

Florida A&M University
Division of Research
Office of Sponsored Programs/Contracts and Grants



Responsibilities: Florida A&M University Signing Official (SO) also known as the Authorized Organization Representative (AOR) (Dr. Charles A. Weatherford) is charged with coordinating all solicitations for sponsored projects and contractual grants as well as the administration of all externally sponsored projects. Sponsored projects and contractual grants are distinguished from gifts, donations, and non-contractual grants in that they usually involve a written agreement (Terms and Condition of Award(s)). This agreement between the University and the funding agency represents the voluntary transfer of money or property by the agency in exchange for the performance of specifically enumerated services by the University. These services include the proprietary rights to: provision of work products derived from this performance, and often include some form of financial and/or technical reporting by the recipient as to the actual use of the funds or property provided. The agreement is enforceable by law, and performance is usually to be accomplished under time and fund-use constraints, with the transfer of support revocable for cause. ***The SO is the only person authorized to sign contracts, grants and cooperative agreements on behalf of the University.***

Post-Award Email Address: In an effort to better serve our diligent Principal Investigators (PIs), the FAMU Division of Research, Office of Sponsored Programs (OSP) has established a new email for Post-Award. The email address will be sponsor@fam.u.edu. PI's and departmental staff will be able to submit all budget modification requests and other action item requests for efficient management and quality control.

Upon receipt of PI's requests, select staff will monitor this email plus Associate Directors and Director to ensure timely processing of requests. This will hopefully eliminate requests going directly to only one Coordinator which will allow cross-reference checks with measurable efficiency.

Pre-Award Email Address: Faculty members seeking to submit proposal applications should **still** use sponsor@fam.u.edu for all program announcements; proposals (budget and application – draft and/or completed); Proposal Transmittals, All Pre-Award Questions and Letters of Intent. For further information, please call (850) 599-3531.

Revised Stipend Form: Please be advised that the University has revised the Stipend Form for student payment effective November 1, 2013. The revised form is available on the Office of

Sponsored Programs website and will be the only form that will be accepted and processed by the Controller's Office for payment. Additionally, the form must be completed in its entirety including a selection for Non-Residential Alien. If you need any additional information, please call the Controller's Office at (850) 561-2978.

W-9 Number: In order for a student to receive stipend payment, an active W-9 form must be on file with the Office of Procurement. Please note that payments will not be paid unless receipt has completed and submitted a W-9 form. If the number is valid and active, Accounts Payable will move forward with approval of PI's request so that the student can be paid in a timely manner.

Quarterly, Annual, and Final Reports: Contracts, grants, and cooperative agreements require submission of quarterly performance, annual, outcomes, and final project reports. PI's must comply with timely reporting requirements, including inventions and property reports as stipulated in the award notifications. Delays in the submission of the required reports may result in funding and other delays in the administration of the current and other awards. Also, failure to submit reports may impede a PI's and University's ability to receive new funding. PI's must ensure reports are in-line with approved award and submit copies of all reports to the Office of Sponsored Programs.

No Cost Extension: This is an extension of the period of performance for an award, without additional funding from the agency/sponsor.

1. Extensions require a scientific rationale
2. The work on the project is not yet complete.
3. All no cost extension requests must come to the Office of Sponsored Programs for endorsement by the SO before being forwarded to the agency/sponsor
4. A no cost extension must be requested in advance of the end date of an award- **30 - 45 days** in advance is recommended as a best practice, and remember to leave 3 – 5 days for OSP to handle the request .
5. All original terms of the award remain in effect during a no cost extension period
 - PI effort continues, demonstrated by sufficient funds available [**Note:** please follow division/unit requirements regarding approval of cost share commitments]. If the effort level is changing from the current committed level, an explanation may be needed [please follow agency/sponsor guidelines regarding effort changes].
 - All PI's certifications and assurances must be up to date (FCOI, IRB, RCR, IACUC).
 - All protocols must be up to date and active during the no cost extension period (IRB and IACUC).
6. Funds must be available to cover costs during the no cost extension period
 - **Note:** some agencies/sponsors, such as NSF, will not extend an award that contains a zero balance
7. Extensions may not be exercised merely for the purpose of using unobligated balances
8. Requests for extension should be prepared on unit/department letterhead and forwarded to the OSP.

9. Always check agency guidelines and the terms of the Agreement for specific instructions. Non-compliance will delay the process.
10. Users of Commons, FastLane, and other electronic systems and no cost extensions submissions will be processed through system as required (**Note:** no-cost extensions for Supplements may not be allowed for submission through Commons).

Following sign-off, the University will forward the no-cost extension to the agency for their notification or their approval if so stated in the terms and conditions of the award.

Post-Award Changes: Internal documents submitted to OSP to request no-cost extensions, key personnel change, change in scope of work, addition of foreign travel to a project, addition of a subcontract, and various other requested changes to award often requires agency sponsor approval and may require additional action of PI or departmental staff.

Foreign Travel: Requests for foreign travel not itemized in the original approved budget should include destination, travel dates, and justification for the trip in terms of project objectives. A U.S. air carrier must be used unless certain travel conditions are met. **(Federal travelers are required by 49 U.S.C. 40118, commonly referred to as the "Fly America Act," to use United States air carrier service for all air travel and cargo transportation services funded by the United States Government. One exception to this requirement is transportation provided under a bilateral or multilateral air transport agreement, to which the United States Government and the government of a foreign country are parties, and which the Department of Transportation has determined meets the requirements of the Fly America Act.)** Contact Accounts Payable Accounting for information regarding these conditions. Please check with OSP if use of a foreign air carrier is planned. **Note also that the University cannot approve foreign travel under certain grants. Approval must be obtained from that agency and advance notice of a minimum of 60 days is needed.**

Change in Key Personnel: Agency approval is required for the replacement of a Principal Investigator or other Key Personnel such as Co-Investigator who has departed or who may be absent for an extended period. The latter is generally interpreted to be a continuous absence of three or more months. Notification must be submitted by the PI and signed by the authorizing SO.

Change in Scope of Work: Neither the research objectives nor scope of the project may be changed without written agency approval. For NIH and DoD, a change in scope may include use of different animal models or modifications in animal or human subject use. NIH as well as other agencies views significant re-budgeting as evidence of a possible change in project scope regardless of whether or not agency approval is required (e.g. greater than 10% or \$25,000 – depending on the agency). Please refer to terms and conditions of awards.

Add a Subcontractor: Subcontracts not previously approved in the original budget require University and agency approval in most circumstances. This applies to contracting project related work to third parties rather than purchase of equipment, material or supplies.

Buying Computers/IPads: The need for external funds to buy computer equipment and iPads for general office use in a college department would not qualify to be charged to a grant. External funds to buy a computer to support a research project would qualify as a grant if it is necessary to carry-out the proposed study. The agency will expect a technical report detailing the results of the research, including how the equipment purchased with their funds contributed

to the completion of the project. The funding source may also expect the investigator to publish the results of the research in peer-reviewed journals or present the information at professional meetings in the applicant's specific discipline.

Once an Award is Made: If the agency agrees to fund a project, the researcher may receive a telephone call, e-mail message or letter from the agency program officer indicating that the agency is ready to make an award and has approved the start date. **Celebration is ordered!** Much hard work has resulted in success. After receiving notification from the agency, the investigator can begin planning for the project, but **must** keep in mind that the award is not official until the University receives an actual award notice from the funding agency. This notice is usually sent to the SO/AOR office, but agencies sometimes send it directly to the PI. If the PI receives an award notice, he or she should check with the SO/AOR office to be sure that they also received a copy. If not, the investigator should give a copy of the award notice to SO/AOR for proposing.

The award notice from the funding agency provides necessary and important information including the name of the program officer and any special conditions related to the award. The investigator should carefully review the conditions listed in the award and make a note of any unusual requirements. For example, the Environmental Protection Agency requires that all project reports be submitted on recycled paper. NSF requires project outcomes be submitted. All funding agencies require that the recipient acknowledge their support in publications resulting from the project. Some agencies have specific requirements concerning the form or the content of that acknowledgment, and provide the required wording.

Once the OSP has received the agency award notice, they will establish a project account by expense category according to the proposal budget submitted to the funding agency. After receipt of the project information from OSP, the researcher can begin spending the funds according to approved expenditures.

Link to OMB Forms Page: http://www.whitehouse.gov/omb/grants_forms

A sample budget justification is attached. Please note that PI's will be required to add more detail based upon the particular RFA and specific agency requirements. The attached document is only a sample for guidance purpose only.

SAMPLE BUDGET JUSTIFICATION

(Using your own budget, justify/explain each line item in the order it appears in your budget using this sample as a guide only.) Requested items should reflect only the costs needed to conduct the proposed research.

PERSONNEL (describe all personnel costs in the manner indicated below)

One month of summer salary (effort - 1 AY) is requested for the Principal Investigator in each year of the project and is calculated on the current rate with an anticipated 3.5% annual increase throughout the project based on approval by the State of Florida and University. The PI will be responsible for the overall coordination of the project and the supervision of the graduate students and other project personnel.

Graduate student (effort = 6 cm) support is based on the current University rate for graduate students with an anticipated annual increase of 3.5% throughout the project based on approval by the State of Florida and University. The graduate student will receive \$15,500/year (\$14.85/hr, 20 hr/week - \$296.935 for 28.2 weeks during fall and spring semesters (50%) - \$8,374 and 14.8/hr, 40 hrs/week - \$593.87 for 12 weeks in summer (100%) - \$7,126. The graduate student will be trained in latest laboratory techniques and be assigned to carry-out research in the area of biotechnology, etc.

Only add information on personnel to be charged to this project. Do not add other staff regarding other sources of pay for personnel unless you will be using that as cost share. Cost share must be approved by the Department, paying department account budget provided and approved by the Provost for Academic Affairs. Also, add a 3% salary increase each year to account for any salary increases and include a line stating that the increase is subject to University and Legislative approval.

FRINGE BENEFITS

Faculty Fringe benefits at 34% and graduate student at 8.25% will be charged at the currently approved and anticipated rates.

Where graduate students will be used don't forget to allocate \$2,200 for health insurance for the year or \$185 per month.

EQUIPMENT

Equipment funds are requested in year one to purchase: [list all equipment to be purchased for use on the project and provide the cost for each individual piece of equipment or distinct component.]

Laser Ablation System	\$65,000
Gas Exchanger	7,400

Total equipment requested: \$72,400

(Each individual equipment item or total of all components must cost at least \$5,000 and have a useable life of more than one year. Please ascertain and include shipping cost.)

TRAVEL

Travel funds are requested for the Principal Investigator and a graduate student(s) to attend XXXXX conference relating to the research being proposed. You can list specific costs in the following manner:

Lodging	Per Diem	No. of Days	Subtotal	Airfare	No. of Travelers	Total
\$95.00	\$59.00	4	\$616.00	\$750	3	\$4,098.00

Identify and justify foreign travel separately, naming the conference to be attended, dates, and attendees.

(Be sure to spell out all conference names - do not use acronyms or abbreviations.)

PARTICIPANT SUPPORT COSTS (describe as necessary if included in the budget) Participant Support Costs include expenses associated with *participants* in specific program-sponsored conferences and/or workshops. Do not include expenses for workshop presenters. Include the number of participants budgeted for; travel expenses, if appropriate; and other associated participant expenses.

No. of Participants	Travel Expenses	Materials	Total
6	\$75	\$100	\$1,050

OTHER DIRECT COSTS

Other Direct Costs may include some or all of the expense categories below:

- Materials and supplies (if not included in a separate cost category): include the project costs of laboratory and other project-specific supply items (scientific software programs and licenses, research material, shipping costs associated with material and supplies, etc.), and items costing less than \$5,000 and not considered "equipment." List in as much detail as possible.
- Publication costs: include funds requested for the publication of the results and the preparation of presentations and posters.
- Consultants: itemize each consultant, rate per day, number of days, any additional costs such as travel, lodging, supplies, and total cost for each consultant. Describe deliverables as it relates to the project.
- Subawards: Identify and briefly describe other institutions involved in the project and total costs requested for each. Describe deliverables and scope of work as it relates to the project. Provide latest and approved indirect costs rate agreement.
- Other Costs (generally for services rather than items): miscellaneous project specific costs such as speaker fees, maintenance contract fees, payments to human subjects involved in the research, and other costs that do not fit in categories mentioned above.

NOTE: Letters from consultants and subcontractors* are required as part of any budget including these items. These letters should agree with the dollar amount requested for them and other items pertaining to them that may be itemized in FAMU's budget. (*A budget, budget justification and scope of work are also needed from each subcontractor.)

FACILITIES AND ADMINISTRATIVE COST (F&A)

F&A is charged at the approved rate of 48% of modified total direct costs (MTDC). MTDC excludes equipment costs (items costing \$5,000 or more); pooled graduate student tuition remission and stipends; and the amount of each subaward over \$25,000.