K D G P L Q L V W U D W L Y H V X S S R U W
- 3 U R Y L G H F K D O O H Q J H V D Q G D G Y L V H V U H J D U G L Q J S R O L F L H V D Q G W K H P D W W H U V D V U H T X L U H G E \ W K H 3 ,
- 3 U R Y L G H G H W D L O H G U H Y L H Z R I S U R S R V D O V **at least seven days** S U L R U W R X E P L V V L R Q
- & R P S O H W H S U H D Z D U G S U R S R V D O V D Q G D E X G J H W D U \ X V H

4.0. Pre-Award: Preparing the Budget

7 K H S U R S R V H G E X G J H W Y D O L G D W L R Q S H U L R G L V W K H S H U L R G G X U L Q J Z K L F K W K H S U R M H F W L Q Y H V W L J D W R U L V H [S H F W H G W R E H F D U U L H G R X W D Q G W K H E X G J H W L V D O O R F D W H G W R W K H V H D F W L Y L W L H V W K D W U H V X O W L Q W K H S U R G X F W V

DZDUGEVHHDQFHSSWRQYDUWHPRXQWG\SHUEXGJHWWKDQJSRZ **See section 13.10, Budget Revisions.**

$SSOLFDQWV VKRXOG FRQVXOW ZLWK 2563 ZHOO LQ DGYDQFH
EXGJHFRPSOLWKWKHSRQVRUGYDOQHLVHSURSULDWHEHOWHWKHFRQWHFWSURMHFW
DQG LV MXVWLILHG DQG XQDPELJXRXV PDQQHU $V RI WKLV ZUL
8QLIRUP $GPLQLVWUDWLYH 5HTXLUHPHQWV &RVW 3ULQFLSOH
UHJDUGLQJ EXGJHWLQJ H[SHQGLWXUHVHDUFKRXQWLRQV PDQDJHG DSSURS

Detailed Budgets. 6RPH VSRQVRUV GR QRW UHTXLUH WKDW DSSOLFDQW
FDWH,+DSSOLFDWLRQFRQVXEXGJHWVDYHGHWDLOHGEXGJHWHIRUHVXEPLWWHG
WKH DSURJUDPRIILFHU VSRQVRUDWLRQWKHDSURSRVDOJHQHUDWHGWRHQVXUH
DSSURSULDWH DSSOLFDWLRQ RI WKH)DFLOLWLHV DQG $GPLQLVW

7KH 8QLYHUVLW\ UHTXLUHV WKHUHIRUH WKDW DQ\ EXGJHW H
GHWDLOEXGJHWHYLGHQFHSURSRVDOWKHUHSRUWLQJSURSRVDO
IHDWXUH LQ &D\XVH

Definition of Facilities and Administrative Costs)DFLOLWLHV$GPLQLVWUDWLYH FRVWVWKDWDUHQRWUHDGLO\LGHQWLILHGZLWKDSURMHFWGLUHFWO\
D VSHFLILF JUDQW RU FRQWUDFW 7KH FRVWV UHVXOW IURP VKD
RSHUDWLRQ DQG PDLQWHQDQFH XWLOLWLHV DQG VHQLRU DGPLQLVWUDWLRQ
H[SHQVHV GHSUHFLDWLRQ DQG EXLOGLQJV DQG HTXLSPHQW 2IWHQ
FDOOHG LQGLUHFW FRVWV RU LQVWLWXWLRQDO RYHUKHDG) $ U
SHULRGLFDOO\ QHJRWLDWHG ZLWK RXU FRJQL]DQW)HGHUDO DJ
6HUYLFHV

4.1. Roles and Responsibilities, Preparing the Budget

PI

- 7KH3,LV UHVSRQVLEOH IRU WKH FRQWHQW RI WKH EXGJHW DQG IRU
  WKH MXVWLILFDWLRQ RI WKRVH LWHPV DV WKH\ UHODWH WR
  UHDVRQDEOH DOORFDEOH WR WKH SURMHFW DQG DOORZDEOH
- 7KH 3, LV VWURQJO\ HQFRXUDJHG WR FRQVXOW ZLWK 2563 Z
  SUHSDUDWLRQ EXGJHW MXVWLILFDWLRQ SURYLGH VDPSOH EXGJHW
  DQG EXGJHW MXVWLILFDWLRQ RU VXSHUYLVH WKHLU SUHSDU
  OHDVW RQH ZHHN LQ DGYDQFH SULRU WR WKH VSRQVRU V GHDGOL
- 7KH3,LGHQWLILHV DQ\ FRVW VKDULQJ FRPPLWPHQWV WKDW DUH LQFOXGHG LQ WKH
  SURSRVDO LQFOXGLQJ DQ\ RXWVLGH OHWWHUV RI LQVWLWX
- 7KH 3, LGHQWLILHV WKH QHHG IRU VXEDZDUGV DQG VXEFR
  ZLWK 2563 WR SUHSDUH VXEDZDUG GRFXPHQWV DQG VXEUHFLSLHQWV
  DQG VXEFRQWUDFWRUV DV QHHGHG 6HFXUH /HWWHUV RI ,Q
  LQVWLWXWLRQV
- ,I UHTXLUHG IRU WKH SURSRVDO WKH 3, REWDLQV FRQWULEXWLRQV
  &KDLU DQG RU 'HDQ &RPPLWPHQWV DUH GRFXPHQWHG LQ W
- 7KH3,PD\ SURSRVH FRVW VKDULQJ LQ FRQVXOWDWLRQ ZLWK WKH
  GHSDUWPHQW &KDLU DQG 'HDQ DQG GRFXPHQWHG RQ WKH 6
- 7KH3,LGHQWLILHV IXUWKHU VXSSRUW
- 7KH3,LGHQWLILHV DQ\ SURJUDP LQFRPH 2563 EXGJHW GHYHORSPHQW
- 7KH3,LV UHVSRQVLEOH IRU PDLQWDLQLQJ WKH LQWHJULW\ RI WKH EXGJHW SULRU WR
  JUDQW VXEPLVVLRQ

The NIH Salary Cap. 7KH)< ++6 $SSURSULDWLRQV $FW DOORZV WKH EH XVHG WR SD\ WKH VDODU\ RI DQ LQGLYLGXDO WKURXJK D JU H[FHVV RI ([HFXWLYH /HYHO ,, RI WKH)HGHUDO ([HFXWLYH 6DODU\ VDODULHV ZKLFK DUH VHW DW D OHYHO VDPH PHDVXUH DV WKH VDODU\ RI FRQJUHVV VWLSXODWHV WKDW QR LQGLYLGXDO PD\ EH SDLG D VDODU\ IURP GLUHFW IHGHUDO DSSURSULDWLRQV LQ DQ DPRXQW JUHDWHU WKDQ WKH DQQXDO UDWH RI SD\ IRU ([HFXWLYH /HYHO ,, 7KLV OLPLWDWLRQ DSSOLHV WR WKH VDODULHV RI SURMHFW GLUHFWRUV SULQFLSDO LQYHVWLJDWRUV DQG DOO RWKHU LQGLYLGXDOV ZKRVH VDODULHV DUH SDLG IURP D JUDQW FRQWUDFW RU FRRSHUDWLYH DJUHHPHQW WKDW QR LQGLYLGXDO PD\ EH SDLG PRUH WKDQ WKH DQQXDO UDWH RI SD\ IRU ([HFXWLYH /HYHO ,, 7KH GLUHFW HIIHFW RI WKLV SURYLVLRQ LV WR OLPLW WKH VDODULHV WKDW PD\ EH FKDUJHG WR IHGHUDO JUDQWV DQG FRQWUDFWV :KHUH WKH SURYLVLRQ DSSOLHV WR D SDUWLFXODU SHUVRQ LW OLPLWV WKH DPRXQW WKDW PD\ EH FKDUJHG WR WKH JUDQW RU FRQWUDFW EXGJHW UHJDUGOHVV RI WKH VRXUFH RI IXQGV ZLWKLQ WKH JUDQW RU FRQWUDFW EXGJHW

)RU FXUUHQW 1,+ VDODU\ OLPLWDWLRQV FRQWDFW 2563 6HH /LPLWDWLRQV RQ 3D\PHQWV WR ,QGLYLGXDOV KWWSV JUDQWV QLK JRY JUDQW ILOHV21127 KWPO

7KH GLIIHUHQFH EHWZHHQ WKH VDODU\ FDS DQG WKH GHVLUHG VDODU\ PXVW EH SDLG IURP QRQ)HGHUDO VRXUFHV :KHUH WKH SURMHFW SHULRG RYHUODSV D FKDQJH LQ WKH VDODU\ FDS WKH QHZ OLPLW DSSOLHV WR VDODULHV DOORFDWHG IRU WKH HQWLUH EXGJHW SHULRG **See 6.0, Cost See**

6XPPDUU3OHQRWKH,PXVWRQHWKHRSWLRQDUHQWHUQHWHLGYLQJ
H[WUD VHUYLFH SD\

- $OOR[FDWRHXUIRUQWRXQWRZDUXGFKRODKMKOSHUFHLYHG
  UHLPEXUVHG WR WKH 8QLYHUVLW\

‡ 6SHFLILQDOXHIXRU[WUHUYDEWKHDEXGDQGDUU±LWXYHM
DSSURYHG E\ WKH IXQGHU 'HDQ &KDLU DQG 3UR[illegible]

G v…bfUÐ À p

,QGLYLHGXDODQDVRQWXDLWKHTXLUHPHQWVRIWKRVHDQWLWDGGLWLRQ
WR WKH UHTXLUHPHQWV RI WKLV 3ROLF\ ,W LV WKHUHIRUH LPSR
HQVXUH FRPSOLDQFH ZLWK WKH UHTXLUHPHQWV RI HDFK JUDQW

)DLOXUHRHP SZLWKG HUHTXHLP HQWVLQDYDUHDG\ HFRQVHTXHQFHVJ
IURP GHQLDO RI UHLPEXUVHPHQW WR GHEDUPHQW RI &RQFRUGLI
VWXGHQW DLG ,Q FHUWDLQ FLUFXPVWDQFHV FULPLQDO FKDUJH
UHTXLUHPHQWV PXVW EH VFUXSXORXVO\ REVHUYHG 9LRODWLRQ
LQFOXGLQJ WHUPLQDWLRQ RI HPSOR\PHQW

This policy is consistent with Final Guidance issued by the Federal Office of Management and Budget effective as of December 26, 2014.

4.7.2 General

³7UDYHO FRVWV´ DUH H[SHQVHV IRU IRRG WUDQVSRUWDWLRQ
FRXUVH RI WKHLU ZRUN IRU WKH 8QLYHUVLW\ 7UDYHO FRVWV W
SDLRU GUHLPEXUVHKGIHXGHQWDFWXDOQFDRVWRUGPLHOPHDJHFDEVLQDWLRQ
WKHUKHDWHYHULVHWKHWKHWDSHOWDHQWLUHWKHWDUILHGDWR
GD\ )RU H[DPSOH LI DQ HPSOR\HH LV WUDYHOLQJ RQ D SHU GLH
SHUPLWWHG WR FODLP DFWXDO FRVWV RQ WKRVH GD\V ZKHQ KH
DGGLWLRQ H[SHQVHV FKDUJHGFRQRVLHWHUDWZLWKQ&RIXFRUGPXW

- 5 H T XFLLUHF XULRVXRVXLVQ J
- 5 H T XWUUHGYXHUXQUHD VKRRQXDUEVO H
- ([F H V V SYUHRQWRUQDJY H O
- 5 H V XQGGLWFRRQKDRVXRIGWHKWUD Q V SVRDUYLRQWVLRQ
- 2 I I HDUF F R P P R GQRWLDRVQRQGHETXRDWKWUD YPHOGHLQFHDOGV

:K H Q H Y HFUOLDUVWRUFEXVLQIHDUVHV DUH UHTXLUHG WR PHHW D WUD UHDVRRQKHGGLWLSRQDXEWGRFXPHQWKHGHWKGRFXPHQWXDWGLRQWLRQDO H[SHQVHV PD\ QRW EH SDLG RU UHLPEXUVHG IURP IHGHUDO IXQ

7KH WUDYHO ILOH PXVW DOVR EH GRFXPHQWHG ZKHQHYHU IDU DUHQFXUHUEHGVIDZRXKOGYH[FHVVSUYHORQUDRQHRDVIDWHDZWDHYDLODEOH RQ WKH GDWH LQ TXHVWLRQ

,QDGGLWKRQSPHUSFWHTXWKHWSYHZGWHKGHUDEHUXQGWR6FWHG FDUU&HUWDLPHGSWSRQVHDRQWDHW3LVXLWDHUQHQFHWDLODEOH IURP D 86 FDUULHU @OLDQFH

4.7.6 Ground Transportation

*URXQG WUDQVSRUWDWLRQ DXWRPRELOH EXV WUDLQ H[SHQ WUDQVSRQWWDWLRQWHKFRRWURXQGDQVSRUWDWLRQKDQORZDEOH DLUIDUH

4.7.7 Consequences of Noncompliance

1RQFRPSOLDQHXEHYDUHDGYHFRQHVHTXHQFHVRLQGLDXGLQJ

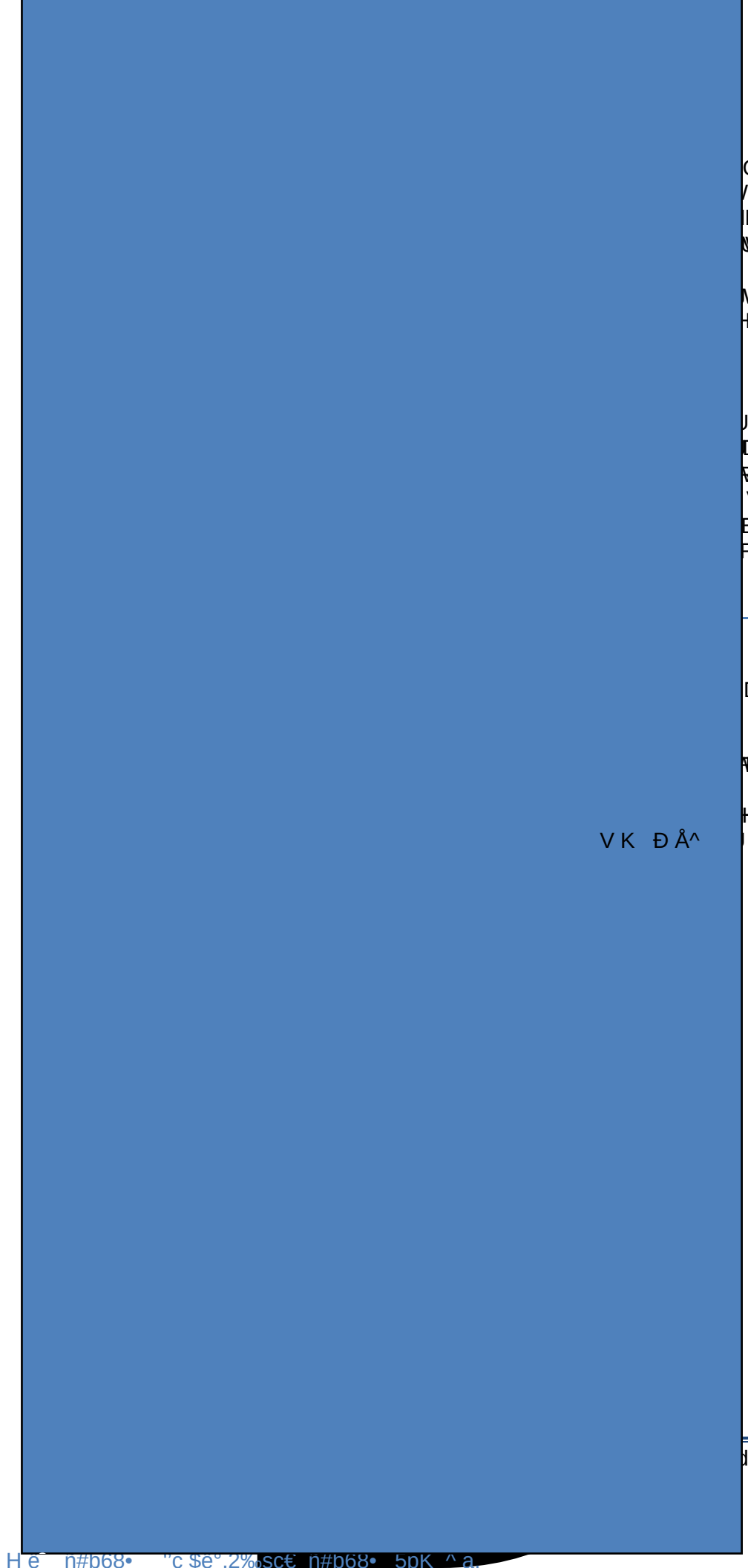
- 7HPSRZLDUKKRGGLPHSHQVGFLQUUHRWKHRQLFLHQF\
- 'LVDOORZDQFHRWKHUR|WKHFWLYDLWQRRPSOLDQFH
- &RPSORHSDUWDRUW$GH

SDUW

D O O R Z W K H U R W K H S R Q V R U V K L S R Q W K D W R Q W L Q F R W S R U D W H L V U H G
V S R Q V R U W H U P V D Q G F R Q G L W L R Q V

$ Q H [D P S O H Q V V L V W U D Q F H U H T X Q W L E D Z D U G O D E R U W K W L Q Y H V W L J D W R U
D W D Q R W K H U L Q V W L W X W L R Q 6 X E D Z D U G V P X V W E H H Q G R U V H G E

Ö ' Ð 0



E H F R PHRV G R W KRZ D U G O X Q F R P P L W W H G H [S H Q G L X W H F R X Q W H G
U H S R U W H G L Q W K H V D P H Z D \ W K D W D O O R W K H U S U R M H F W H [S H Q

Voluntary uncommitted cost sharing

9 R O X Q W D U L X Q F R P F R V W V K D U L Q J L V F R V W V K D U L Q J X V X D O O \
S U R M H F W E X W Q R W S O H G J H G R U T X D Q W L I L H G L Q W K H S U R S R V D O
&) 5 8 Q L I R U P * X L G D Q R H † Q W D U \ F R P P L W W H G F R V W V K D U L Q J L V
X V H G D F W R U W R J H U L W R I H Y S H Z R U S U R S R V D O R Q V L G H W R W K
D F F R U G D Q F H Z L W K) H G H U D O D Z D U G L Q J D J H Q F \ U H J X O D W L R Q V D O
) R U P R V W V S R Q V R U V F R V W V K D U L Q J L V Q R W D U H T X L U H P H Q W L O
1 D W L R Q D O 6 F L H Q F H) R X Q G R W L R Q V 1 6) R O X Q W D U \ F R P P L W W H G F R V

6.3. Cost sharing Expenses

7.0. LETTERS OF INTENT AND LETTERS OF SUPPORT

7.1. Roles and Responsibilities: Letters of Intent and Letters of Support

PI

-)RU D SURSRVDO VXEPLWWHG E\ &RQFRUGLD 8QLYHUVLW\ WK
  FROODEHQUBWXEDZDUGHH WKH UHVSRQVLEOH RUHTXHDVHLQJ QHHGHQW D
  IURP WKDW LQVWLWXWLRQ
- 7KH,LV UHVSRQVLEOH RUHXUSDQHW QHHGHG
-)RU D SURSRVDO EHLQJ VXEPLWWHG E\ DQRWKHU LQVWLWXW
  VXEDZDUGHH WKH &RQFRUGLD 8QLYHUVLW\ 3, LV UHVSRQVL
  VWDWHRHQ WHRHQRUN DQG D EXGJHW 2Q WKH EDVLV RI WKHVH GR

WKH DSSURSULDWH XQLW'HDQ RU WKH VFKRRO ,I WKH &
FRVWV WDUJHWHG WKURXJK WKH XQLW DUH QRW SOLFDEOH WR WHVRQH 6XEPLW
Sharing

- 7KH &KDLU DQG SURJUDP FRPPLWWHH PHPEHUV DQG HTXLWDEOH GXWLHV RI
) $ 6HH **Under-recovery of F&A Costs.**

Dean

- 7KH DQDO\VHV SURYLGHG RQ WKH DFWXDO H[SHQGLWXUHV WR GDWH DQG RQ
  WKH 'HDQ GRHV QRW DSSURYH WKH SURSRVDO KH RU VKH P
  UHVROXWLRQ
- 7KH DQDO\VHV SURYLGHG RQ WKH DFWXDO H[SHQGLWXUHV WR GDWH DQG RQ
  UHVRXUFHV QRW XQGHU WKH 'HDQ V DXWKRULW\ WKH 'HDQ
  SHUVRQ ZLWK DXWKRULW\ WR PDNH VXFK SURYLVLRQV WKH 'HDQ
  UHTXHVW KH RU VKH UHWXUQV WKH DSSOLFDWLRQ WR WKH
  Sharing
- 7KH 'HDQ PD\ UHFRPPHQG GHFUHDVHV RU LQFUHDVHV $GMXVWPHQWV ZKHUH UHTX
  VSRQVRUVKLS RU ZDLYHU 6HH DSSURSULDWH **Under-recovery of F&A Costs.**
- 7KH DQDO\VHV PDGH UHFRPPHQGDWLRQV RU OXQGHUVWDQGLQJV $QG &RVWV
  DQG IRUZDUG WR WKH %XVLQHVV 2IILFH IRU ILQDO DSSURYD

Business Office

- 7KH %XVLQHVV 2IILFHU PDLQWDLQV RYHUDOO UHVSRQVLELOLW\ IRU SURYLGLQJ
  WKDW 8QLYHUVLW\ ILQDQFLDO SROLFLHV DQG SURFHGXUHV
- 7KH %XVLQHVV 2IILFHU PDLQWDLQV GLVFLSOLQHG ZULWWHQ DQG HOHFWURQLF
  KRXUV SULRU WR WKH VSRQVRUHG SURMHFW V VXEPLVVLRQ GHDGOLQH VHQVL
  VXEPLVVLRQV WKH &22 RU KLV RU KHU G–HU

3 + 6) 5 1 6)) 5 E R W K V L Q G K H

- KH 3, HQVXUHV WKDW DOO SHUVRQQHO LQ WKH DUHDV RI UHJXODWRU\ FRPSOLDQFH WK
ZKHUH SURSHUWLHV 6 SURYLGHV VLJQLILFDQW FRQIOLFW RI LQWHUHVW H
SHUVRQQHO LQ WKH DUHDV RI UHJXODWRU\ FRPSOLDQFH WK
,QLWLDWLYH &,7,
- :KHUH WKH 3, HQ ZRUN ZLWK SHUVRQQHO WKH 3, ZLOO VHFXU
FHUWLILFDWLQRQ LHP XWERKH UVRQQHO UUDQJHPWKH 6 3
WR KDYH WKH SHUVRQQHO WUDLQHG DQG FHUWLILHG
- 7KH,DQGHS SHUVRQQHO RLQDQFLDOLFW HRHWRZLJ WK
WKH &D\XVH 6XPPDU\ IRUP
- ,I D SRWHQWLDOO\ VLJQLILFDQW FRQIOLFW RI LQWHUHVW H
VSRQ VSUHGHS SUHSD UHDQ &FLDOLFW HRHDQG EPLWWKH
2563 563
- 7KH,DGKHUH SUWKHSDUHWKDQSRO LDQGRW LHQSVM ÇSV M M

\lt%a4ÓDDVidSa+ VÂLVMÂ°Â'Oa4ÊAD Á•G òò'VMU hòo VMUHV FLHV

12.0. AWARD NOTIFICATION, NEGOTIATION, AND ACCEPTANCE

12.1. Roles and Responsibilities

ORSP

- 5 H Y L H Z Q G R U Z H Q W L I L F D W L R Q V
- , Q F R Q V X O W W K H R Q W K H U S U R S H U D W H Z D W H U P V
- , Q F R R S H Z D W K H R P P X Q L F K D W W K H D'L H U R O O D E R U D W L Q J L Q V W L W X W L R Q V
- 8 S G D W H D \ X V H 6 X P P D U P
- 5 H Y L H Z J R W L D S H U R Q W U D F W H P R Q V R V S U R J G D P V
- & R R U G L

ü ñ V ˜ @ à y.°Â

‘à y.°Â O6d3‡DXY AP p

y\à y.°Â O6b••D„uA

y\à y.°Â O6cD4XY AP p

aà B…A`@2 G a''! xÐ 9 514Ðò…A`D@ # 0

([FHSW DV QRWHG LQ WKLV VHFWLRQ LQLQRIHYHQW ZLOO FKDUJ
LUUHVSHFWLYH RI WKH EDVLV RI FRPSXWDWLRQ H[FHHG WKH SU
SULQFLSOH DSSOLHV WR DOO PHPEHUV RI IDFXOW\ FRPSHQVDQ LQQWL
SDLG E\ DQ ,+(IRU DQ LQGLYLGXDO V DSSRLQWPHQW ZKHWKHU
LQVWUXFWLRQ DGPLQLVWUDWLRQ RU RWKHU DFWLYLWLHV ,%6
RI GXWLHV SHUIRUPHG VRWKHU ,+(SULRU DSSURYDO E\ WKH)HG
RI IDFXOW\ PHPEHUV WR HGHUDO DVZDUGHWKHURSRUWLRQ,%6RW
SHULRG GXULQJ ZKLFK WKH IDFXOW\ PHPEHU ZRUNHG RQ WKH DZ

,QVWLWXW+LJKHU (GXFDWLRQ ,+(FRQVXOWLQJ E\ IDFXO
DQ +i“@°H IDFXOW\MVR...K

14.9. Change of

HQWLW\ WR PHHW WKH UHTXLUHPHQWV RI WKLV VHFWLRQ †
UHTXLUHPHQWV RI WKLV VHFWLRQ DQG $SSHQGL[3 RU RWKHUZLVH
WKLV SDUW DQG

$SSURSULDWH DGMXVWPHQWV GLVFORVXUHV RU RWKHU DUUDQJHPHQWV

E(YDOXDWH HDFK VXEUHFLSLHQW¶V ULVN RI QRQFRPSOLDQFH
WHUPV RI WKH DZDUG DQG LPSRVH DSSURSULDWH UHVWULFWLRQV RQ WKHLU DFWLYLWLHV
GHVFULEHG LQ SDUDJUDSK H RI WKLV VHFWLRQ ZKLFK PD\ LQF
7KH UHVXOWV RI SUHYLRXV DXGLWV LQFOXGLQJ ZKHWKHU
$XGLWV FRQGXFWHG XQGHU $SSHQGL[3 RU RWKHUZLVH DV
VDPH RU VLPLODU VXEDZDUG KDV EHHQ DXGLWHG DV D PDMI
:KHWKHU WKH UHFLSLHQW KDV HVWDEOLVKHG DQG PDLQWDLQHG
7KH [WHUQDO DXGLWRU¶V UHSRUWLQJ UHODWLRQVKLS WR WKH EUHFLSLHQW
DOVR UHFHLYHV)HGHUDO DZDUGV GLUHFWO\ IURP D)HGHUD

F&RQVLGHU RWKHU SHUWLQHQW LQIRUPDWLRQ DYDLODEOH WR WKH UHFLSLHQW
† 6SHFLDO FRQGLWLRQV

G0RQLWRU WKH DFWLYLWLHV RI WKH VXEUHFLSLHQW DV QHFH
DXWKRUL]HG RU UHTXLUHG E\ WKH)HGHUDO DZDUG RU DSSOLFDEOH
VXEDZDUG DQG WKDW VXEDZDUG SHUIRUPDQFH JRDOV DQG
VXEUHFLSLHQW PXVW LQFOXGH
5HYLHZLQJ DQG UHVROYLQJ UHSRUWV DQG ILQGLQJV

)ROORZLQJ XS RQ UHFRPPHQGDWLRQV DQG FRUUHFWLYH DFWLRQ SURSRVHG E\
GHILFLHQFLHV SHUWDLQLQJ WR WKH)HGHUDO DZDUG SURYL
HQWLW\ GHWHFWHG LQ WKH URXWLQH ZRUN RYHUVLJKW DQG
,VVXLQJ D PDQDJHPHQW GHFLVLRQ GLUHFWLQJ DVRG LWWK HL)QHGLQJV
SURYLGHG WKURXJK EUHFLUSXPHQW WKURXJK LWV TXE\UHG 0DQDJHPHQW
GHFLVLRQ

H'HSHQGLQJ XSRQ WKH HIHDQW LW\¶V DVVHVVPHQW RI ULVN SRV
GHVFULSWHUG JEHUG VKLHVF WLRRO OPZRLQJWRRRO VHXVHIXOSHVV
WKURXJK HQWLW\ WR HQVXUH SURSHU DFFRXQWDELOLW\ DQG FR
DFKLHYHPHQW RI SHUIRUPDQFH JRDOV
3URYLGXLQJ FZLSWKUDWDQQWHQJKDVLF DVVDQDUFHU EHDDWHG
DQG

3HUIRUPQLQWHYLHZV WKXEUHFLSLHQW SHUVRQQHO

$UUDQJHPHQWV IRU SURFHGXUHV EHIRUH LVVXDQFH $XGLW
VHUYLFHV

I9HULI\ WKDW HYHU\ VXEUHFLSLHQW LV 6XEVSDUGLQDWH
SDZKHQHYHU [SHFWWKDWXEUHFLSLHQW HQGHQZQHGSVHQGHUHVSHEWHGU
HTXDOHG RU H[FHHGHG WKH WKUHVKROG VHW IRUWK LQ † $

J & R Q V Z G H W K B W B F H g S B 4 4 T B 4 Q E B T 0 1 2 7 9 7 T 0 1 g 6 2 3 4 7 1 7 B . 1 2 1 4 T A 0 0 0 3 T 1 j 3 T 0 0 F T Q Q q 6 9 2 0

'LUHFWRU6 3$ IDLXVXDOOHSWRRQWKHQWHDQWLJQRUGLQKH DW
HDUOLHVW RSSRUWXQLW\

6RPH VSRQVRUV UHTXLUH WHUDRI DQFRSQ RIEWKLHQFOXGHG LQ WK
VSRQVRUV WUXVW WKDW &RQFRUGLD KDV WKH /HWWHU RI ,QWHQ
&RQFRUGLD WKHUHIRUH UHTXLUHV D VLJQHG /HWWHU RI/H Y•DO

2563XV HRUPV HEWHGH HDQVW3DDWLRQUHVHUSDVHQGHU
FRQWLQXRXV YLHZ DQG XSGDWHG DQG UHYLVHG YHUVLRQV DUH
KWWS VLWHV QDWLRQDODFDGHPLHV RUJ 3*$ IGS 3*$B

2QFWKRUDVHFHWLYHHGHU HYLEZHGU HFWRUHG3DQGH, I3WDKHG
'LUHFWSRUWRKHQWPDEHFRPSODHQGHDWWKUHXQWKH
FDVH LQ ZKLFK 25WK3ULRXWKH HQSDLVW\ WKH IRUPHVQDUWRQLKHLDWHG
VXEUHFLSLHQW IRU FRPSOHWLRQ 2QFH WKH IRUPV DUH UHFHLY
GHPRQVWUDWHG E\ VLJQDWXUHV RI DOO SDUWLHV

16.4. Routing, Review, and Approval

7KH,LQLWDLDXEHHZDFURQWDH2HL6J
7KH25 63UHSDWKHEDZDQGHYLHZHDWKH,DQHFHVVDU\
:KHUHXE DZGLUHUPKHS SURVRSRQDORFHDQZDUKH63
FRQVXOWV ZLWK RWKHUV DV QHFHVVDU\ WR GHWHUPLQH LW
DSSURSULDWHRQGHLWRQG
7KH25 63UHSDWKEDZDUGHPHQW
7KH,DSSURXEDZDUGHPHQW
7KH25 63LUHFRDXWKRULL]HEDYLQHZDQGWKEDZDUGHPHQW
7KH25 63WUDQVPLWEDZDUGHPHQWRE UHFLSLHQW
7KHXE DZDQGWKHFEVHFWLSURQ63LUHFWLRQ
2563
:KHUQHFHVWH63QHJRWZLDWKEUF7KSBLQQ63LUHFWRU
DSSURYH VLJQLILFDQW FKDQJHV LQ WKH DJUHHPHQW
7KXE UHFLSLHQWDDZDUGHPQWKEDZDUGHPHQW
FRPSOHWHG DSSURSULDWH WR WKH 2563
7KH25 63UHYLHZEQGRUVHFHDWRSQDWKH,DQGRU
DZDUG ILOH
7KXE UHFLSLHQWDQWRDEWKHFKQHLSEWKH
7KH,UHYLHZZRDEHRZDWKHWKH25 63
7KH25 63UHYLHZEQYRDEVEPLkWWK25 63RW$WD&RUGLQDWRU
SD\PHQW

16.5. Subrecipient Monitoring

7KH,UHYLHZEUHFLSLHQWDRUPHSQHWDRUPHSQGGY25 63RD Q\
XQVDWLVIDFWRU\ SHUIRUPDQFH
7KH,UHYLHZDQGS SURQYHRILFRWKXE UHF:LSHLBRQWUTXHVWLRQDEOH
QRW FOHDUO\ UHDVRQDEOH DQG DOORFDEOH WR WKH ZRUN
8QLYHUWKHW3, FRQWDFWV 2563p

O R Q J H H G R W K H U L J S L Q R R H F W J W K H Q L Y H V K D W W K H T X L S P H Q W
F R Q Q H F W L R Q Z L W K V S R Q V R W K H G U D I F W L Y L D W L O H \ V L Q W K H I R O O R Z
$ F W L Y L S R L Q H V R W K H G H U Z D U G L Q Q K L F X Q G W K H U L J S L Q R M H F W
W K H Q
$ F W L Y L S R L Q H V R W K H G H U Z D U G L Q Q F L H V

- ' X U L Q J W K H W L P H W K D W H T X L S P H Q W L V X V H G R Q W K H S U R M
3 , V K D P O O L H V Y D L O R X E V H R W K H R M H F W R V J U D X R W K Z H Q L W W H U I H U H
Z L W K W K H Z R U N R Q W K H S U R M H F W H R W Z D R J R U D P J L R U D Z K L F K P W

19.3. Undergraduate Students

3,V VKRXOG IROORZ WKH JXLGDQFH SURYLGHG E\ 6WXGHQW &D
KWWSV ZZZ FXZ HGX DFDGHPLFVHUYLFHVYLWHKHLQG [KWPO

19.4. LTE/Pharmacy Professional Students

3,V VKRXOG IROORZ WKH JXLGDQFH SURYLGHG E\ 6WXGHQW &D
& UHDSVRHV LGHLVRFUVSWDHQDVZKDWLRFDVSDELRXHVSHRXUDGXDWH
DVVLVWDQWV WR KDYH DQG ZKDW WDVNV \RX H[SHFW WKHP
3RVWGYHUWLRWHSRVLWLRQSDUWZKHQWKHVWRVJGDZXDWH
VWXGHQWV PDWFKLQJ \RXU UHTXLUHPHQWV

ÐÀ È w a"ë ò… ` M

- 7KH 2563 LV UHVSRQVLEOH IRU LQLWLDWLQJ WKH HIIRUW UH
  HQRGH YHDUFDGHPLFRDSSURRYDOUHDFQRQWGEQXHHQSWDWRQLQJ
  WR HIIRUW UHSRUWLQJ

20.2. Effort Reports for Faculty and Other Exempt Employees

&8 XVHWDEWFWUDFWLYLW\ UHFRUGV VSHFLILFDOO\ (IIRUW 5HS
(IIRUWSRUWVHOHFWURQLFDOOHGWURQLFDOOHGXWLOLWHSRUWQGHGORFDWLQ
RI SD\PHQWV IURP WKH SD\UROO V\VWHP 7KH HIIRUW UHSRUW D
WKH HPSOR\HH LV FRPSHQVDWHG (IIRUW LV H[SUHVVHG DV D SH
UHIOHFWHG LQ KRXUVQG7KGH FDOQGDURWEHRUWHU[R OHVV WKDQ

)RSURIHVVRQDOVWWDWXVHPSOR\HHVRUHSRUWVHDYHG\DGWHUPLQR
HQVWKBIR5HSRUWRUHDWRQHDEOHFWLYLWLHVSOD\HGDWHG
LQVWLWXWLRQ GXULQJ WKH SHULRG RI H[WUDPXUDO VXSSRUW
DFFXUDF\ RI WKH (IIRUW 5HSRUW &HUWLILFDWLRQ DQG VLJQV LW

7KH 3, PXVW UHYLHZ DQG HQGRUVH HIIRUW UHSRUWV RI DOO S
FRPPLWWHHPHPEHUVDQGHUWKH,VUHVSRQVLEOH YHULILFDWLRQ
DQ HPSOR\HH V (IIRUW 5HSRUW &HUWLILFDWLRQ UHODWHG WR W

(IIRUWSRUWVHOHFWURQLYHDXGLWUDQG&LWRF7KHHGHUDO
JRYHUQPHQW LV LQLWLDWLQJ OHJDO DFWLRQ DJDLQVW LQVWLWX
UHTXLUHPHQWV (IIRUW 5HSRUWV DUH NHSW LQ WKH DSSURSULD

20.3. Activity Records for Non-exempt Employees

)RQRQ[HPSW HPSOR\HHV XQOHVV DOWHUQDWH DUUDQJHPHQW
8QLYHUVLWKHSRUWV B• y1 EV B,

Human Resources

- 7KH +XPDQ 5HVRXUFHV 2IILFH LV UHVSRQVLEOH IRU WKH PD UHFRUGV DQG JHQHGXDWHQGHV JUDGXDWHWLPH DIIJSDUW WLPH WHFKQLFLDQV

ORSP/Business Office

- 8 V L W J K L Q S U R M H F W D W H E D W R U W L Q I D Q D Q F L D O R W 6 3 R V Z D U G & R R U G L Q D W R U L Q F R Q X D E R U D W I R Q F H L W K U H V D Q G W U D V S R Q V R U L Q W K H V S R Q V R U V U H T X L U H G I R U P D W

Department Chair

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