Proposal Development:

The Office of Sponsored Programs (OSP) can assist faculty in successfully securing external funds that will advance the science and technology base and support basic and applied research.   The Office of Sponsored Programs assists faculty in identifying funding opportunities, proposal budget development, proposal content and technical reviews, human subjects reviews, proposal submission processes, and upon request serves as a liaison between the principal investigator and various stakeholders.

A detailed explanation of UNA policies on proposal submission and award management is provided in '*Guidelines for the Acceptance and Use of Externally Funded Grants and Contracts*', **http://www.una.edu/sponsored-programs/**

Overview of Proposal Process and Award Lifecycle:

1. Identifying Sources of Funding:

Funding Sources:

Grants.gov email notices - Notification of federal grants. www.grants.gov
NIH program updates - Notices for NIH program changes, new RFAs, and new PAs. http://grants.nih.gov/grants/guide/listserv.htm
NASA Program updates - NASA program announcements, updated information, publication, and upcoming events at NASA. http://procurement.nasa.gov/cgi-bin/nens/index.cgi
NSF program updates - Up-to-date NSF information, publications, and program announcements. www.nsf.gov
Chronicle of Philanthropy - A newsletter concerning the non-profit world, giving updates on new programs and call for submissions from foundations. http://philanthropy.com/section/Home/172/
Community of Science - Information on federal and regional governments, foundations, professional societies, associations, and
corporations. http://www.cos.com/services/funding.shtml
Foundation Center - Maintains a database on over 70,000 agencies and over 300,000 grants. http://foundationcenter.org/newsletters/
Grants.net - Find funding opportunities for training in Biological and Medical Sciences. http://grantsnet.org/funding_news_alert.cfm.
Senator Sessions
Website: http://sessions.senate.gov/public/index.cfm?FuseAction=ConstituentServices.FederalGrants.
Federal Register: http://www.gpoaccess.gov/fr/
Broad Agency Announcements for Department of the Navy, Department of the Army and United States Air
Force: http://www.arl.army.mil/www/default.cfm?page=8, www.onr.navy.mil; http://www.wpafb.af.mil/library/factsheets/factsheet.asp?id=8127

Other sources of funding can be found directly on agency specific websites, such as the Department of Education, National Endowment for the Humanities, Department of Energy, and National Institute for Science and Technology.

2. Proposal Development

OSP Assistance: The OSP can assist faculty with review of proposals, understanding the administrative requirements of proposals submissions, technical review of proposals, and budget development.

Each funding agency has different policies regarding submissions, budgets and proposal content. As such the OSP recommends you contact our office as early as possible to allow sufficient time to review the guidelines for the particular program in which you are applying, so that any pertinent information can be passed on to you. At a minimum, the faculty member must notify the OSP of intent to submit a proposal 30 days prior to the submission deadline. This timeframe is necessary to ensure sufficient allowance for the preparation of all agency requirements. To further expedite your submission, you are encouraged to submit, via e-mail, all non-narrative information as early as possible. That way, the OSP will have time to finalize the budget within university regulations and to make sure all the forms are filled out in accordance with both university regulations and grant specific regulations.

The University of North Alabama's Office for Sponsored Programs will submit the completed application to the agency. All applications are submitted by OSP because the grant is awarded to UNA and not the Principal Investigator (PI). Instead, the PI administers the project for UNA. Therefore, each grant is thoroughly reviewed by the OSP.

Each complete proposal needs to be submitted to the OSP no later than 7 business days before the agency submission deadline date. Timely submission of proposals to the respective funding agency is not guaranteed for proposals not received by the OSP prior to the 7 business day guidelines.

Writing Resources:

UNA's Center for Writing Excellence, is available to assist faculty with review of proposals for grammar, organization and flow of proposals.

Other proposal writing resources include the CFDA, https://www.cfda.gov/, NSF, www.nsf.gov, Dr. S. Joseph Levine of Michigan State University provides a comprehensive step-by-step guide. http://learnerassociates.net/proposal/ and Dr. Jacob Kraicer of the University of Toronto offers his guide to grantsmanship. http://www.hfsp.org/how/ArtOfGrants.htm

2. Institutional Approvals and Policies

Each grant application or contract must be routed through the university before it is sent to the funding agency. Funding agencies award the University the grant and the PI works on the grant

for the university. While the PI is responsible, any positive or negative result of the project reflects on the University as a whole.

Notification: Via email, PI's must notify the OSP, department chair and dean of his or her college of intent to submit a proposal. The PI must include agency name, CFDA number and or website of announcement. This notification will serve as notification to OSP to begin required administrative processes.   Once a proposal has been submitted to the funding agency, the OSP and PI(s) provide the respective department chair and dean with copies of all submitted documents.

Cost Sharing: The University does not cost share unless it is required by the funding agency. If cost sharing (matching) is required, then the PI, in conjunction with the OSP, will gain the proper approvals from the department chair, dean, Vice President for Academic Affairs, Vice President for Business and Financial Affairs and the President, prior to grant submission.

Compliance: Depending on the scope of the proposed effort and agency requirements, varying pre-award and post award compliance reviews may be required. It is the responsibility of the PI to meet all compliance requirements, including human subjects, animal use, and conflicts of interest policy.

Sub-Contracts: All sub-contracts on a project must have a budget, budget justification, scope of work, and letter of commitment for routing. If the proposal is a sub-contract from another institution, it still must be routed through the OSP. The university must sign off on the contract and submit a signed letter of commitment to the prime agency.

Proposal Submission: Once all the materials have been received, the OSP will submit the proposal and all supporting documents to the funding agency. The OSP will provide to the PI copies of all submitted documents, submission receipt, and the agency tracking number.

3. Award Acceptance and Negotiation

Award Acceptance and Negotiation: Depending on the funding agency, the OSP may or may not be notified on an award. It is contingent on the PI to notify the OSP of an award. In turn, the OSP will immediately notify the PI of award notifications. Once notification of an award has been received by the OSP, a budget account will be established in accordance with State and Federal Audit guidelines, and as approved by the funding agency.

Each agency requires different information when a grant is starting. Below are common requests.

- **IRB:** If Human Subjects are involved in the project, then a completed IRB approval will be needed by the agency (and OSP) before the project may begin.
- **IACUC:** If Animal Subjects are involved in the project, then a completed IACUC approval for each species and stain will be needed by the agency (and OSP) before the project may begin.
- **Other Support:** Other support is a listing of all current and pending support for key personnel, including the amounts of each project and the FTE devoted to each project.

- **Revised Budget:** If any changes are needed (i.e. The agency funded the project at a lower level than requested) then a revised budget will need to be drawn up for both the agency and OSP. If there are any internal changes (such as changes in compensation) then a new budget will need to be drawn-up for OSP.
- **Drug-Free Workplace:** The Drug-Free Workplace Act of 1988 (Public Law 100-690, Title V, Subtitle D, as amended) requires that all organizations receiving grants from any Federal agency agree to maintain a drug-free workplace.
- **Conflict of Interest:** The NIH and NSF require a conflict of interest form to be up to date and on file with the University – See *'Guidelines for the Acceptance and Use of Externally Funded Grants and Contracts'*.

Rejections: The OSP will close the file and notify the PI (if necessary) of the rejection.

4. Project Start-Up

Prior to project start-up and establishment of a budget account, a designated PI must be identified. Designated PI's will have sole signature authority on all PO's, PAF's, travel, hiring documents, time and effort certifications, and other grant documents or expenditures. In cases where an award has multiple PI's, the awardees must notify the OSP of a designated PI.

Once an account has been established and the PI has secured the necessary compliances, (human subject's approval, conflict of interest etc.), the PI can begin to expend funds. Personnel Action Forms (PAF's), purchase orders, sub-contracts, and other necessary financial forms must be completed and approved by the appropriate authorized department prior to incurring a financial expenditure.

At the start of the research effort, PI's are encouraged to work with departmental support staff to help with financial procedures and award management.

5. Award Management and Execution

PI's are responsible for managing their awards and executing the research effort in accordance with UNA, Federal, State and funding agency guidelines. These include, but are not limited to, the following:
   a. Timely submission of progress reports to the funding agency as stipulated by the terms of the grant. The OSP is willing to assist with reporting and will make every effort to remind you of report due dates, but reminders of due dates cannot be guaranteed.
      i. Copies of progress reports must be submitted to the OSP. These reports are used for supporting documentation and are included in quarterly financial reports submitted by the Business Office to the respective funding agencies.
   b. Time and Effort Reporting –see *'Guidelines for the Acceptance and Use of Externally Funded Grants and Contracts'*.

i. The awarding agency has the right to audit your project at any time. Therefore, Time and Effort reporting is essential in keeping with agency audit mandates and state, university, and federal auditing guidelines.

c. No-Cost Extensions – Although, the OSP makes every attempt to notify the PI of a pending grant expiration date; ultimately, the PI is responsible for monitoring award end dates and if necessary requesting any no-cost extensions. Typically, no-cost extensions should be submitted to the funding agency 90 days prior to award expiration. Approvals of no-cost extensions can be a timely process and the PI needs to allow for sufficient processing time.

d. Budget Revision Requests and Approvals – Changes to an approved budget normally requires agency approval and can take several weeks to secure. PI's requesting revisions or changes to the agency approved budget must submit their request in writing along with a justification to the OSP. Contact the OSP for specific guidelines in drafting the budget justification. The OSP will forward your request to the funding agency for approval and or negotiation.

e. Award Close Out – upon completion of the research, the PI must submit a final report and or deliverables to the funding agency, with copies to the OSP. The PI must notify the OSP of award close-out and submit all pending expenditures within 30 days of the notification.

i. Expenditures incurred prior to award begin date or after award end date are not reimbursable from grant funds, without prior written approval from the funding agency.