

# 2013

## OFFICE OF RESEARCH SPONSORED PROGRAMS HANDBOOK



FACULTY AND  
ADMINISTRATORS  
TENNESSEE  
TECHNOLOGICAL  
UNIVERSITY

9/4/2013

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**OFFICE OF RESEARCH**

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# OFFICE OF RESEARCH SPONSORED PROGRAMS HANDBOOK

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**1.1 Mission of the Office of Research**

The mission of the Office of Research is to provide leadership in promoting, supporting, and facilitating research and creative activities of the University community to achieve the highest possible levels of success with sound ethical consideration.

## **Chapter 1 GENERAL GUIDANCE TO EXTERNAL FUNDED ACTIVITIES**

### **1.2 What is a Sponsored Project or Research Initiative?**

Sponsored projects originate from external sources, such as state, federal or private funds allocated in the form of an award to the university to support research, instruction, training, service or other scholarly activities as stated in an agreement for one of the following conditions:

- The award requires an endorsement or authorization (authorized signature or other practice designated as acceptance) and binds the University to specific terms and conditions.
- The agreement includes a Statement of Work (SOW) and obligates the Principal Investigator (PI) to a designated scholarly or scientific inquiry as proposed in the plan, provides testing and evaluation, and seeks to achieve performance goals.
- The agreement outlines how funds designated in the budget will be used for itemized expenses, function or project period.
- The agreement requires fiscal accountability as evidenced by the submission of financial reports, audit documentation, or the return of unexpended funds to the agency at the conclusion of the grant period.
- The agreement obligates the Principal Investigator to report project outcomes and communicate oversight of tangible and intangible assets as a result of the project, including but not limited to equipment, records, technical reports, thesis or dissertations. Intangible properties include rights in data, copyrights or inventions.
- The agreement requires considerations such as indemnification or imposes other terms of legal accountability.
- The agreement prohibits or inhibits the University or PI from execution of activities associated with a normal academic setting.

### **1.3 Who Can Submit a Proposal for Externally Sponsored Funds?**

All tenure track faculty are eligible to be Principal Investigators. Others requesting to submit proposals as the Principal Investigator for the first time must obtain special approval of the Associate Vice President of Research. The request must be communicated to the Office of Research prior to the development of the proposal through the Intent to Submit Form. The early notification will ensure time to review the proposal by the departments and units for authorization and approval.

- Authorization for Non-Faculty PI Form

## 1.4 Administrative Offices in Support of Research

Sponsored research and project administration is a combined effort of the Office of Research, Office of Business and Fiscal Affairs, Deans, Chairs, Directors and the Principal Investigator (s).

### Corporate Responsibilities

Extramurally sponsored research and projects are awarded under the aegis of the University, in the name of Tennessee Technological University. Awards of funds for sponsored research and projects are to the University and commitments are bonded through the agreements as obligations. Any work performed by a faculty of the University under a project must be considered as work performed for the University.

### Office of Research

The purpose of the Office of Research is to support faculty in developing strong research programs and producing quality competitive research proposals. Whether seeking funding opportunities, providing easy access to policies, or assisting in proposal preparation, the goal is to offer effective strategies, responsive information and tangible assistance to the Tennessee Technological University community.

### General Guidance of the Administration of Sponsored Research and Projects

The Office of Research supports the Principal Investigator and provides services for Proposals, Award Management, Contract and License Negotiation, Data Access and Support Services, Research Administration, and Regulatory Compliance.

The following list is an outline of services:

- Facilitate the identification of funding opportunities
- Train and assist with proposal development
- Submit proposals to funding agency
- Monitor project and research to ensure compliance
- Negotiate agreements, contracts and grants
- Facilitate the execution of agreements, contracts and grants
- Coordinate training for compliance of agreements, contracts and grants
- Facilitate the protection of Intellectual Property and Technology Transfer
- Review sponsor guidelines and identify key issues
- Facilitate meetings with Principal Investigator, business office, other appropriate departments and units
- Collaborate with university and community stakeholders, as appropriate during the proposal process
- Develop a timeline for all input and approvals
- Involve Procurement, Grants Accounting, Human Resources as needed
- Collaborate with PI on budget and creates new record using the budget form
- Prepare budget and review budget justification
- Review proposal text for budget related statements
- Review cost sharing commitments and prepares necessary cost share forms
- Review proposal format requirements, # of pages, etc., if time permits
- Complete forms for certification as necessary
- Submit proposal to funding agency

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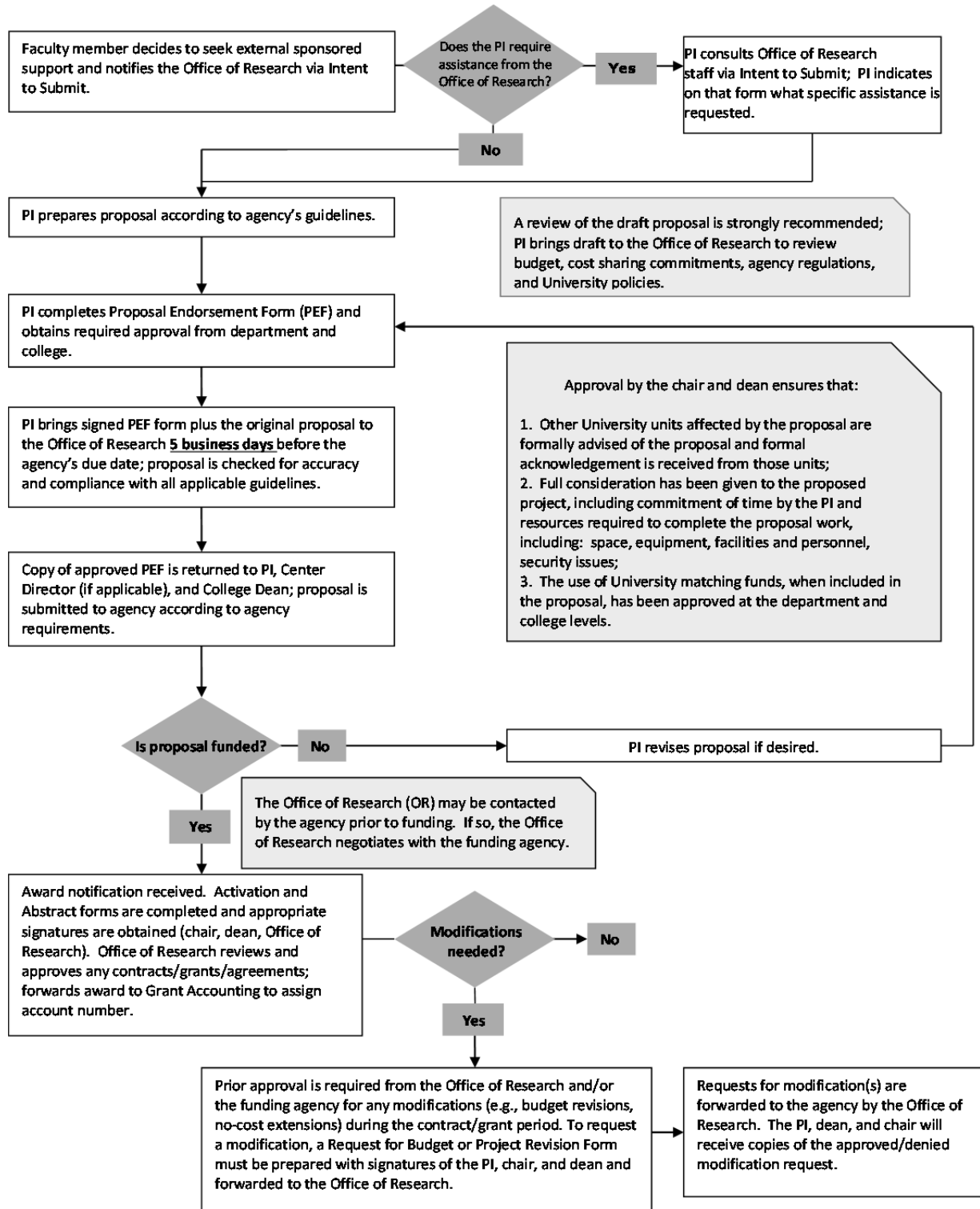
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- Communicate with Principal Investigators regarding warnings and errors as notified by the electronic system and agency
- Assist with sponsor forms and electronic submission systems
- Assure the proposal meets all sponsor guidelines and is in final form, as time permits
- Assure appropriate academic signatures are obtained
- Assist with sponsor requests for re-budgets, etc.
- Provide University approval for proposal
- Respond to Research email
- Maintain website and digital content
- Provide technology support



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## 1.5 Pathway for Proposals



## Chapter 2 SOURCES OF FUNDING

### 2.1 Funding Opportunities

The Office of Research supports internal and external funding opportunities. An example of internal grant awards are the Faculty Research Awards given to faculty for planning, development, data collection, implementation, evaluation, publication and presentation. External grants are sponsored through entities outside of the university, such as federal, state, private industry and foundations. These funding opportunities are awarded according to the criteria of the agency or sponsor. A list of funding opportunities, search tools, and e-mail alerts for GENIUS, SPIN and SMART are listed on the Office of Research website.

### 2.2 Internal Funding Opportunities

The Office of Research administers the programs listed below. These programs are funded from university resources.

- **The Faculty Research Grant Program** is created to support: (a) scholarly and creative accomplishments of faculty in disciplines where external funding is typically not available; (b) faculty who have limited experience in applying for and receiving competitive external funding, and (c) pilot projects that are expected to lead to the development and submission of proposals for external funding. Applicants may be tenured or non-tenured faculty.
- **Caplenor Faculty Research Award** was established in 1984 to encourage faculty research. The award is given annually to one member of the faculty for outstanding pure or applied research during tenure at the University. Nominations will be made by submission of a signed nomination form. Full-time faculty of Tennessee Technological University may nominate themselves or any other member of the faculty.
- **Undergraduate Research and Creative Activity (UREACA!)** program provides monetary assistance for undergraduates to pursue research and creative initiatives. Support is awarded through mini-grants, summer stipends, and travel awards for students and faculty mentors.
- **Research and Scholarly Incentive Award** provides faculty incentive awards according to established criteria.

See Research and Scholarly Incentive Award policy:

[http://www.tntech.edu/files/research/policystatements/Research\\_Incentive\\_Policy.pdf](http://www.tntech.edu/files/research/policystatements/Research_Incentive_Policy.pdf)

#### External Funding Opportunities

Information and resources for external funding opportunities may be accessed via the Office of Research or agency's website using the link:

<http://www.tntech.edu/research/>

### 2.3 External Funding Sources and Funding Search Tools

- **Sponsored Programs Information Network (SPIN)** provides intuitive and easily customizable access to the most extensive research funding opportunity database including: 40,000 Opportunities from 10,000 Sponsors. SPIN provides fully customizable searches with extensive

subject heading vocabulary. For easy access, the U. S. Library of Congress subject heading is used to index content.

- **Grants.gov** is the site to find, apply and track federal grants. The University is registered with Grants.gov. As a faculty or administrator, registration is not required to access 26 federal grant-making agencies.
- **Federal and Foundation Assistance Monitor** is a resource for new public and private grant opportunities and policy news including education, economic development, housing, children and youth services, substance abuse and health care. For foundations, the on-line document includes areas of interest and projected grant awards.
- **Federal Register** is the official journal of the federal government that contains most routine publications and public notices, proposed rules and final rules on grant opportunities of government agencies. It is the final rules promulgated by a federal agency and published in the Federal Register are reorganized by topic or subject and codified in the Code of Federal Regulations (CFR).
- **Research Development and Grant Writing Newsletter** is a publication of newsletters and booklets that provide information, insight and expertise that can be used to develop the art and science of proposal writing. TTU subscribes to the monthly *Research Development and Grant Writing Newsletter* and has purchased *The New Faculty Guide to Competing for Research Funding*. This information requires the University's login information for username and password. It may be accessed using the link:

<http://www.tntech.edu/research/proposal-development/>

## 2.4 Email Alerts

**Email alerts are notifications routinely transmitted from agencies or databases to provide information on funding opportunities. Faculty and administrators are encouraged to visit the websites to register for these services.**

- **Global Expertise Network for Industry, Universities and Scholars (GENIUS)** is a site for Faculty to store curriculum vitae information in the GENIUS profile. The database has a search option for potential research collaborations. The GENIUS profile stores search criteria to assist faculty with matching interest to the corresponding data in the Sponsored Programs Information Network (SPIN). Searches are delivered via Spin Matching and Research Transmittal Service (SMARTS). The two ways to access SPIN: On-Campus and Off-Campus (Faculty must create a Genius Profile; profiles are mandatory for email).
- **National Science Foundation Update (replaced MyNSF)** is a database of the National Science Foundation. Alerts are distributed according to the research interest and funding opportunities of the agency. It allows access to new content categories, images, videos, events and deadlines for upcoming funding opportunities. Registration is required, refer to the web link:  
[http://service.govdelivery.com/service/multi\\_subscribe.html?code=USNSF&custom\\_id=823](http://service.govdelivery.com/service/multi_subscribe.html?code=USNSF&custom_id=823)
- **National Institutes of Health (NIH) Guide Announcements** are published daily in these forms: Funding Opportunity Announcement (FOA), Program Announcement (PA), and Request For Application (RFA). NIH transmits an email to subscribers with the Current Weekly Table of Contents (TOC). Registration is required, refer to the web link:  
<http://grants.nih.gov/grants/guide/listserv.htm>.  
Also subscribe to the RSS feed: [http://grants.nih.gov/grants/guide/rss\\_info.htm](http://grants.nih.gov/grants/guide/rss_info.htm)

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## 2.5

### Federal Sponsors URLs

American Reinvestment and Recovery Act (ARRA)

<http://www.recovery.gov/Opportunities/Pages/Grants.aspx>

Department of Agriculture

<http://www.csrees.usda.gov/fo/funding.cfm>

Department of Commerce

<http://www.nmfs.noaa.gov/aquaculture/funding/funding.html>

Department of Defense

<http://www.defense.gov/fag/pis/21.html>

Department of Education

<http://www2.ed.gov/fund/landing.ihtml?src=rt>

Department of Energy

<https://eere-exchange.energy.gov/>

Department of Homeland Security

<http://www.fema.gov/topics-audiences>

Department of Housing and Urban Development

[http://www.huduser.org/portal/oup/research\\_partnerships.html](http://www.huduser.org/portal/oup/research_partnerships.html)

Department of Justice

<http://www.justice.gov/business/>

Department of Labor

<http://www.dol.gov/dol/grants/>

Department of State

<http://mepi.state.gov/mepi/english-mepi/funding-opportunities.html>

Department of Treasury

<http://www.treasury.gov/initiatives/ofr/research/Pages/Proposals.aspx>

Environmental Protection Agency

[http://www.epa.gov/ogd/grants/funding\\_opportunities.htm](http://www.epa.gov/ogd/grants/funding_opportunities.htm)

Foundations

<http://foundationcenter.org/>

Federal Business Opportunities

<https://www.fbo.gov/>

Federal Register

<https://www.federalregister.gov/>

Grants.gov

<http://www.grants.gov/web/grants/home.html>

National Aeronautics and Space Administration

<http://www.nasa.gov/about/research/index.html>

National Science Foundation

[http://www.nsf.gov/funding/pgm\\_list.jsp?org=ENG](http://www.nsf.gov/funding/pgm_list.jsp?org=ENG)

USAID-US Agency for International Development

<http://www.usaid.gov/div/>

## Chapter 3 PROPOSAL DEVELOPMENT

### 3.1 Proposal Development

A proposal is a document used to apply for sponsored program funds. Most funding organizations have specific requirements for awards. The federal government awards grants for two reasons: (1) it addresses a national need; or (2) it is an opportunity for innovation. Foundations provide grants according to a designated area of interest. The program funding announcements include the detailed requirements. Although grant opportunities may be offered by diverse entities, the proposal format includes common elements: Need, Goals and Objectives, Significance, Management Plan, Personnel Plan, Implementation Plan, Evaluation Plan and Budget.

#### Initial Contact with the Sponsor

A key element of successful proposal writing is establishing a relationship with the potential sponsor early in the process. The purpose of the initial contact is to confirm the common areas of interest of the sponsor and the Principal Investigator (PI). Establishing a point of contact within the funding agency can provide assistance in writing the proposal, responding appropriately to the solicitation as well as serve as a resource for questions. Principal Investigators may contact the agency to confirm research interest in the following ways: (1) telephone, (2) office visit, (3) submit a Letter of Intent or preliminary proposal via parcel or electronic mail. Prior approval is not warranted for contacting a government agency for potential funding, although approaches to foundations and corporations require a clearance by University Advancement before contact is established.

Note: The rationale is the University is responsible for all aspects of the institution. The charge of University Advancement is to seek external funding. Priority must be given to this capacity of the University to ensure priorities are enforced and requests are not diminished or duplicated.

#### Proposal Preparation

The format or presentation of a particular proposal will depend on the requirements of the sponsor. Most sponsors have developed policies and procedures for the submission of the proposals and may require the use of specific application forms or electronic web-based systems. It is mandatory that the Principal Investigators (PI) must obtain the most recent version of the sponsor's application guidelines and must follow the required proposal format, without exceptions. Guidelines or URLs must be forwarded to the Office of Sponsored Research coupled with the application for review well in advance of the deadline of the proposal to facilitate timely development, internal review, and processing in the Office of Research.

Note: The Office of Research reserves the right to withdraw the application if the terms and conditions of the grantor do not meet Tennessee Tech University standards.

It is most strategic to begin the writing process months in advance of any expected deadline. Develop a self-imposed timeline and monitor performance for achieving the milestones. Depending upon the complexity of the application, time estimates for a new application may vary from two to four months or longer. Renewals and revisions of applications may require less time, although a plan of action is advised to ensure appropriate response to every detail of the application.

## 3.2 Proposal Notification

Communication is vital to ensure the proposal is processed according to University policy and agency guidelines. Principal Investigators (PI) must notify the Office of Research as soon as the decision is made to submit a proposal opportunity. The PI must do the following:

- Submit an Intent to Submit Form  
[http://www.tntech.edu/files/research/intent\\_to\\_submit.pdf](http://www.tntech.edu/files/research/intent_to_submit.pdf)

### Interdisciplinary Proposal Information

Funding agencies encourage interdisciplinary and collaborative proposals that are ambitious in nature and foster a broader impact on the university, community and academia. It is most favorable for the successful outcomes of the initiative to be replicated and presented as a model of one of the best practices in higher education. It is mandatory for the Office of Research to be informed of the endeavor in the early stages to ensure a special coordinated effort of support in the preparation to include:

- Developing reasonable time lines for all input and approvals
- Reviewing sponsor guidelines and identifying any unique requirements for the proposal
- Preparing the budget
- Following-up with subcontractors to obtain institutionally approved work statements and budgets
- Assistance with securing approvals for cost sharing commitments
- Securing approvals for a new center or institute (if necessary)

## 3.3 Roles and Responsibilities in Proposal Development Process

A successful proposal submission involves the cooperation and interaction of several departments and units of the University. Communication is the key to ensuring all stakeholders, departments and units are involved in the process. Roles and responsibilities will vary according to the academic function. It is extremely vital to the process that the Office of Research is notified in writing (Intent to Submit Form) early and frequent contact throughout the process is maintained as soon as the Principal Investigator becomes aware of the opportunity.

### Principal Investigators

The Principal Investigator(s) have pre-award and post-award responsibilities.

#### Pre-Award

- Notifies Office of Research of intent to submit proposal as soon as PI becomes aware of opportunity (Intent to Submit Form)
- Read and familiarize team with application requirements for submission
- Works with the Office of Research on preparing budget
- Notifies Office of Research of collaborating institution(s) and provides business contacts
- Completes application and any other necessary agency forms in compliance with agency guidelines with the assistance of the Office of Research.  
(May include: Checklist, Bio sketch, Budget Justification, Current and Pending, etc.)
- Assures the proposal meets format requirements (fonts, page numbers, etc.)

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- Solicits and secures all cost share commitments
- Completes proposal checklist
- Forwards entire proposal to Office of Research
- Makes changes to documents as needed or required
- Provides contact information to the Office of Research for any proposal questions throughout the review process
- Sign the Proposal Endorsement Form

### Post-Award

- Review the award document for agency requirements
- Manage the project according to the Statement of Work (SOW).
- Modifications to the SOW require approval of the department chair, dean and Office of Research and Economic Development.
- Expend and manage funds in conformity with the approved budget
- Modify or change expenditures of the original budget require agency approval
- Monitor the budget to eliminate account overages and overdrafts
- Adhere to the Conflict of Interest in Research Policy to submit disclosures for investigators
- Review and validate expenditures generated on the project, including for the subward(s)
- Complete Time and Effort Certifications and Timesheets
- Contact the Office of Research regarding Intellectual Property
- Adhere to the Human and Animal Subjects Policies (university, federal and sponsor)
- Maintain property and equipment according to policies (university, federal and sponsor)
- Submit technical reports and other deliverables as required
- Monitor cost share requirements and fiscal documentation
- Complete award requirements stipulated by agency
- Contact the Office of Research for security and export control
- Notify the department and University Property Officer of receipt, return of equipment or property

### **Dean or Vice President for Research and Economic Development**

- Reviews and agrees on department cost sharing commitment
- Reviews any space commitment
- Signs Proposal Endorsement Form (PEF) to indicate approval of proposal for transmission to sponsor
- Approves the programmatic and fiscal monitoring of sponsored research and award recipients

### **Department Chair and Center Director**

- Reviews text to ensure research is within Tennessee Technological University's mission, scientifically valid, etc.
- Reviews and agrees on release time
- Reviews and agrees on cost share commitment
- Signs Proposal Endorsement Form (PEF) to indicate approval of proposal for transmission to sponsor

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## **Project Bookkeeper**

- Assist the Principal Investigator with budget monitoring to ensure expenditures are authorized
- Communicate with the Principal Investigator and university staff to resolve budget management issues
- Review invoices and expenditures to ensure funds are disbursed for the proposed expenditures
- Develop and maintain documentation and record management
- Audit and reconcile award, invoices and expenses for budget alignment
- Reviews invoices to ensure enforcement of university policy and federal regulations
- Audits records regularly and maintains records as documented evidence

## **Grant Accountant**

- Collaborates with the Book Keeper to enforce accounting principles for fiscal management
- Reviews invoices to ensure enforcement of university policy and federal regulations
- Submits invoices to funding agency for payment within a reasonable time period as articulated in the agreement
- Responds to issues relative to billing or invoicing of the project
- Prepares and submits any required Financial Reports as articulated in the agreement
- Acts as liaison between project bookkeepers and payroll in Human Resources

## **Office of Internal Audit**

- Conducts audits on agreements, contracts and grants as requested by the Office of Research

## **Office of Research**

- Facilitate the identification of funding opportunities
- Train and assist with proposal development
- Submit proposals to funding agency
- Monitor project and research to ensure compliance
- Negotiate agreements, contracts and grants
- Facilitate the execution of agreements, contracts and grants
- Coordinate training for compliance of agreements, contracts and grants
- Facilitate the protection of Intellectual Property and Technology Transfer
- Review sponsor guidelines and identify key issues
- Facilitate meetings with Principal Investigator, business office, other appropriate departments and units
- Collaborate with university and community stakeholders, as appropriate during the proposal process
- Develop a timeline for all input and approvals
- Involve Procurement, Grants Accounting, Human Resources as needed
- Collaborates with PI on budget and creates new record using the budget form
- Prepare budget and review budget justification
- Reviews proposal text for budget related statements



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- Reviews cost sharing commitments and prepares necessary cost share forms
- Reviews proposal format requirements, # of pages, etc., **if time permits**
- Completes forms for certification as necessary
- Submits proposal to funding agency
- Communicates with Principal Investigators regarding warnings and errors as notified by the electronic system and agency
- Assist with sponsor forms and electronic submission systems
- Assures the proposal meets all sponsor guidelines and is in final form, as time permits
- Assures appropriate academic signatures are obtained
- Assist with sponsor requests for re-budgets, etc.
- Provide University approval for proposal
- Responds to Research email
- Maintains website and digital content
- Provides technology support

## Chapter 4 BUDGET DEVELOPMENT

### Office of Research Homepage

The Office of Research website is the central point of communications for sponsored programs and research. The home page includes resources for Policy and Procedures, Proposal Preparation, Budget Development, Processing Forms (internal and external), Electronic Submission Procedures for Deadlines, Tracking and Grant Management. Web links to all major federal agencies and the University's information for proposal development is included on the website. For reference, the link is

<http://www.tntech.edu/research/>

### Budget Preparation Excel Format (Spreadsheet)

The Office of Research website includes an excel spreadsheet for budget development. The spreadsheet is in the Excel format and provides information to calculate all expenses using accurate University formulas, percentages and rates. All budgets for proposals should use this website and workbook to determine appropriate budgets and justifications for proposals. See website:

Budget Preparation: <http://www.tntech.edu/research/budgetpreparation/>

Essential Information: <http://www.tntech.edu/files/research/agreesforms/essentialinfo.pdf>

### Budget Development

The function of a budget for a sponsored project or research informs the sponsor of the cost related to achieving the statement of work or the implementation of the project. The budget should include only cost that is allowable, allocable and reasonable to support the objectives. The budget should be itemized and detailed to ensure transparency to the sponsor and provide a mechanism for dissemination of the award.

#### 4.1 OMB Circulars for Sponsored Projects

The Office of Management and Budget (OMB) is an arm of the federal government responsible for the enforcement of the cost accounting principles for higher education grantees. The OMB Circulars relative to universities include [OMB Circular A-21, A-110 and A-133](#).

##### OMB Circular A-21 Cost Principles for Educational Institutions

The A-21 Circular establishes principles for determining direct and indirect costs applicable to grants, contracts and other agreements with educational institutions. OMB Circular A-21 defines the criteria for costs assigned to the sponsored project as allowability, allocability and reasonableness.

[http://www.whitehouse.gov/omb/circulars\\_default](http://www.whitehouse.gov/omb/circulars_default)

- **Allowability:** Costs conformed to any limitations or exclusions as set forth in OMB Circular A-21. Examples of unallowable costs and under federal sponsorship include: alcoholic beverages, entertainment and memberships. Costs that do not meet all of the above criteria may NOT be charged to federal grants. Non-governmental sponsors may apply different cost principles. Principal Investigators should read the sponsor instructions carefully and consult with the Office of Research for assistance.

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- **Allocability:** The expenditure provides a direct benefit to the project (i.e., equipment cost used by two projects may be shared proportionately).
- **Reasonableness:** The nature of the expenditure and the amount reflects an action that a prudent person would take under the circumstances.
- **Consistent:** The cost is deemed consistent if, when incurred for the same purpose, in “like” circumstances, it is treated uniformly either as a direct cost only or an indirect cost only with respect to final cost objectives.

## **OMB Circular A-110 Uniform Administrative Requirements for Grants and Agreements with Institutions of Higher Education, Hospitals and other Non-Profit Organizations**

Circular A-110 sets forth the maximum administrative requirements that educational institutions must maintain. Individual federal agencies are required to implement OMB Circular A-110 as agency regulations, such as the NIH Grants Policy Statement or the NSF Grant Policy Manual.

[http://www.whitehouse.gov/omb/circulars\\_default](http://www.whitehouse.gov/omb/circulars_default)

OMB Circular A-133 Audits of Institutions of Higher Education and Other Non-Profit Institutions – The circular A-133 establishes audit requirements and defines federal responsibilities for implementation and monitoring requirements for institutions of higher education receiving federal awards.

[http://www.whitehouse.gov/omb/circulars\\_default](http://www.whitehouse.gov/omb/circulars_default)

## **Developing a Proposal Budget**

The proposal budget should provide a detailed description of all expenses and represent the itemized expenditures of the project accurately to complete the work. The budget should reflect the methodology described within the proposal narrative and justify the request for funds are sufficient and reasonable. Principal Investigators must follow the agency’s and university’s guidelines. (See the Research website for Budget Preparation (Excel Format) and Essential Information.)

Budget Preparation: <http://www.tntech.edu/research/budgetpreparation/>

Essential Information: <http://www.tntech.edu/files/research/agreesforms/essentialinfo.pdf>

## **Proposal Budget Justification**

The budget justification provides an explanation of all proposal related expenses, including salaries, fringe benefits, supplies, equipment, graduate fees and tuition remissions, travel, consultants and other allowable budget line items as designated by the agency guidelines. (See Office of Research Staff for assistance and website for budget development)

## **4.2 Major Budget Categories**

- **Direct Costs** are the total of the expenses that are directly related to executing the statement of work. Direct cost may include: personnel, fringe benefits, consultants, graduate students, equipment, computers, supplies, travel, and other direct cost as identified according to the agency regulations. **Direct Cost Policy:** <http://www.tntech.edu/research/direct-costs-on-contracts-and-grants/>

**Quick Reference for Allowable and Unallowable Cost:**

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<http://www.orsp.umesp.maine.edu/ORSPDocs/Info/ORSPTraining/104AllowCostsQuickRefGuide.pdf>

- **Personnel** should include only Tennessee Tech University faculty and staff. Collaborators at other institutions should be included either as consultants or within a subcontract budget. The salaries should reflect the approved university policy for position and grade, including percent of effort. Multiple year projects should demonstrate a cost of living increase for inflation. (Note: some agencies impose restrictions on the level of salaries through the implementation of a salary cap. Refer to the agency guidelines prior to budget development.)
- **Fringe Benefits** are the cost for health insurance, retirement benefits, Social Security, Medicare. Rates are charged to the grant according to the salary and the percentage of effort. Currently, the university's fringe benefit rate is 30.67% for faculty and administration with 9 months or 12 months contract. (See the Essential Information and Human Resources for more details).

## **Essential Information:**

<http://www.tntech.edu/files/research/agreesforms/essentialinfo.pdf>

- **Consultants** are hired experts to support specialty areas to ensure the successful achievement of the statement of work. Since consultants are not employees of Tennessee Technological University, the fees for service should be noted as a separate budget line item. To ensure compliance with federal regulations, refer to agency guidelines for allowable cost.
- **Graduate Students** may be hired to support a project if permitted by the agency guidelines. The allowable charges include the expenses for graduate students with a salaried appointment. Tuition and fee remission cost are included unless deemed otherwise by the agency.
- **Equipment (Capitalized)** required for the project should be included as an itemized cost with a justification of the expense. The University's policy for capital equipment is the benchmark for identification. The threshold for capital equipment is \$5,000.
- **Supplies** are consumable materials that are not characterized according to the threshold of capital equipment, including small items of equipment, cost of animals, etc. Items should be included in the detailed itemized budget with justification.
- **Travel expenses** incurred to support the project may be included according to the agency's guidelines. Expenses such as professional meetings, field study and conferences required by the agency are allowable. Allowable costs include per diem, meals, lodging, airfare, and ground transportation. Per Diem allocations are distributed based on the CONUS rate of the designated meeting site.
- **Other Direct Costs** are project expenses that are not routinely categorized, such as publications, equipment maintenance, rental fees, animal housing, communications cost.
- **Subcontracts (Subawards)** are legal and binding agreements for scientific or programmatic aspects of a grant made to Tennessee Tech University are contracted to another organization. The proposal submitted to the agency must include evidence of commitment from the subcontractor, (if identified) as well as a statement of work and proposed budget.
- **Indirect Costs or Facilities and Administrative Costs (F & A)** are not readily identifiable with individual projects. These costs are sometimes referenced as "overhead". They include categories such as library operations, utility costs, depreciation of buildings and equipment, operations and maintenance costs, grant and contract administration and accounting, general

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administrative expenses for central offices. Indirect Costs are based on a negotiated rate with the federal government by the University. The current University's Indirect Cost Rates:

- Modified Total Direct Costs (On Campus) 39.5%
- Modified Total Direct Costs (Off-Campus) 15.0%

**Essential Information:** <http://www.tntech.edu/files/research/agreesforms/essentialinfo.pdf>

**Note: Indirect Costs are not always allowable. Refer to the agency guidelines for applicable circumstances. See the Essential Information for more details.**

**For Indirect Cost Policy:** <http://www.tntech.edu/research/idc/>

### 4.3 Cost Sharing

**Cost Sharing and Matching Funds** is the percentage of the entire cost of the project not funded by the agency and is considered as a mutual agreement with the University, if funded, to share the burden of the cost of the project, thus "cost sharing".

**Criteria for Cost Sharing:** According to OMB Circular A-110, cost sharing must meet all of the following criteria:

- The cost sharing must be verifiable and auditable within the University's accounting system.
- The cost sharing must not be included as contributions for any other federally assisted project or program.
- The cost sharing is necessary and reasonable to accomplish project or program objectives.
- The cost sharing is allowable, according to cost principles (OMB Circular A-21), terms of agreement and the University's policy.
- The cost sharing must be funded from non-federal sources, unless authorized by federal statute.
- The cost must be incurred during the term of the agreement.

**(Note: Commitments to obligate the University to share in the cost of a project must be discussed with the Office of Research prior to engaging in the proposal process, in the initial phase of preparation and the engagement of the Principal Investigator(s).**

**For Cost Sharing Policy:** <http://www.tntech.edu/research/costsharing/>

## **Chapter 5 PROPOSAL REVIEW, APPROVAL AND PROCESSING**

### **Required Review and Signatures**

All applications must receive University approval prior to submission to an external sponsor. University policy requires the signatures of authorized officials to ensure compliance with sponsor and government regulations, acceptance of responsibility for the administration of the sponsored project, including the provision of adequate facilities and services and compliance with University policy. Authorization also indicates acceptance of terms and conditions of an award. (Refer to the Office of Research: Proposal Endorsement Form. Complete and return with proposal for submission).

### **University Proposal Endorsement Form Color Code:**

**Blue – Water Center Yellow-Energy Pink – STEM Center Green – Manufacturing Gold - University**

For Proposal Approval Policy: <http://www.tntech.edu/research/propapprvl/>

### **5.1 Procedures for the Submission of Proposals**

Proposals should be routed through the Principal Investigator's department prior to submission to the Office of Research at least five (5) working days prior to the agency's deadline to receive the application. The five (5) working days is required for administrative review and transmittal. Electronic applications are held to the same standards and policy as those submitted in paper formats.

All proposals submitted to the Office of Research for review and submission to a sponsor, regardless of method, must be accompanied by the following items (if applicable):

- **Proposal Endorsement Form – Completed with all required signatures of authorization**
- **Budget (Refer to budget preparation on website for assistance)**
- **Cost Share Commitment Forms**
- **Proposal – Final Form: narrative, budget, budget justification, etc.**
- **Electronic Files, Packages or Additional Sponsor Copies**
- **Subaward Information**
- **Other Sponsor Requirements**
- **Letters of Support**

**Note: The Proposal Endorsement Form must be signed by the Principal Investigator and Department Chair, Dean, Vice President of Research and Economic Development, Director as well as any Co-Principal Investigator and their Department Chair.**

### **Electronic Submission**

Proposals that must be transmitted electronically must be reviewed and approved prior to submission to the sponsor. The Office of Research will review proposals for compliance with University and sponsor requirements given the applications are submitted five (5) working days prior to the submission deadline for the agency. The review will provide an opportunity to ensure that information provided related to any required assurances is accurate and complete.

### **Deadlines**

The agency requirements for deadlines may vary according to the application.

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- Agency Deadline is the date the agency must receive the proposal for review in the competition.
- Receipt Deadline is the date the agency receives the proposal.
- Postmark Deadline is date the postal service indicates the item was received.

Note: Most proposals will not be reviewed if it is not received by the agency's deadline, as designated in the guidelines.

### **Proposal and Award Tracking**

The Office of Research maintains a database of all applications (proposals) submitted and awards received for external funding. Record management also includes official grant and contract notices of award documents. Principal Investigators should maintain copies of documents for their records and forward all official documentation to Grants Accounting for audit readiness.

### **Site Visits**

Sponsors may require a visit to the University to meet with the Principal Investigators and others responsible for the conduct and administration of the proposed project. The Office of Research should be notified prior to the visit to prepare required information.

## Chapter 6 AWARD ACCEPTANCE

Types of Awards are broadly identified as financial support for a specific research project, training program, equipment purchase or other activity. The four basic types of awards received by the University describe how they are allocated and controlled.

- **Grants** are transfers of funds to support specific projects that sponsors have interests without asserting active roles. Grants are given without expectation of delivery of a specific product or service other than a final written report. Grants are written documents with general terms and conditions that usually stipulate a project period and minimal reporting requirements. Grants can also be awarded through award letters. Subgrants from other entities are usually similar to grants received directly from a funding agency. They normally fund basic research, fellowships, and training. The principal purpose of the relationship is the transfer of funds to accomplish a public purpose. There is not a substantial involvement between the grantor and grantee.
- **Cooperative Agreements** create a collaborative relationship between Tennessee Tech University and the sponsoring agency, which is significantly involved with the project. The University does not have much latitude to modify the scope of work and the reporting requirements are usually restrictive. Cooperative agreements are routinely awarded in support of basic research.
- **Contracts** are agreements entered into to provide support for a specific purpose to the sponsor. Contracts are written documents enforceable by law, including detailed information called the state of work with a comprehensive budget.
- **Subcontracts** are subject to the terms and conditions of the prime award. Funds are transferred from a primary funding agency through another agency, industry or university to Tennessee Tech University.

### 6.1 Receipt of Award

Tennessee Tech University requires all sponsored awards to be reviewed and accepted by the Office of Research on behalf of the University. Important points to be considered in the **Notice of Award**:

- **Period of Performance:** These dates may not coincide with the dates of total project period
- **Name of Key Personnel:** The Principal Investigator is responsible for conducting the project in accordance with University policy and sponsor requirements.
- **Dollars Committed and /or Obligated:** The section identifies the terms for release of funds. Funds may be released at the beginning of the project or may be obligated incrementally. The sponsor is not legally obligated to pay dollars not yet obligated.
- **Future Year Commitments:** These funds are contingent on their availability and on satisfactory progress of the project. These amounts should be applied as projections for planning purposes only.
- **Cost Sharing:** If the sponsor requires the University to contribute resources to the project, it usually specifies the requirements in the award notice. Accounting and reporting on these costs is an audit requirement for the University.
- **Accounting and Reporting Obligations:** All awards require technical and financial reports. Most awards require patent and property reports.
- **Deliverables:** Under contracts, the University must deliver specified work products to the sponsor.
- **Payment to University:** Awards identify the method the University will be funded or reimbursed by the sponsor.



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- **Terms and Conditions:** The award may have additional terms and conditions which may specifically limit the availability or use of funds, need for prior approvals and similar additional oversight by the awarding agency. The University must understand these restrictions prior to incurring costs. The Principal Investigator must make note of these terms and conditions prior to engaging in activity.

See the following link for Contract Approvals, Project Activation and Modifications Policy:  
<http://www.tntech.edu/research/contractapprvl/>

### **Request to Modify a Sponsored Project**

Request to modify a sponsored project should be submitted in writing to the Office of Research. Any request to modify an existing grant should be routed through the appropriate Book Keeper. The request includes, but is not limited to the no – cost extensions, increases in funding, or budget line item changes that exceed the sponsor’s limitations.

### **Negotiation/Acceptance**

The Office of Research is responsible for reviewing all terms and conditions of an award prior to acceptance to ensure that the sponsor’s requirements are in alignment with the University’s policies and procedures. It is vital that the terms are clearly understood and all concerns are resolved before the award is accepted for the University. If a Principal Investigator is contacted directly by the sponsor, the Principal Investigator should refer them to the Office of Research.

### **Account Set-Up**

The Office of Research has an account establishment process. After an award has been accepted for the University, a grant is created by the Grants Accounting Office. The Principal Investigator is notified when an account has been established.

### **Catalog of Federal Domestic Assistance (CFDA)**

A CFDA number consist of five digits assigned to most grants and cooperative agreements funded by the federal government and governed by OMB Curricular A-110. It does not apply to federal contracts and purchase orders or Non-Federal agreements where no federal pass-through funds have been included.

### **Pre-Award Costs**

Pre-Award Costs are permissible under most federal grants and allow the institution to incur certain costs up to 90 days in advance of the actual award start date. All Principal Investigators must contact the Office of Research prior to initiating this option for prior approval.

## Chapter 7 POST-AWARD ADMINISTRATION

### 7.1 Financial Management

The Principal Investigator is responsible for the management of the funds. The Grants Accounting Office serves as the primary administrative liaison between Principal Investigator, sponsors and other University offices in the post award period regarding award specific sponsor guidelines and regulations.

See Contract and Grant Responsibilities Policy: <http://www.tntech.edu/research/contractresp/>

**Personnel:** appointments of all personnel to sponsored projects are subject to the Human Resource policies and procedures of the Tennessee Board of Regents and University.

### Faculty and Staff Salaries

A research project should be charged with a portion of each employee's institutional base salary equal to the proportion of time or effort devoted directly to the project unless an approved portion is cost *shared* by the University. For faculty with a nine-month appointment, one month of effort is one-ninth of the academic year salary.

### Professional Effort Reporting

OMB Circular A-21 sets federal requirements for the establishment of a Professional Effort Reporting System. The University has a written policy and procedure for Effort Reporting (Refer to the Human Resources Policy).

### Post Award Changes and Re-budgeting of Funds

Changes that occur in the conduct of sponsored projects require prior written approval from the sponsor. The approval is granted according to the sponsor's policy. Contact the Office of Research for submission of changes.

See Budget Revisions on Contracts and Grants Policy: <http://www.tntech.edu/research/budgetrevisions/>

### No-Cost Extension Request

The No-Cost Extension Request solicits approval of the sponsor to extend the termination date of a project without additional funds. The request must be processed 30 – 90 days prior to the scheduled termination date. Contact the Office of Research for submission.

No Cost Extensions Policy: <http://www.tntech.edu/research/no-cost-extensions/>

### Relinquishment of an Award

Principal Investigators should consult the Office of Research for the specific requirements of the award and agency prior to engaging in communications regarding this matter.

### Cost Allocations for Goods and Services

Cost Allocations for purchases by the University to conduct research may often benefit more than one sponsored award. Such cost must be allocated to the sponsored awards in proportion to the actual benefit received by the awards. (Refer to OMB Circular A-21 for methods for allocating an allowable direct cost to two or more grants.)

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## **Cost Transfers**

A cost transfer is the reassignment of an expense to a sponsored project after the expense was initially charged to another sponsored program or non-sponsored project. The Principal Investigator should review monthly reports to identify legitimate errors in a timely manner. Cost transfers must be supported by documentation which contains a full explanation of how the error occurred and a correlation of the charge to the project to which the transfer is being made.

## **Purchasing**

Principal Investigators should review the sponsor's criteria for allowable cost. Prior to purchasing or ordering any items on a grant, consult with the Purchasing Department of the University and review the policy for procurement.

## **Animal Charges**

Principal Investigators conducting protocols involving animals will incur animal-related charges, including purchases and husbandry costs. Charges for the purchase or caring for animals should not be charged to a sponsored award prior to receiving such approval.

## **Program Income**

Program Income is gross income directly generated by a supported activity or earned as a result of an award and earned the recipient during the period of a sponsored award. The treatment of program income on federal grants is stipulated by the administrative requirement of the award agency.

## **Financial Monitoring Overspending or Under Spending**

Overspending and under spending with projects can reflect poorly on the University. It can indicate inadequate planning or poor internal financial management. The Principal Investigator is responsible for carefully monitoring the budget and ongoing charges and expenses. If the Principal Investigator ends the project with a deficit, the University incurs the expense.

## **Project Reporting and Financial Close-out**

In the close-out phase of a grant, sponsors may require periodic financial and technical reports, as well as invention and property reports. The reporting schedule, format and requirements are outlined in the notice of award or agency general terms and conditions. The Principal Investigator is responsible for submitting the final technical report to the Office of Research according to the specified time period. Failure to submit this report could jeopardize future funding by the sponsor for the Principal Investigator and University.

## **Audit Request**

The Grants Accounting Office is the focal point for the coordination of a response for sponsored programs. The Office of Research will notify and arrange for the Principal Investigator or other individuals at the department or school to be available for an interview, if so requested.

## **Chapter 8 STANDARDS OF CONDUCT AND REGULATORY COMPLIANCE**

### **8.1 Policy**

Tennessee Tech University encourages faculty and students to pursue research and scholarly activities to strengthen and advance knowledge and intellectual discourse. Policy has been developed as a set of guiding principles to conduct business with the expectation that faculty, staff and students will abide. Tennessee Tech University's policy for research and scholarly activity is located on the website. See the following links:

- University Policy Policy Central [www.tntech.edu/policies/home/](http://www.tntech.edu/policies/home/)
- Office of Research Policy and Procedures <http://www.tntech.edu/research/home/>

### **8.2 Research Misconduct**

The University has developed policy and procedures to respond to allegations of misconduct in all areas of research to ensure ethical standards are maintained in the research that is performed under its auspices. Policy for Misconduct in Research: <http://www.tntech.edu/research/misconduct/>

### **8.3 Code of Ethics**

Tennessee Tech University expects ethical behavior. A statement of Tennessee Tech University's Code of Ethics is located on the following link:

[http://www.tntech.edu/files/facultysenate/TTU Code of Ethics draft v5 after changes applied.pdf](http://www.tntech.edu/files/facultysenate/TTU_Code_of_Ethics_draft_v5_after_changes_applied.pdf)

### **8.4 Protection of Human Subjects (IRB)**

The University has an Institutional Review Board (IRB) in accordance to federal regulations to ensure ethical research practices and the protection of human subjects.

Policy for IRB: <http://www.tntech.edu/research/hs-pol/>

### **8.5 Animal Care and Use**

The Animal Care and Use Committee in accordance to federal regulations is responsible to ensure the welfare and protection of animals in research and pedagogy.

Policy for Animal Care and Use: <http://www.tntech.edu/research/animal-pol/>

### **8.6 Responsible Conduct in Research**

To ensure that faculty, students and staff are knowledgeable in the implementation of ethical research, the Responsible Conduct in Research Training Modules are located on the Office of Research website.

For Responsible Conduct in Research Policy:

[http://ori.dhhs.gov/education/products/montana\\_round1/research\\_ethics.html](http://ori.dhhs.gov/education/products/montana_round1/research_ethics.html)

### **8.7 Equal Opportunity**

Tennessee Technological University hereby reaffirms the policy of the TBR System that the University will not discriminate against any employee or applicant for employment because of race, color, religion, national origin, sex, disability, age, or because of his/her status as a qualified veteran with a disability, veteran of the Vietnam era, or other protected veteran.

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- TTU Affirmative Action, Equal Employment Opportunity and Discrimination  
[http://www.tntech.edu/files/adminpandp/Human\\_Resource\\_Services/Human\\_Resources\\_Policies\\_Procedures\\_Rev\\_F\\_12\\_02\\_11.pdf](http://www.tntech.edu/files/adminpandp/Human_Resource_Services/Human_Resources_Policies_Procedures_Rev_F_12_02_11.pdf)
- TTU Employment Procedures  
[http://www.tntech.edu/files/adminpandp/Human\\_Resource\\_Services/Employment\\_Procedure\\_Pro\\_Rev\\_A\\_12012011.pdf](http://www.tntech.edu/files/adminpandp/Human_Resource_Services/Employment_Procedure_Pro_Rev_A_12012011.pdf)
- TTU Discrimination and Harassment - Complaint and Investigation Procedure (see TBR Guideline P-080 below)

### 8.8 Conflict of Interest

Tennessee Tech University is governed by the Tennessee Board of Regents and all employees serve a public interest. According to state law, TBR has developed a policy on Conflict of Interest in conducting state business that affects all employees, including Disclosure of Relationships. See the following link:

Conflict of Interest Policy

<http://www.tntech.edu/research/conflicts/>

### 8.9 Use of University Name

The University does not permit the use of its name in advertising or promotional material related to the results of sponsored projects without the prior written approval. See the Office of Research for assistance.

### 8.10 Classified Information (Openness in Research)

For the University's policy on Classified Information see the following link:

<http://www.tntech.edu/research/office-of-research-policies/>

### 8.11 Intellectual Property

The Office of Research is responsible for assisting faculty in protecting ideas and implementing technology transfer activities.

See policy: <http://www.tntech.edu/research/intellectprop/>

### 8.12 Patents, Copyrights and Licensing

The University is authorized by the TBR to seek and hold patents and copyrights to assign their rights and execute royalty agreements.

See policy: <http://www.tntech.edu/research/patents-and-copyrights-committee2013/>

### 8.13 Export Control

In accordance with the federal regulations, the principal investigator must ensure that the University is in compliance with the applicable laws relative the research project, contract or grant.

Export Control Policy: <http://www.tntech.edu/research/export-controls/>

### 8.14 Record Retention

The University follows federal policy (OMB A-133) and Tennessee Board of Regents policy on guidelines for maintaining documentation on all projects. For TBR guidelines for retention and disposal of records see the following link:

TBR policy: <http://www.tbr.edu/policies/default.aspx?id=1726>

**8.15 Certain Testing, Funded Public Service and Professional Service Projects**

All activity involving Tennessee Tech University must receive prior approval to ensure Tennessee Board of Regents, University and federal compliance.

See the Policy: <http://www.tntech.edu/research/serviceagrmnts/>

**8.16 Certification, Debarment, Suspension and Other Responsibility Matters**

The University requires certification of the principle investigator that persons working on federal grants and contracts have not been debarred or suspended from participation on a federal grant or contract.

See the Certification, Debarment, and Suspension Policy: <http://www.tntech.edu/research/cert-debar/>

**8.17 Certification: Drug Free Workplace**

The University's certification is submitted with the Proposal Endorsement Form.

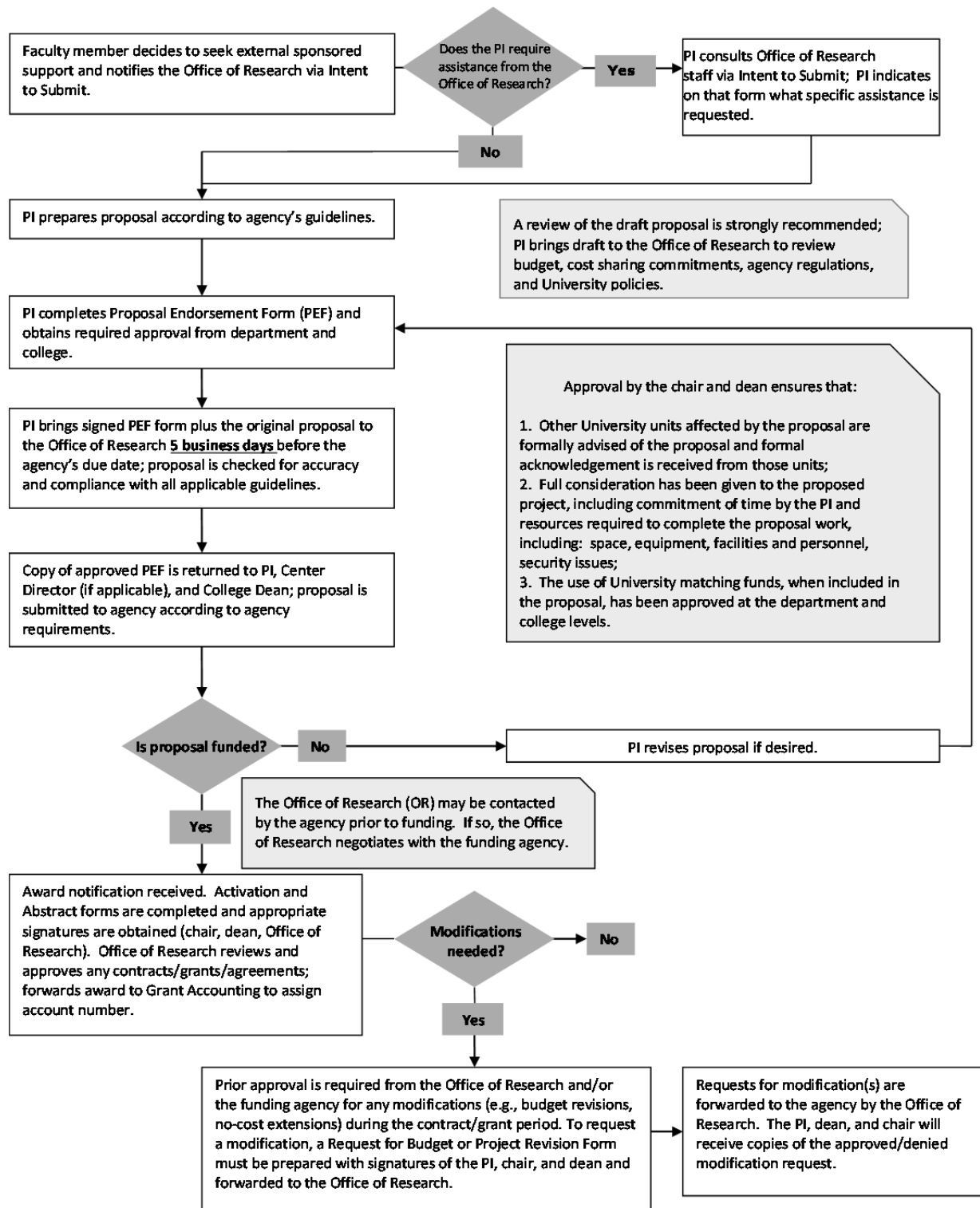
See the policy: <http://www.tntech.edu/research/cert-drugfree/>

# APPENDIX

## QUICK REFERENCES

- **PATHWAY FOR PROPOSALS** Page 31
  
- **ALLOWABLE AND UNALLOWABLE COSTS FOR FEDERAL SPONSORED PROJECTS** Page 32
  
- **SUMMARY OF CLOSEOUT SCHEDULE** Page 35
  
- **UNIVERSITY FORMS** Page 36
  - Intent to Submit Page 39
  - Proposal Endorsement Form (PEF) Page 40
  - Grant Activation Form (GAF) Page 41
  - Project Abstract Form Page 42
  - Budget Instructions & Worksheets Page 43

Pathway for Proposals








Allowable and Unallowable Cost (Quick Reference)

Quick Reference Guide:

A "short list" of Allowable and Unallowable Costs for Federally Sponsored Projects

From: 2 CFR 220 (formerly OMB Circular A-21), Cost Principles for Educational Institutions

 For a cost to be deemed *allowable*, it must meet OMB criteria of being: reasonable, allocable, consistently treated, and conform to any limitations or exclusions set forth in the cost principles, in the sponsored agreement, and UMS Administrative Practice Letters and UMaine Policies.

CFR Reference	Type of Cost	 Allowable as a Direct Cost	 Unallowable as a Direct Cost
J1	Advertising & Public Relations	Allowable only if related to and necessary for performance of the sponsored project (i.e., recruitment of personnel, procurement of goods and services etc.)	Unallowable for advertising related to the general image of the University or events related to instruction or other institutional activities. Unallowable for promotional items and memorabilia, including models, gifts and souvenirs
J3	Alcoholic Beverages	Unallowable	Unallowable
J9	Communication Costs	Allowable for costs directly attributable to a specific project (i.e., long distance calls. See also OMB A-21, Section F6)	Unallowable for recurring line charges, network charges, local telephone costs
J10	Compensation for Personal Services	Salaries, wages and fringe benefits of personnel who directly contribute to the project's technical purpose (i.e. Faculty, other technical & research staff)	Unallowable for salaries & wages of administrative & clerical staff. See code for exceptions. *The cost of institution furnished automobiles that relate to personal use by employees is unallowable.
J15	Donations & Contributions	Unallowable	Unallowable
J17	Entertainment Costs	Unallowable	Unallowable - includes amusement, diversion, and social activities and any costs directly associated with such costs.
J18	Equipment & other Capital Expenditures	Allowable only for <i>special purpose equipment</i> - used exclusively for research, medical, scientific, or other technical activities. Prior approval from awarding agency required for items with a unit cost of \$5,000 or more.	Unallowable for <i>General Purpose Equipment</i> - not used exclusively for research (i.e., office equipment and furnishings, modular offices, telephone networks, Information Technology equipment & systems, AC equipment, reproduction and printing equipment, and motor vehicles etc.).
J19	Fines & Penalties	Unallowable except when incurred as a result of compliance with specific federal award provisions	Unallowable except when incurred as a result of compliance with specific federal award provisions
J22	Goods or Services for Personal Use	Unallowable	Unallowable
J23	Housing & Personal Living Expenses	Unallowable	Unallowable
J25	Insurance & Indemnification	Allowable if related to and necessary for the performance of the sponsored project (Note: malpractice insurance is an allowable cost of research programs only to the extent that the research involves human subjects)	Refer to the code for allowability of other types of insurance maintained by the institution in connection with the general conduct of its activities.
J28	Most Lobbying Costs	Unallowable	Unallowable
J29	Losses on Other Sponsored Agreements or Contracts	Unallowable	Unallowable


ORSP 8/8/10 This is a summary only. For a detailed description of these costs refer to 2 CFR 220 under the section noted in "CFR Reference"



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## Quick Reference Guide:

A "short list" of Allowable and Unallowable Costs for Federally Sponsored Projects

From: 2 CFR 220 (formerly OMB Circular A-21), Cost Principles for Educational Institutions

 For a cost to be deemed *allowable*, it must meet OMB criteria of being: reasonable, allocable, consistently treated, and conform to any limitations or exclusions set forth in the cost principles, in the sponsored agreement, and UMS Administrative Practice Letters and UMaine Policies.

CFR Reference	Type of Cost	 Allowable as a Direct Cost	 Unallowable as a Direct Cost
J30	Maintenance & Repair Costs	Allowable as a direct cost as necessary to carry out the technical and scientific aspects of and <u>actually used for the performance of a sponsored project</u>	Unallowable for costs incurred for necessary maintenance, repair, or upkeep of bldgs & equipment which neither add to the permanent value of the property nor appreciably prolong its intended life, but keep it in an efficient operating condition (Generally F&A). *Costs incurred for improvements which add to the permanent value of bldgs & equipment or appreciably prolong their intended life shall be treated as capital expenditures.
J31	Material & Supplies Costs	Allowable as a direct cost when necessary, and actually used, for the performance of a sponsored project.	Generally Unallowable for routine office supplies & postage (Refer to UMS APL VIII-C)
J32	Meetings & Conferences	Allowable when the primary purpose is the dissemination of technical information directly related to the project. This includes costs of meals, transportation, rental of facilities, speakers' fees, and other items incidental to such meetings or conferences.	"Entertainment costs" are unallowable (see above)
J33	Memberships, Subscriptions & Professional Activity Costs	Generally unallowable as a direct cost (considered F&A) See UMS APL VIII-C	Costs of membership in any civic or community organization, country club or social or dining club or organization are unallowable. Costs of the institution's membership in business, technical and professional organizations AND Costs of the institutions subscriptions to business, professional & technical periodicals are generally considered F&A costs.
J34	Patent Costs	Allowable if req'd by the sponsored agreement.	Unallowable for foreign patents
J36	Pre-Agreement Costs	Allowable <b>with prior approval</b> from the awarding agency	
J37	Professional Service Costs	Allowable when in accordance with OMB A-21, J37 b & c and in compliance with University policy	Unallowable for officers or employees of the institution
J38	Proposal Costs	<b>Unallowable</b>	<b>Unallowable</b>
J39	Publication & Printing Costs	Allowable if the costs can be <b>identified with a research project</b> . If the cost is for page charges, the charges are allowable for professional journals if the work is supported by the Federal Government and the charges are levied impartially on all research papers published, not just those funded by federally sponsored authors	Generally unallowable for routine copying & postage (considered F&A). Refer to UMS APL VIII-C
J40	Rearrangement and Alteration Costs	Allowable with prior approval of the awarding agency when incurred specifically for the sponsored project.	Unallowable for costs incurred for ordinary or normal rearrangement and alteration of facilities
J42	Recruiting Costs	Allowable when related to and necessary for the project and if reasonable (color ads are not considered reasonable - See OMB A-21, Section J1)	Advertising which includes color, material for other than recruitment purposes, or which is excessive in size is unallowable.


UMSP 8/8/10 This is a summary only. For a detailed description of these costs refer to 2 CFR 220 under the section noted in "CFR Reference"



# OFFICE OF RESEARCH SPONSORED PROGRAMS HANDBOOK

## Quick Reference Guide:

A "short list" of Allowable and Unallowable Costs for Federally Sponsored Projects

From: 2 CFR 220 (formerly OMB Circular A-21), Cost Principles for Educational Institutions

 For a cost to be deemed *allowable*, it must meet OMB criteria of being: reasonable, allocable, consistently treated, and conform to any limitations or exclusions set forth in the cost principles, in the sponsored agreement, and UMS Administrative Practice Letters and UMaine Policies.

CFR Reference	Type of Cost	 Allowable as a Direct Cost	 Unallowable as a Direct Cost
J43	Rental Costs of Buildings and Equipment	Allowable for reasonable costs (subject to the limitations of leases given in OMB A-21, Section J43 a-d) when incurred specifically for the sponsored project.	Unallowable costs include amounts paid for profit, mgmt fees, and taxes that would not have been incurred had the institution purchased the facility.
J44	Royalties and Other Costs for Use of Patents	Allowable when necessary for the performance of the sponsored project	Unallowable when the Federal Government has a license or the right to free use of the patent or copyright; or when the patent or copyright has been adjudicated to be invalid, has been administratively determined to be invalid, is considered to be unenforceable, or has expired
J45	Scholarships and Student Aid Costs	Allowable only when the purpose of the sponsored agreement is to provide training to selected participants and the charge is approved by the sponsoring agency. Stipulations apply.	
J48	Student Activity Costs	<b>Unallowable</b>	<b>Unallowable</b>
J50	Termination Costs Applicable to Sponsored Agreements	Allowable for costs which would not have arisen had the sponsored agreement not been terminated, provided they meet the requirements of OMB A-21, Section J50	Unallowable for any costs continuing after termination due to the negligent or willful failure of the institution to discontinue such costs.
J51	Training Costs	Allowable for training provided for employee development for a specific sponsored project.	
J52	Transportation (Freight) Costs	Allowable for costs for freight, express, cartage, postage and other transportation services when related to goods purchased, in process, or delivered (must be project-specific).	Unallowable for routine/general postage
J53	Travel Costs	Allowable for transportation, lodging, subsistence and related items for employees who are in travel status on project-specific business, subject to University policy	Unreasonable travel costs (including airfare costs in excess of the lowest available commercial discount-airfare except where justified & documented) are unallowable. Non-employee travel unallowable unless related to OMB A-21, Section J2 or specifically required to fulfill the requirements of the solicitation.

### References:

OMB Circulars, general page

<http://www.whitehouse.gov/OMB/circulars/>

OMB A-21 Relocated to: Title 2 in the Code of Federal Regulations (2 CFR 220), effective 8/31/2005

[http://www.whitehouse.gov/sites/default/files/omb/assets/omb/fedreg/2005/083105\\_a21.pdf](http://www.whitehouse.gov/sites/default/files/omb/assets/omb/fedreg/2005/083105_a21.pdf)

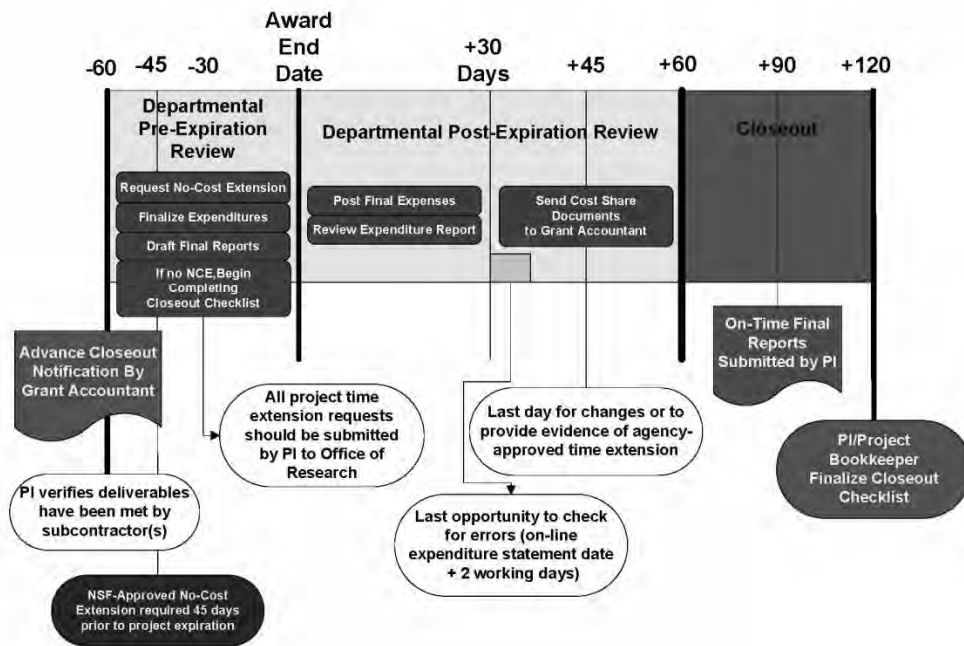
University of Maine System Administrative Practice Letter VIII-C: Sponsored Programs – Direct Charging Of Expenses

<http://www.maine.edu/pdf/AP/VIII.CDirectChargingOfExpenses.pdf>

OMBSP 8/8/10 This is a summary only. For a detailed description of these costs refer to 2 CFR 220 under the section noted in "CFR Reference."

Summary of Grants Close-Out Schedule

Summary of Closeout Schedule



**UNIVERSITY FORMS**  
**FOR**  
**PROCESSING**

## Forms

### Animal Care

- [Application for Approval to Use Laboratory Animals](#)
- [Committee Action Form](#)
- [Committee's Response to Reviewed Application](#)
- [Laboratory Inspection Form](#)

### Human Subjects

**Handwritten, stapled, or duplexed forms will not be accepted.**

- [Form A](#)
  - [Attachment to Form A](#)
- [Form B](#)
- [Form C Investigator/Faculty Advisor Assurance](#)
- [Checklist for Adult Informed Consent Forms](#)

### Intellectual Property

- [Confidential Disclosure Form](#)
- [Income Distribution Form](#)
- [Invention Disclosure Form](#)
- [Memorandum of Understanding Template](#)
- [One-way Non-disclosure Agreement \(TTU discloses information\)](#)
- [One-way Non-disclosure Agreement \(TTU receives information\)](#)
- [Reciprocal Non-disclosure Agreement](#)
- [Contracting for Services](#)
- [License Agreement Template](#)
- [Student Non-Use Agreement](#)

### Proposal Preparation

- [Intent to Submit Form](#)
- [Proposal/Project Abstract Form](#)
- [Grant Activation Form \(GAF\)](#)
- [Proposal Budget Spreadsheet \(Excel File\)](#)
- [Proposal Endorsement Form \(PEF\)](#)

### Proposal & Subcontract Monitoring & Closeout

- [Proposal Monitoring & Closeout Form](#) (Used for monitoring and project closeout)
- [Request for Budget or Project Revision](#)
- [Federal Subcontracting Form](#)
- [Federal Subcontracting Form](#) | For ARRA-funded projects
- [Subcontract Monitoring Form](#)

# *OFFICE OF RESEARCH SPONSORED PROGRAMS HANDBOOK*

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- [Closeout Procedure Flowchart](#)
- [Royalty Certification](#) (used for DOE, ONR, ORNL, etc.)

## **Research Profile**

- [Faculty Research Profile Form](#)

## **Seminars and Workshops Agreements**

- [Workshop Participation Agreement](#)

## **Testing and Service Agreements**

TTU's Purchasing Department maintains current policy and forms related to contracting services (both grant-funded and non-grant funded) Information and forms may be found [here](#).

- [Agreement on Responsibilities](#)

## **Visiting Scholars Forms & Materials**

- [Policy](#)
- [Application](#)
- [Intellectual Property Agreement](#)

**INTENT TO SUBMIT  
FORM**



## TTU Office of Research | Intent to Submit

Please complete and submit this form to the following: 1) Office of Research, 2) department chair, and 3) college dean **at the earliest possible time** if you are preparing or considering applying for external funding. Complete, ready-to-submit proposals must be received in the Office of Research no later than five (5) working days from the Sponsor or Funding Agency deadline.

Today's date: \_\_\_\_\_

Principal investigator(PI) name: \_\_\_\_\_

Email address: \_\_\_\_\_

Department or Center of PI: \_\_\_\_\_

Sponsor or funding agency: \_\_\_\_\_

Sponsor or funding agency deadline: \_\_\_\_\_

Solicitation number, CFDA, and/or title of solicitation: \_\_\_\_\_

Will this proposal be submitted via a Center?:  Yes  No

Have you completed the Responsible Conduct in Research training modules at TTU?:  Yes  No

### How may the Office of Research assist you? (check all that apply)

- |  |   |
|--|---|
| <input type="checkbox"/> Initial proposal meeting                  | <input type="checkbox"/> Letter of intent or pre-proposal       |
| <input type="checkbox"/> Proposal planning                         | <input type="checkbox"/> Proof reading and/or editing           |
| <input type="checkbox"/> Budget development                        | <input type="checkbox"/> Information on university requirements |
| <input type="checkbox"/> Application forms                         | <input type="checkbox"/> Information on policies and procedures |
| <input type="checkbox"/> Review of solicitation                    | <input type="checkbox"/> Information on compliance              |
| <input type="checkbox"/> Coordination of proposal development team | <input type="checkbox"/> No assistance requested                |

*Note: Complete, ready-to-submit proposals must still be received by the Office of Research no later than 5 working days from the sponsor or funding agency deadline*

- Is cost-sharing or match required?  Yes  No If yes, what percent? \_\_\_\_\_%
- Is a waiver of indirect costs required?  Yes  No
- Is this a collaborative or consortium proposal?  Yes  No If yes, is TTU the lead institution?  Yes  No
- Is this a sub-award application?  Yes  No

Please indicate if any of the following could apply to your proposal or contract:

- |   |  |   |
|---|--|---|
| <input type="checkbox"/> Conflict of Interest | <input type="checkbox"/> Export Controls | <input type="checkbox"/> Intellectual Property    |
| <input type="checkbox"/> Human Subjects       | <input type="checkbox"/> Animal Subjects | <input type="checkbox"/> Publication Restrictions |

Please indicate means of proposal submission to sponsor or funding agency:

- |  |                                       |  |
|--|---------------------------------------|--|
| <input type="checkbox"/> grants.gov        | <input type="checkbox"/> NSF Fastlane | <input type="checkbox"/> NSPIRES                 |
| <input type="checkbox"/> NIH / eRA Commons | <input type="checkbox"/> E-mail       | <input type="checkbox"/> Postal/Courier Delivery |

Other: \_\_\_\_\_

# **PROPOSAL ENDORSEMENT FORM (PEF)**

## **Instructions for Completing TTU Proposal Endorsement Form**

The Proposal Endorsement Form (PEF) provides a mechanism to: 1) ensure all individuals, academic units, and administrative units associated with a proposal to be submitted to an external agency for consideration of funding are aware of their roles/responsibilities on the project; 2) ensure necessary approvals prior to proposal submission; 3) facilitate compliance checks for projects; and 4) allow tracking of submitted proposals.

A completed PEF with required signatures must be submitted to the Office of Research along with a copy of each proposal and associated budget at least 24 hours before the proposal is to be submitted to the agency for review and consideration of funding. A new PEF is required for significant project revisions ( e.g., following changes in scope and/or budget prior to award issuance; for new/continuation/supplemental funding requests; a change of any kind related to TTU's cost share commitment; or significant changes in academic faculty effort).

The following instructions detail item-by-item information for completing the PEF which may be typed or filled out on the web and then printed out.

1. **Project Title** -- Provide descriptive heading for your proposed project.  
**Must** be the same title that appears in the proposal.

2. **Funding Agency** -- Input agency information:
  - i. Name
  - ii. Address
  - iii. Contact information

**Submission Type** -- Check one:

New Proposal -- The proposal is for a new project.

Continuation -- The proposal is requesting funding to continue the project beyond the approved project period.

Revision -- Proposal is a revision of a proposal submitted at an earlier date.

White Paper -- A preliminary proposal or research idea. Only the PI signature is

needed.

**Proposed Project Period** -- Input start/stop dates (MM/DD/YYYY).

Note that these dates represent the entire anticipated project period.

3. **Grant Personnel**

Provide name, personnel code, college, department, phone extension, campus box number, and center affiliation (if applicable) for each individual working on project whether or not agency support is requested.

**Personnel codes** (reference: National Science Foundation Grants Proposal Guide):

001 -- PI; the investigator(s) assuming primary responsibility for the project.

002 -- co-PI; the individual(s) who will, along with the PI, be responsible for the scientific or technical direction of the project.

003 -- Support Personnel; includes a person who may or may not hold a doctoral degree or its equivalent and is not reported in one of the other categories. Examples include postdoctoral scholars, professional technicians, physicians, veterinarians, system experts, computer programmers, design engineers, etc.

004 -- Bookkeeper; person responsible for maintenance of project-specific expenditures.

005 -- Subcontract Monitor; individual responsible for monitoring the performance of the subcontractor (see 9. Other--Subawards section on page 3 for more details).

## **Instructions for Completing TTU Proposal Endorsement Form**

007 -- Senior Personnel; a member of the TTU faculty other than the PI or co-PI who will participate in the project. Faculty from other institutions would also be included in this category.

### **4. Category**

Select one from the following list:

Federal, State, Private, Local, Gifts, State Appropriation(s), Endowment, Tuition, Bonds

### **5. Project Type**

Select one from the list below. Choose the category that best describes the major effort of the project/program.

Research, Instruction, Public Service, Scholarship/Fellowship, Capital Project, Academic Support, Institutional Support, Operational/Maintenance, Clinical Trial, Student Services

### **6. Agency**

- a. Project Funds Requested -- Provide total project funds requested from agency listed in item 2. This total includes both direct costs and Facilities and Administrative (F&A/indirect) costs.
- b. Funded Fac. & Admin Cost Rate -- Input rate.
  - The federally negotiated F&A rate based on a percentage of modified total direct costs (MTDC) is to be charged on all federal projects.
  - The applicable rate effective as of July 1, 2008 is 39.5% of MTDC for activities conducted mainly or exclusively on campus and 15% of MTDC for activities conducted mainly or exclusively off campus.
  - MTDC is the sum of Total Direct Costs EXCLUDING capital expenditures (buildings, individual items of equipment (those items with a useful life of more than one year and acquisition cost greater than \$5,000), alterations and renovations). Also EXCLUDED is that portion of each subaward in excess of \$25,000 and flow-through funds. Flow-through funds are those funds that flow through the university accounting system but the university does not provide support to these activities. An example is fraternity or society funds in which the university acts as a banker.
  - The state established F&A rate based on a percentage of total direct costs, including equipment, is to be charged on all state projects (rate currently 15%).
  - The minimum that may be charged for projects funded by industry is the federally negotiated rate.
  - In cases in which the agency will not support the normal TTU F&A rates, attach supporting documentation. Note: this information is normally provided in solicitations, request for proposals/applications, program announcements, etc.
  - Other rates may be required for federal instruction/training projects or projects conducted off campus. Reference 'Indirect Costs on Grants and Contracts | Policy 3.0' at [http://www.tntech.edu/research/pnp3\\_idc.htm](http://www.tntech.edu/research/pnp3_idc.htm) for more details.
  - **If full F&A rate is not requested, cost sharing is not allowed unless it is involuntary (TTU Office of Research Policy 2.0).**
- c. Funded Fac. & Admin Cost Amt. -- Provide amount of F&A funds requested from agency (calculated by multiplying 6b by appropriate base).

## **Instructions for Completing TTU Proposal Endorsement Form**

d. 39.5% of MTDC -- Input calculated value.

### **7. Cost Sharing**

- a. Salaries, Wages, and Benefits -- Provide total amount of Salaries, Wages, and Benefits to be cost shared and the source of the cost share (center, department, unit, etc.). Also if cost sharing on these is to be provided by an entity outside TTU, provide amount and source. The cost shared is an amount in addition to that requested from the agency.
- b. Other Modified Direct Costs -- Input other modified direct costs to be cost shared.
- c. Total Modified Direct Costs -- Input total of 7a and 7b.
- d. 39.5% of MTDC -- Input value calculated from 39.5% of cost shared MTDC (7c).
- e. Other Cost Sharing (equipment, etc.)--Input other cost sharing not included above.
- f. Total Cost Sharing -- Input total of 7c, 7d, and 7e.

Check whether cost sharing is **Voluntary (not required)** or **Involuntary (Required)**.

### **8. Other**

Check each box with either a 'Yes' or 'No' response.

**Does this proposal include extra compensation? If yes, agency approval required.**

**Does this proposal/project involve any restricted data, inventions, or proprietary information?** This question relates to intellectual property and export control issues. It does not relate to IRB-related activities as these are addressed further below.

**Subawards/consultants included in proposal? If so, list Subcontract Monitor in Section 3-Grant Personnel.** The Subcontract Monitor generally will be the individual to ensure that: 1) deliverables are received; 2) financial obligation of the institution does not exceed the contract pricing; and 3) services are in compliance with the terms and conditions of the contract.

**Will this project include any export control restrictions?**

**Will this project involve restrictions on research participation or dissemination of results?** This question relates to export control issues.

**Involves Human Subjects? Date submitted for IRB Committee review:** Self-explanatory. It is preferred by the Office of Research staff and often required by the funding source that research involving human subjects be submitted for IRB Committee review prior to proposal submission. Check solicitation for additional information.

**Involves Animal Care and Use? Date submitted for Animal Care and Use Committee review:** Self-explanatory. Check solicitation for additional information.

**Involves recombinant DNA molecules/infectious or biohazardous agents/radiological hazards? If 'Yes', please specify:** Self-explanatory. Check solicitation for additional information.

**Computer Purchase Required?** Self-explanatory.

## **Instructions for Completing TTU Proposal Endorsement Form**

**Equipment to be Purchased?** Equipment is defined (per TTU Inventory Control Policies and Procedures: 1. Equipment) as all nonexpendable personal property, such as machinery, implements, tools, furniture, vehicles and other apparatus with a unit cost of \$5,000 or more and a minimum useful life expectancy of one year. The cost of equipment includes the purchase price, transportation costs, installation costs and other direct costs of readying for use.

**Space available for computer/equipment purchases?** Self-explanatory. Department Chair/Center Director/Dean approval required.

**9. Certifications** -- Self-explanatory.

**10. Comments** -- Self-explanatory.

**APPROVALS (In Sequence)** -- Self explanatory.

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Submit the completed PEF with signatures along with a copy of the proposal and associated budget to the Office of Research at least 24 hours before the proposal is to be submitted to the agency. Once the submitted information has been reviewed and approved by the Office of Research staff, either the PI or Center of Excellence contact person will be notified that the PEF has been signed. At that point, the proposal package is approved for electronic submission (by the Office of Research staff) or postal service/carrier delivery, per agency requirements.

Tennessee Technological University
Office of Research

Proposal No. \_\_\_\_\_

PROPOSAL ENDORSEMENT FORM

1. Title: \_\_\_\_\_
2. Funding Agency \_\_\_\_\_
Contact Information (address/agency contact) \_\_\_\_\_

Submission Type
New Proposal \_\_\_\_\_ Continuation \_\_\_\_\_ Revision \_\_\_\_\_ White Paper \_\_\_\_\_
Proposed Project Period \_\_\_/\_\_\_/\_\_\_ to \_\_\_/\_\_\_/\_\_\_
Only the PI's signature is needed.

3. Grant Personnel

Table with 7 columns: Name, Personnel Code, College, Dept., Ext., Box, Center. Multiple empty rows for data entry.

Personnel Codes: 001-PI; 002-Co-PI; 003-Support Personnel; 004-Bookkeeper; 005-Subcontract Monitor; 007-Senior Personnel

4. Category [ ] 5. Project Type [ ]

6. Agency

- a. Project Funds Requested \$ \_\_\_\_\_
b. Funded Fac. & Admin Cost Rate\* \_\_\_\_\_
c. Funded Fac. & Admin Cost Amt. \$ \_\_\_\_\_
d. 39.5% of Modified Total Direct Costs \$ \_\_\_\_\_

\* Attach supporting documentation for F&A rate not approved by Office of Research. If full F&A rate is not requested, cost sharing is not allowed unless it is involuntary (TTU Office of Research Policy 2.0)

Modified Total Direct Costs: This is the sum of Total Direct Costs EXCLUDING capital expenditures (buildings, individual items of equipment (those items with a useful life of more than one year and acquisition cost greater than \$5,000) alterations and renovations). Also EXCLUDED is that portion of each subaward in excess of \$25,000 and flow-through funds. Participant Support Costs are typically excluded from the MTDC calculation by NSF. Check with the funding agency to ensure compliance.

7. Cost Sharing\*\*

Table with 6 columns: Center, TTU, Source of TTU Cost Share, Other, Source of Other Cost Share. Rows include Salaries, Wages, & Benefits; Other Direct Costs; Total Direct Costs; 39.5% of MTDC; Other Cost Sharing; Total Cost Sharing.

\*\* Cost Sharing: \_\_\_ Voluntary (not required) \_\_\_ Involuntary (Required)

8. Other

Yes No

- Is extra pay requested? If 'yes', agency approval is required (OMB A-21)
Does this proposal/project involve any restricted data, inventions, or proprietary information? Please specify:
Subawards/consultants included in proposal? If so, list Subcontract Monitor in Section 3 - Grant Personnel.
Will this project involve restrictions on researcher participation or dissemination of results?
Will this project include any export control restrictions?
Involves Human Subjects? Date submitted for Institutional Review Committee for Human Subjects (IRB) review:
Involves Animal Care and Use? Date submitted for Animal Care and Use Committee review:
Involves recombinant DNA molecules/infectious or biohazardous agents/radiological hazards? If 'Yes', please specify:
Computer purchase required?
Equipment to be purchased?
Space available for computer/equipment purchases?\*\*\*\*
\*\*\*\*If no, are additional project funds requested to meet space, electrical, and/or maintenance needs?

**9. Certifications:** By signing and submitting this form, (1) the principal investigator(s)/co-PI's/project director(s) provide(s) the certifications shown on the attached Certifications, Disclosures and Assurances Form and (2) the Center Director(s) certifies that the project addresses one or more goals of the Center.

**10. Comments:** (e.g., Center Research Area)

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**APPROVALS (In Sequence) MUST be signed by PI and Co-PIs, and appropriate administrators [Director(s), if applicable, Chairperson(s), Dean(s), and, if applicable, Research Liaison Officer] PRIOR to submission to Office of Research.**

Principal Investigator(s)	Date	Co-PI/Senior Personnel/Support Personnel	Date
Co-PI/Senior Personnel/Support Personnel	Date	Co-PI/Senior Personnel/Support Personnel	Date
Co-PI/Senior Personnel/Support Personnel	Date	Co-PI/Senior Personnel/Support Personnel	Date
Co-PI/Senior Personnel/Support Personnel	Date	Co-PI/Senior Personnel/Support Personnel	Date
Co-PI/Senior Personnel/Support Personnel	Date	Co-PI/Senior Personnel/Support Personnel	Date

**ADMINISTRATIVE SIGNATURES REQUIRED**

Center Director(s)	Date	Project Director's Dean or Liaison Officer	Date
Center Director(s)	Date	Project Director's Dean or Liaison Officer	Date
Departmental Chairperson(s)	Date	Center Dean or Liaison Officer	Date
Departmental Chairperson(s)	Date	Office of Research	Date
Departmental Chairperson(s)	Date		



**CERTIFICATIONS, DISCLOSURES AND ASSURANCES**

**Directions: PI, Co-PIs, Senior Personnel and Support Personnel initial where appropriate; then sign form**

**\*\*One form per investigator, senior or support personnel\*\***

**CERTIFICATION REGARDING DEBARMENT, SUSPENSION AND OTHER RESPONSIBILITY MATTERS**

(Reference: Office of Research Policy 11.0, Certification Regarding Debarment, Suspension, and Other Responsibility Matters)

The Investigator(s)/Project Director(s) certify to the best of their knowledge and belief, that they

- (a) are not presently debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded from covered transactions by any Federal department or agency;
- (b) have not within a three-year period preceding this proposal been convicted of or had a civil judgment rendered against them for commission of fraud or a criminal offense in connection with obtaining, attempting to obtain, or performing a public (Federal, State, or local) transaction or contract under a public transaction; violation of Federal or State antitrust statutes or commission of embezzlement, theft, forgery, bribery, falsification or destruction of records, making false statements, or receiving stolen property;
- (c) are not presently indicted for or otherwise criminally or civilly charged by a governmental entity (Federal, State, or local) with commission of any of the offenses enumerated in paragraph (b) of this certification; and
- (d) have not within a three-year period preceding this application/proposal had one or more public transactions (Federal, State, or local) terminated for cause or default.

Where the prospective primary participant is unable to certify to any of the statements in this certification, such prospective participant shall attach an explanation to this proposal.

**CERTIFICATION REGARDING DRUG-FREE WORKPLACE**

(Reference: Office of Research Policy 12.0, Certification Regarding Drug-Free Workplace)

In compliance with the Federal regulations regarding the Drug-Free Workplace Act of 1988 and in accordance with TTU's policy dated March 15, 1989, to all faculty and staff, persons employed on grants or contracts are prohibited from the unlawful manufacture, distribution, dispensing, possession or use of controlled substance in the University's workplace (property owned or controlled by Tennessee Technological University) or while performing duties as an employee of Tennessee Technological University. Controlled substances include such drugs as opium, opium derivatives, hallucinogens (like marijuana, mescaline, peyote, LSD, psilocybin), cocaine, amphetamines, codeine, heroin and morphine.

Employee Agreement

As a condition of employment, I have read the University's policy (P/P 27.0) and TTU's statement on maintaining a drug-free workplace and will

- (a) abide by the terms of the policy and the statement\*; and
- (b) notify my supervisor of any criminal drug statute conviction for a violation occurring in the workplace no later than five (5) days after such conviction.

\*Copies of the policy and the statement are available in the Office of Research and Graduate Studies.

**CONFLICT OF INTEREST**

(Reference: Office of Research Policy 9.0, Conflict of Interest for Externally Funded Projects and TBR Policy 1:02:03:10, Conflict of Interest)

Each Investigator/Project Director must respond to each question. If an individual answers "yes" to any questions, he/she must explain in detail on a separate sheet of paper which must be forwarded to the Office of Research at the time of submission of a proposal.

1. Are you or any member of your immediate family (spouse, parents, parents-in-law, siblings, children, other relatives living at the same address as the employee, or reported as dependents on federal income tax forms) an officer, director, partner, trustee, employee, advisory board member, or agent of the external organization funding this project or of any organization from which goods and services will be obtained under this project?  
 Yes  No
2. Do you or any immediate family member have any significant financial interest including, but not limited to, salary or other payments for services (greater than \$10,000 per year from sources other than the employee's TBR institution), equity interest (greater than \$10,000 in value or more than 5% of the ownership interest in a single entity), and intellectual property rights in the external organization funding this project or of any organization from which goods and services will be obtained under this project?  
 Yes  No
3. Do you have any affiliation with the external organization that would diminish your ability to fulfill your paramount obligations to your students, your colleagues, or the University; or have you involved any student in a proprietary capacity with the external organization?  Yes  No

I certify that I do NOT have any significant financial interests associated with the aforementioned proposal/project.

I DO have a significant financial interest associated with the aforementioned proposal/project. I have disclosed this interest in accordance with the Tennessee Board of Regents' System and Institutional Policy.

**CERTIFICATION OF LOBBYING**

Each Investigator/Project Director must respond certifying that no lobbying will be done prior to or after the proposal has been approved. If an individual answers "yes," he/she must explain in detail on a separate sheet of paper which must be forwarded to the Office of Research at the time of submission of a proposal.

To the best of your knowledge has any lobbying activities been conducted relative to this proposal?  Yes  No

**SIGNATURE**

Typed Name	Signed Name	Date	Role (PI, Co-PI, Senior Personnel, Support)
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# **GRANT ACTIVATION FORM (PEF)**



**Listing of Cost Sharing from Line Item 4**

(a)Acct. Code	Index Code	Cost Shared Items such as Computer Time, Benefits, Travel, etc.	Amount

**Listing of Percent Effort and (if applicable) Extra and/or Summer Pay.**

Name	T No.	(a)Acct Code	(b)Position No.	Percent of effort (must be a percentage)			Extra Pay	Summer Pay	Source of Extra Pay	12 mo. appt.?
				Fall	Spr.	Smr.				

NOTE: Be accurate as possible in estimating percent of effort for this activation. Payroll will use the information used in this table to process payment to the employee for work done under this activation.

**REFERENCE for Personnel Codes & Pay Types**

DESCRIPTION	Last 3 digits of pos.	PERSONNEL CODES				
		Admin	Faculty	Cler & Sup	Prof Sup	Student
Regular Employees - permanent part time and full time employees with benefits		61110	61210	61310	61610	
Faculty and Acad Overload	830		61244			
Faculty and Acad Adjuncts	860		61242			
Faculty and Acad GA's - Teaching GA's working on a Masters	960		61243			
Faculty and Acad GA's - Teaching GA's working on a PhD	980		61243			
Clerical & Support Hourly - Temporary C&S paid the 10th of the month	870			61311		
Clerical & Support Research Experience for Teachers (if earning < \$455/wk) paid the 10 <sup>th</sup> of the month	870			61315		
Student Salaries and Wages	880					61410
Student Salaries and Wages Research Experience for Undergraduates	880					61415
Administrative Salaries Temporary - Temporary Executive Admin (hourly) paid the 10 <sup>th</sup> of the month	820	61111				
Administrative Salaries Temporary - Temporary Executive Administrators paid the end of the month	840	61111				
Professional Sppt Sal Temporary - Temporary Admin. Professionals paid the end of the month	840				61611	
Professional Sppt Sal Temporary - Temporary Admin. Professionals (hourly) paid the 10 <sup>th</sup> of the month	850				61611	
Professional Sppt Research Experience for Teachers (if earning > \$455/wk) paid on the 10 <sup>th</sup> of the month	850				61615	
Professional Sppt GA Salary-- GAs providing administrative support and/or doing research working on a Masters	950				61643	
Professional Sppt GA Salary-- GAs providing administrative support and/or doing research working on a PhD	970				61643	
Extra Pay for Faculty	N/A		61213			61613
Faculty and Acad Summer School, Summer Research, Summer Pay	810		61241			
Release Time	N/A	61131	61231	61331	61631	

**APPROVALS (In sequence):**

**Additional approvals REQUIRED IF COST SHARE IS REQUESTED:**

\_\_\_\_\_  
Project PI Date

\_\_\_\_\_  
Project PI Chair Date

\_\_\_\_\_  
Associate VP for Research & Graduate Studies Date

\_\_\_\_\_  
Project PI Dean Date

\_\_\_\_\_  
Grants Accountant Date

\_\_\_\_\_  
VP for Business and Fiscal Affairs Date

# **PROJECT ABSTRACT FORM**

## Project Abstract Form

*This form is to be completed with Project Activation Form*

**Abstract for Proposal and Project:** In the space below include an abstract (350 words or less) for public release. The abstract must be a clear and precise statement of the objectives of the research or project in measurable terms. Define the impact of the project; include the anticipated outcomes and potential impact (i.e. benefits). The document is for publication and it must describe the methods of project implementation. It must be written for the understanding of a lay person as a reader. This document must not include any proprietary or sensitive information as it may be made available to the public.

PROJECT TITLE:

*Point of Contact for  
Coordination,  
Preparation, and  
Distribution of Press  
Releases*

Name: \_\_\_\_\_

Title: \_\_\_\_\_

Telephone: \_\_\_\_\_

Email: \_\_\_\_\_

# BUDGET INSTRUCTIONS

&

# WORKSHEETS

- PRINCIPLE INVESTIGATOR
- CLERICAL - ADMINISTRATIVE
- GRADUATE ASSISTANTS
- UNDERGRADUATE STUDENTS







**INSTRUCTIONS: For completing 'PI, co-PI, or Senior Personnel' Worksheet**

**Step 1** Enter project title, PI, and project dates.

**Step 2** Enter name of project personnel.

**Step 3** Enter academic year or calendar year salary amount for the named personnel.

**Step 4** Enter type of appointment (e.g., 9 month, 12 month) for the named personnel.

**Step 5** Enter estimated % annual increase in salary for the named personnel.

**Step 6** Enter applicable fringe benefit rate for the named personnel.

**Step 7** Enter either TCRS for the *Tennessee Consolidated Retirement System*, Optional for the *Optional Retirement Program*, or None depending on the type of retirement plan in which the named personnel participates.

**Step 8** Enter either Single, Family, Split S\*, Split C\*\* or N/A for applicable insurance coverage.  
\*Split S = Employee + Spouse  
\*\*Split C = Employee + Child

**Step 9** Enter the number of hours during the fall and spring semesters that will be committed to the agency for the project and/or that will be cost shared (exclusive of credit hours release and/or extra pay hours).

**Step 10** Enter total number of credit hours of release time for fall and spring, if applicable.

**Step 11** Enter number of hours summer pay, if applicable. Please note:

- Faculty can only receive 1/3 of their academic year salary for research activities during the summer.
- Faculty can only receive 1/4 of their academic year salary for instructional activities during the summer.
- If the project includes a combination of both, the cap is at 1/3 of their academic year salary.
- For projects funded by NSF, the maximum amount of summer support is 2 months. Also, NSF will only support 2 months total effort over the course of the entire year, including summer.

**Step 12** Enter number of hours for which extra pay is requested, if applicable. Please note: federal guidelines require prior approval for extra pay on all federally funded projects including pass through funds.

**Step 13** Repeat Steps 9-12 as necessary for subsequent budget years. Note that salary amounts for Project Periods 2-6 will automatically reflect the estimated % annual increase input per Step 5.

**Step 14** Print out salary sheets for PI, Co-PI's, and Senior Personnel budgeted to receive pay from the project. Input salary information on Budget Sheet tab.

**Step 15** Click the clear button to clear the data on the 'PI, co-PI, or Senior Personnel' tab and repeat Steps 2-14 for each additional person in this classification. Alternatively, a copy of the worksheet can be made and renamed so that a permanent electronic record can be maintained for each person in this category.

**Step 16** Go to the other tabs to calculate pay for clerical and other support staff and students. The 'Graduate Students' tab will also allow calculations of annual stipend amounts and tuition and fees for graduate assistants.

<b>Project Title:</b>	Project Title _____	
<b>Project PI:</b>	PI _____	
<b>Project Dates:</b>	7/1/09	to 6/30/10

**Project Period 1**

**Enter: Personnel Info**

Name of Personnel

Base Salary

Appointment (9 or 12)

Estimated % Increase in Salary

Fringe Benefits (FB) %\*   
 \*FB = FICA, TCRS or Optional Retirement Program, 401(k)  
 Contact HR for FB %

TCRS, Optional, or None?

Insurance (Single, Family, Split S, Split C, or N/A)

**Enter: Committed Time\*\* Info**

# Hours on Project\*\*

Fall Semester

Cost Share

OR

Agency Supported

Spring Semester

Cost Share

OR

Agency Supported

Summer

Input hours into cell J59.

\*\*Exclusive of credit hour release and/or extra pay.

**Calculated Year 1:**

Hourly Rate

Person Months	Cost Share	Agency
Fall Semester	<input type="text" value="0.00"/>	<input type="text" value="0.00"/>
Spring Semester	<input type="text" value="0.00"/>	<input type="text" value="0.00"/>
<b>Total Academic Year</b>	<input type="text" value="0.00"/>	<input type="text" value="0.00"/>

Salary Budget <sup>1</sup>	Cost Share	Agency
Fall Semester	<input type="text" value="\$0"/>	<input type="text" value="\$0"/>
Spring Semester	<input type="text" value="\$0"/>	<input type="text" value="\$0"/>
<b>Total Academic Year</b>	<input type="text" value="\$0.00"/>	<input type="text" value="\$0.00"/>

Fringe Budget <sup>2</sup>	Cost Share	Agency
Fall Semester	<input type="text" value="\$0.00"/>	<input type="text" value="\$0.00"/>
Spring Semester	<input type="text" value="\$0.00"/>	<input type="text" value="\$0.00"/>
<b>Total Academic Year</b>	<input type="text" value="\$0.00"/>	<input type="text" value="\$0.00"/>

Click here to clear data on this sheet

**Enter: # Credit Hours Release**

# Credit Hours Release

Fall Semester

Spring Semester

**Calculated:**

Person Months	
Fall Semester	<input type="text" value="0.00"/>
Spring Semester	<input type="text" value="0.00"/>
<b>Total Academic Year</b>	<input type="text" value="0.00"/>

Release Time Budget	
Fall Semester	<input type="text" value="\$0.00"/>
Spring Semester	<input type="text" value="\$0.00"/>
<b>Total Academic Year</b>	<input type="text" value="\$0.00"/>

Fringe Budget	
Fall Semester	<input type="text" value="\$0.00"/>
Spring Semester	<input type="text" value="\$0.00"/>
<b>Total Academic Year</b>	<input type="text" value="\$0.00"/>

<sup>1</sup>Pay for research during the academic year may or may not be supported by the agency.

<sup>2</sup>Note: The rate for the Optional Retirement Program is 11% for earnings in excess of \$102,500. This spreadsheet does not take this into account.

<sup>3</sup>Returns an error message if pay for more than 400 hours is requested since this is the max for extra pay per 9 months per TCA 49-5-410.

**Enter: Summer Pay Info**

# Summer Hrs on Project

Note: If you have this information in months only, multiply months by 162.5 to get the number in hours.

**Calculated:**

Person Months	<input type="text" value="0.00"/>
Summer Pay	<input type="text" value="\$0.00"/>
Summer Fringe	<input type="text" value="\$0.00"/>

**Enter: Extra Pay Info**

# Extra Pay Project Hrs

Fall Semester

Spring Semester

**Calculated:**

Person Months	
Fall Semester	<input type="text" value="0.00"/>
Spring Semester	<input type="text" value="0.00"/>
<b>Total Academic Year</b>	<input type="text" value="0.00"/>

Extra Pay Budget <sup>3</sup>	
Fall Semester	<input type="text" value="\$0.00"/>
Spring Semester	<input type="text" value="\$0.00"/>
<b>Total Academic Year</b>	<input type="text" value="\$0.00"/>

Fringe Budget	
Fall Semester	<input type="text" value="\$0.00"/>
Spring Semester	<input type="text" value="\$0.00"/>
<b>Total Academic Year</b>	<input type="text" value="\$0.00"/>

<b>Project Title:</b>	Project Title	
<b>Project PI:</b>	PI	
<b>Project Dates:</b>	7/1/09	to 6/30/10

Project Period 2																																						
<b>Enter: Committed Time** Info</b> # Hours on Project** <u>Fall Semester</u> Cost Share <input type="text"/> OR Agency Supported <input type="text"/>  <u>Spring Semester</u> Cost Share <input type="text"/> OR Agency Supported <input type="text"/>  <u>Summer</u> Input hours into cell J145.  **Exclusive of credit hour release and/or extra pay.		<b>Calculated Year 2:</b> Hourly Rate <input type="text" value="\$0.00"/> <hr/> <table border="1"> <thead> <tr> <th>Person Months</th> <th>Cost Share</th> <th>Agency</th> </tr> </thead> <tbody> <tr> <td>Fall Semester</td> <td><input type="text" value="0.00"/></td> <td><input type="text" value="0.00"/></td> </tr> <tr> <td>Spring Semester</td> <td><input type="text" value="0.00"/></td> <td><input type="text" value="0.00"/></td> </tr> <tr> <td><b>Total Academic Year</b></td> <td><input type="text" value="0.00"/></td> <td><input type="text" value="0.00"/></td> </tr> </tbody> </table> <hr/> <table border="1"> <thead> <tr> <th>Salary Budget<sup>1</sup></th> <th>Cost Share</th> <th>Agency</th> </tr> </thead> <tbody> <tr> <td>Fall Semester</td> <td><input type="text" value="\$0"/></td> <td><input type="text" value="\$0"/></td> </tr> <tr> <td>Spring Semester</td> <td><input type="text" value="\$0"/></td> <td><input type="text" value="\$0"/></td> </tr> <tr> <td><b>Total Academic Year</b></td> <td><input type="text" value="\$0.00"/></td> <td><input type="text" value="\$0.00"/></td> </tr> </tbody> </table> <hr/> <table border="1"> <thead> <tr> <th>Fringe Budget<sup>2</sup></th> <th>Cost Share</th> <th>Agency</th> </tr> </thead> <tbody> <tr> <td>Fall Semester</td> <td><input type="text" value="\$0.00"/></td> <td><input type="text" value="\$0.00"/></td> </tr> <tr> <td>Spring Semester</td> <td><input type="text" value="\$0.00"/></td> <td><input type="text" value="\$0.00"/></td> </tr> <tr> <td><b>Total Academic Year</b></td> <td><input type="text" value="\$0.00"/></td> <td><input type="text" value="\$0.00"/></td> </tr> </tbody> </table>	Person Months	Cost Share	Agency	Fall Semester	<input type="text" value="0.00"/>	<input type="text" value="0.00"/>	Spring Semester	<input type="text" value="0.00"/>	<input type="text" value="0.00"/>	<b>Total Academic Year</b>	<input type="text" value="0.00"/>	<input type="text" value="0.00"/>	Salary Budget <sup>1</sup>	Cost Share	Agency	Fall Semester	<input type="text" value="\$0"/>	<input type="text" value="\$0"/>	Spring Semester	<input type="text" value="\$0"/>	<input type="text" value="\$0"/>	<b>Total Academic Year</b>	<input type="text" value="\$0.00"/>	<input type="text" value="\$0.00"/>	Fringe Budget <sup>2</sup>	Cost Share	Agency	Fall Semester	<input type="text" value="\$0.00"/>	<input type="text" value="\$0.00"/>	Spring Semester	<input type="text" value="\$0.00"/>	<input type="text" value="\$0.00"/>	<b>Total Academic Year</b>	<input type="text" value="\$0.00"/>	<input type="text" value="\$0.00"/>
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<b>Project Title:</b>	Project Title	
<b>Project PI:</b>	PI	
<b>Project Dates:</b>	7/1/09	to 6/30/10

Project Period 3		
<b>Enter: Committed Time** Info</b>		
# Hours on Project**		
<u>Fall Semester</u>		
Cost Share	<input type="text"/>	
OR		
Agency Supported	<input type="text"/>	
<u>Spring Semester</u>		
Cost Share	<input type="text"/>	
OR		
Agency Supported	<input type="text"/>	
<u>Summer</u>		
Input hours into cell J231.		
**Exclusive of credit hour release and/or extra pay.		
<b>Calculated Year 3:</b>		
Hourly Rate	<input type="text" value="\$0.00"/>	
<u>Person Months</u>	<u>Cost Share</u>	<u>Agency</u>
Fall Semester	<input type="text" value="0.00"/>	<input type="text" value="0.00"/>
Spring Semester	<input type="text" value="0.00"/>	<input type="text" value="0.00"/>
Total Academic Year	<input type="text" value="0.00"/>	<input type="text" value="0.00"/>
<u>Salary Budget<sup>1</sup></u>	<u>Cost Share</u>	<u>Agency</u>
Fall Semester	<input type="text" value="\$0"/>	<input type="text" value="\$0"/>
Spring Semester	<input type="text" value="\$0"/>	<input type="text" value="\$0"/>
Total Academic Year	<input type="text" value="\$0.00"/>	<input type="text" value="\$0.00"/>
<u>Fringe Budget<sup>2</sup></u>	<u>Cost Share</u>	<u>Agency</u>
Fall Semester	<input type="text" value="\$0.00"/>	<input type="text" value="\$0.00"/>
Spring Semester	<input type="text" value="\$0.00"/>	<input type="text" value="\$0.00"/>
Total Academic Year	<input type="text" value="\$0.00"/>	<input type="text" value="\$0.00"/>
<b>Enter: # Credit Hours Release</b>		
# Credit Hours Release		
Fall Semester	<input type="text"/>	
Spring Semester	<input type="text"/>	
<b>Calculated:</b>		
<u>Person Months</u>		
Fall Semester	<input type="text" value="0.00"/>	
Spring Semester	<input type="text" value="0.00"/>	
Total Academic Year	<input type="text" value="0.00"/>	
<u>Release Time Budget</u>		
Fall Semester	<input type="text" value="\$0.00"/>	
Spring Semester	<input type="text" value="\$0.00"/>	
Total Academic Year	<input type="text" value="\$0.00"/>	
<u>Fringe Budget</u>		
Fall Semester	<input type="text" value="\$0.00"/>	
Spring Semester	<input type="text" value="\$0.00"/>	
Total Academic Year	<input type="text" value="\$0.00"/>	
<b>Enter: Summer Pay Info</b>		
# Summer Hrs on Project <input type="text"/>		
Note: If you have this information in months only, multiply months by 162.5 to get the number in hours.		
<b>Calculated:</b>		
<u>Person Months</u>	<input type="text" value="0.00"/>	
Summer Pay	<input type="text" value="\$0.00"/>	
Summer Fringe	<input type="text" value="\$0.00"/>	
<b>Enter: Extra Pay Info</b>		
# Extra Pay Project Hrs		
Fall Semester	<input type="text"/>	
Spring Semester	<input type="text"/>	
<b>Calculated:</b>		
<u>Person Months</u>		
Fall Semester	<input type="text" value="0.00"/>	
Spring Semester	<input type="text" value="0.00"/>	
Total Academic Year	<input type="text" value="0.00"/>	
<u>Extra Pay Budget<sup>3</sup></u>		
Fall Semester	<input type="text" value="\$0.00"/>	
Spring Semester	<input type="text" value="\$0.00"/>	
Total Academic Year	<input type="text" value="\$0.00"/>	
<u>Fringe Budget</u>		
Fall Semester	<input type="text" value="\$0.00"/>	
Spring Semester	<input type="text" value="\$0.00"/>	
Total Academic Year	<input type="text" value="\$0.00"/>	

<b>Project Title:</b>	Project Title _____	
<b>Project PI:</b>	PI _____	
<b>Project Dates:</b>	7/1/09	to 6/30/10

Project Period 4		
<b>Enter: Committed Time** Info</b>		<b>Calculated Year 4:</b>
# Hours on Project**		Hourly Rate <input type="text" value="\$0.00"/>
<u>Fall Semester</u>		<b>Person Months</b>
Cost Share <input type="text"/>		Fall Semester <input type="text" value="0.00"/> <input type="text" value="0.00"/>
OR		Spring Semester <input type="text" value="0.00"/> <input type="text" value="0.00"/>
Agency Supported <input type="text"/>		Total Academic Year <input type="text" value="0.00"/> <input type="text" value="0.00"/>
<u>Spring Semester</u>		<b>Salary Budget<sup>1</sup></b>
Cost Share <input type="text"/>		Fall Semester <input type="text" value="\$0"/> <input type="text" value="\$0"/>
OR		Spring Semester <input type="text" value="\$0"/> <input type="text" value="\$0"/>
Agency Supported <input type="text"/>		Total Academic Year <input type="text" value="\$0.00"/> <input type="text" value="\$0.00"/>
<u>Summer</u>		<b>Fringe Budget<sup>2</sup></b>
Input hours into cell J317.		Fall Semester <input type="text" value="\$0.00"/> <input type="text" value="\$0.00"/>
		Spring Semester <input type="text" value="\$0.00"/> <input type="text" value="\$0.00"/>
		Total Academic Year <input type="text" value="\$0.00"/> <input type="text" value="\$0.00"/>
**Exclusive of credit hour release and/or extra pay.		
<b>Enter: # Credit Hours Release</b>		<b>Calculated:</b>
# Credit Hours Release		<b>Person Months</b>
Fall Semester <input type="text"/>		Fall Semester <input type="text" value="0.00"/>
Spring Semester <input type="text"/>		Spring Semester <input type="text" value="0.00"/>
		Total Academic Year <input type="text" value="0.00"/>
		<b>Release Time Budget</b>
		Fall Semester <input type="text" value="\$0.00"/>
		Spring Semester <input type="text" value="\$0.00"/>
		Total Academic Year <input type="text" value="\$0.00"/>
		<b>Fringe Budget</b>
		Fall Semester <input type="text" value="\$0.00"/>
		Spring Semester <input type="text" value="\$0.00"/>
		Total Academic Year <input type="text" value="\$0.00"/>
<b>Enter: Summer Pay Info</b>		<b>Calculated:</b>
# Summer Hrs on Project <input type="text"/>		<b>Person Months</b> <input type="text" value="0.00"/>
Note: If you have this information in months only, multiply months by 162.5 to get the number in hours.		Summer Pay <input type="text" value="\$0.00"/>
		Summer Fringe <input type="text" value="\$0.00"/>
<b>Enter: Extra Pay Info</b>		<b>Calculated:</b>
# Extra Pay Project Hrs		<b>Person Months</b>
Fall Semester <input type="text"/>		Fall Semester <input type="text" value="0.00"/>
Spring Semester <input type="text"/>		Spring Semester <input type="text" value="0.00"/>
		Total Academic Year <input type="text" value="0.00"/>
		<b>Extra Pay Budget<sup>3</sup></b>
		Fall Semester <input type="text" value="\$0.00"/>
		Spring Semester <input type="text" value="\$0.00"/>
		Total Academic Year <input type="text" value="\$0.00"/>
		<b>Fringe Budget</b>
		Fall Semester <input type="text" value="\$0.00"/>
		Spring Semester <input type="text" value="\$0.00"/>
		Total Academic Year <input type="text" value="\$0.00"/>

<b>Project Title:</b>	Project Title _____	
<b>Project PI:</b>	PI _____	
<b>Project Dates:</b>	7/1/09	to 6/30/10

Project Period 5			
<b>Enter: Committed Time** Info</b>		<b>Calculated Year 5:</b>	
# Hours on Project**		Hourly Rate	<input type="text" value="\$0.00"/>
<u>Fall Semester</u>		<b>Person Months</b>	<b>Cost Share</b> <b>Agency</b>
Cost Share	<input type="text"/>	Fall Semester	<input type="text" value="0.00"/> <input type="text" value="0.00"/>
OR		Spring Semester	<input type="text" value="0.00"/> <input type="text" value="0.00"/>
Agency Supported	<input type="text"/>	Total Academic Year	<input type="text" value="0.00"/> <input type="text" value="0.00"/>
<u>Spring Semester</u>		<b>Salary Budget<sup>1</sup></b>	<b>Cost Share</b> <b>Agency</b>
Cost Share	<input type="text"/>	Fall Semester	<input type="text" value="\$0"/> <input type="text" value="\$0"/>
OR		Spring Semester	<input type="text" value="\$0"/> <input type="text" value="\$0"/>
Agency Supported	<input type="text"/>	Total Academic Year	<input type="text" value="\$0.00"/> <input type="text" value="\$0.00"/>
<u>Summer</u>		<b>Fringe Budget<sup>2</sup></b>	<b>Cost Share</b> <b>Agency</b>
Input hours into cell J403.		Fall Semester	<input type="text" value="\$0.00"/> <input type="text" value="\$0.00"/>
		Spring Semester	<input type="text" value="\$0.00"/> <input type="text" value="\$0.00"/>
		Total Academic Year	<input type="text" value="\$0.00"/> <input type="text" value="\$0.00"/>
**Exclusive of credit hour release and/or extra pay.			
<b>Enter: # Credit Hours Release</b>		<b>Calculated:</b>	
# Credit Hours Release		<b>Person Months</b>	
Fall Semester	<input type="text"/>	Fall Semester	<input type="text" value="0.00"/>
Spring Semester	<input type="text"/>	Spring Semester	<input type="text" value="0.00"/>
		Total Academic Year	<input type="text" value="0.00"/>
		<b>Release Time Budget</b>	
		Fall Semester	<input type="text" value="\$0.00"/>
		Spring Semester	<input type="text" value="\$0.00"/>
		Total Academic Year	<input type="text" value="\$0.00"/>
		<b>Fringe Budget</b>	
		Fall Semester	<input type="text" value="\$0.00"/>
		Spring Semester	<input type="text" value="\$0.00"/>
		Total Academic Year	<input type="text" value="\$0.00"/>
<b>Enter: Summer Pay Info</b>		<b>Calculated:</b>	
# Summer Hrs on Project	<input type="text"/>	<b>Person Months</b>	<input type="text" value="0.00"/>
		<b>Summer Pay</b>	<input type="text" value="\$0.00"/>
Note: If you have this information in months only, multiply months by 162.5 to get the number in hours.		<b>Summer Fringe</b>	<input type="text" value="\$0.00"/>
<b>Enter: Extra Pay Info</b>		<b>Calculated:</b>	
# Extra Pay Project Hrs		<b>Person Months</b>	
Fall Semester	<input type="text"/>	Fall Semester	<input type="text" value="0.00"/>
Spring Semester	<input type="text"/>	Spring Semester	<input type="text" value="0.00"/>
		Total Academic Year	<input type="text" value="0.00"/>
		<b>Extra Pay Budget<sup>3</sup></b>	
		Fall Semester	<input type="text" value="\$0.00"/>
		Spring Semester	<input type="text" value="\$0.00"/>
		Total Academic Year	<input type="text" value="\$0.00"/>
		<b>Fringe Budget</b>	
		Fall Semester	<input type="text" value="\$0.00"/>
		Spring Semester	<input type="text" value="\$0.00"/>
		Total Academic Year	<input type="text" value="\$0.00"/>

<b>Project Title:</b>	Project Title	
<b>Project PI:</b>	PI	
<b>Project Dates:</b>	7/1/09	to 6/30/10

Project Period 6		
<b>Enter: Committed Time** Info</b>		<b>Calculated Year 6:</b>
# Hours on Project**		Hourly Rate <input type="text" value="\$0.00"/>
<u>Fall Semester</u>		<u>Person Months</u>
Cost Share <input type="text"/>		Fall Semester <input type="text" value="0.00"/> <input type="text" value="0.00"/>
OR		
Agency Supported <input type="text"/>		Spring Semester <input type="text" value="0.00"/> <input type="text" value="0.00"/>
		Total Academic Year <input type="text" value="0.00"/> <input type="text" value="0.00"/>
<u>Spring Semester</u>		<u>Salary Budget<sup>1</sup></u>
Cost Share <input type="text"/>		Fall Semester <input type="text" value="\$0"/> <input type="text" value="\$0"/>
OR		
Agency Supported <input type="text"/>		Spring Semester <input type="text" value="\$0"/> <input type="text" value="\$0"/>
		Total Academic Year <input type="text" value="\$0.00"/> <input type="text" value="\$0.00"/>
<u>Summer</u>		<u>Fringe Budget<sup>2</sup></u>
Input hours into cell J489.		Fall Semester <input type="text" value="\$0.00"/> <input type="text" value="\$0.00"/>
		Spring Semester <input type="text" value="\$0.00"/> <input type="text" value="\$0.00"/>
		Total Academic Year <input type="text" value="\$0.00"/> <input type="text" value="\$0.00"/>
**Exclusive of credit hour release and/or extra pay.		
<b>Enter: # Credit Hours Release</b>		<b>Calculated:</b>
# Credit Hours Release		<u>Person Months</u>
Fall Semester <input type="text"/>		Fall Semester <input type="text" value="0.00"/>
		Spring Semester <input type="text" value="0.00"/>
Spring Semester <input type="text"/>		Total Academic Year <input type="text" value="0.00"/>
		<u>Release Time Budget</u>
		Fall Semester <input type="text" value="\$0.00"/>
		Spring Semester <input type="text" value="\$0.00"/>
		Total Academic Year <input type="text" value="\$0.00"/>
		<u>Fringe Budget</u>
		Fall Semester <input type="text" value="\$0.00"/>
		Spring Semester <input type="text" value="\$0.00"/>
		Total Academic Year <input type="text" value="\$0.00"/>
<b>Enter: Summer Pay Info</b>		<b>Calculated:</b>
# Summer Hrs on Project <input type="text"/>		Person Months <input type="text" value="0.00"/>
		Summer Pay <input type="text" value="\$0.00"/>
Note: If you have this information in months only, multiply months by 162.5 to get the number in hours.		Summer Fringe <input type="text" value="\$0.00"/>
<b>Enter: Extra Pay Info</b>		<b>Calculated:</b>
# Extra Pay Project Hrs		<u>Person Months</u>
Fall Semester <input type="text"/>		Fall Semester <input type="text" value="0.00"/>
		Spring Semester <input type="text" value="0.00"/>
Spring Semester <input type="text"/>		Total Academic Year <input type="text" value="0.00"/>
		<u>Extra Pay Budget<sup>3</sup></u>
		Fall Semester <input type="text" value="\$0.00"/>
		Spring Semester <input type="text" value="\$0.00"/>
		Total Academic Year <input type="text" value="\$0.00"/>
		<u>Fringe Budget</u>
		Fall Semester <input type="text" value="\$0.00"/>
		Spring Semester <input type="text" value="\$0.00"/>
		Total Academic Year <input type="text" value="\$0.00"/>



**INSTRUCTIONS: For completing 'Clerical Other (12 month appts)' Worksheet**

**Step 1** Enter project title, PI, and project dates--if this was not entered in the 'PI, co-PI, or Senior Personnel' tab.

**Step 2** Enter name of project personnel.

**Step 3** Enter calendar year salary amount for the named personnel.

**Step 4** Enter estimated % annual increase in salary for the named personnel.

**Step 5** Enter applicable fringe benefit rate for the named personnel.

**Step 6** Enter either TCRS for the *Tennessee Consolidated Retirement System*, Optional for the *Optional Retirement Program*, or None depending on the type of retirement plan in which the named personnel participates.

**Step 7** Enter either Single, Family, Split S\*, Split C\*\* or N/A for applicable insurance coverage.  
\*Split S = Employee + Spouse  
\*\*Split C = Employee + Child

**Step 8** Enter the number of hours during the project year to be charged to the project.

**Step 9** Enter Yes to indicate that Extra Pay is being requested from the agency or No to indicate that Extra Pay is not being requested. Similarly, enter Yes to indicate that the pay being requested is part of Normal Pay or No to indicate that the Pay is not part of Normal Pay. One of these ('Extra Pay' or 'Normal Pay') should be marked Yes and the other marked No or the fringe will not be correct.

**Step 10** Repeat Steps 8-9 as necessary for subsequent budget years. Note that salary amounts for Project Periods 2-6 will automatically reflect the estimated % annual increase input per Step 4.

**Step 11** Print out salary sheets for clerical and other support staff budgeted to receive pay from the the project. Input salary information on Budget Sheet tab.

**Step 12** Click the clear button to clear the data on the 'Clerical\_Other (12 month appts)' tab and repeat Steps 2-11 for each additional person in this classification. Alternatively, a copy of the worksheet can be made and renamed so that a permanent electronic record can be maintained for each person in this category.

<b>Project Title:</b>	Green Dot: Violence Prevention Program at Tennessee Tech University		
<b>Project PI:</b>	Diana Lalani		
<b>Project Dates:</b>	9/1/11	to	8/31/14

<p><b>Enter: Clerical/Admin Personnel Info**</b></p> <p>Name of Personnel <input type="text"/></p> <p>Base Salary <input type="text"/></p> <p>Estimated % Increase in Salary <input type="text"/></p> <p>Fringe Benefits (FB) %* <input type="text"/></p> <p>*FB = FICA, TCRS or Optional Retirement Program Contact HR for FB %</p> <p>TCRS, Optional, or None? <input type="text"/></p> <p>Insurance (Single, Family, Split, N/A) <input type="text"/></p> <p>**Clerical and administrative support salaries are only allowed under OMB A-21 if this is considered a "major" project. (see Federal Guidelines tab)</p>	<b>Project Period 1</b>		
	<b>Enter: Calendar Year Info</b>		<b>Calculated Year 1:</b>
	# Hours on Project** <input type="text"/>		Hourly Rate <input type="text" value="\$0"/>
			Person Months <input type="text" value="0.00"/>
			Salary Budget <input type="text" value="\$0"/>
			Fringe Benefit <input type="text" value="\$0"/>
	Are the requested salary and benefits going to be for 'Extra' Compensation or to cover salary associated with the normal responsibilities for this position?	<p><b>Complete both***:</b></p> <p>Extra Pay <input type="checkbox"/> (Yes or No)</p> <p>Normal Pay <input type="checkbox"/> (Yes or No)</p> <p>***One should be marked Yes and the other No or Fringe will be incorrect.</p>	
	<b>Project Period 2</b>		
	<b>Enter: Calendar Year Info</b>		<b>Calculated Year 2:</b>
	# Hours on Project** <input type="text"/>		Hourly Rate <input type="text" value="\$0"/>
		Person Months <input type="text" value="0.00"/>	
		Salary Budget <input type="text" value="\$0"/>	
		Fringe Benefit <input type="text" value="\$0"/>	
Are the requested salary and benefits going to be for 'Extra' Compensation or to cover salary associated with the normal responsibilities for this position?	<p>Extra Pay <input type="checkbox"/> (Yes or No)</p> <p>Normal Pay <input type="checkbox"/> (Yes or No)</p> <p>***One should be marked Yes and the other No or Fringe will be incorrect.</p>		
<b>Project Period 3</b>			
<b>Enter: Calendar Year Info</b>		<b>Calculated Year 3:</b>	
# Hours on Project** <input type="text"/>		Hourly Rate <input type="text" value="\$0"/>	
		Person Months <input type="text" value="0.00"/>	
		Salary Budget <input type="text" value="\$0"/>	
		Fringe Benefit <input type="text" value="\$0"/>	
Are the requested salary and benefits going to be for 'Extra' Compensation or to cover salary associated with the normal responsibilities for this position?	<p>Extra Pay <input type="checkbox"/> (Yes or No)</p> <p>Normal Pay <input type="checkbox"/> (Yes or No)</p> <p>***One should be marked Yes and the other No or Fringe will be incorrect.</p>		

Click here to clear data on this sheet

<b>Project Title:</b>	Green Dot: Violence Prevention Program at Tennessee Tech University		
<b>Project PI:</b>	Diana Lalani		
<b>Project Dates:</b>	9/1/11	to	8/31/14

Project Period 4			
<b>Enter: Calendar Year Info</b>		<b>Calculated Year 4:</b>	
# Hours on Project** <input type="text"/>		Hourly Rate	<input type="text"/>
		Person Months	<input type="text" value="0.00"/>
		Salary Budget	<input type="text" value="\$0"/>
Are the requested salary and benefits going to be for 'Extra' Compensation or to cover salary associated with the normal responsibilities for this position?	Extra Pay <input type="checkbox"/> (Yes or No)	Fringe Benefit	<input type="text" value="\$0"/>
	Normal Pay <input type="checkbox"/> (Yes or No)	***One should be marked Yes and the other No or Fringe will be incorrect.	
Project Period 5			
<b>Enter: Calendar Year Info</b>		<b>Calculated Year 5:</b>	
# Hours on Project** <input type="text"/>		Hourly Rate	<input type="text"/>
		Person Months	<input type="text" value="0.00"/>
		Salary Budget	<input type="text" value="\$0"/>
Are the requested salary and benefits going to be for 'Extra' Compensation or to cover salary associated with the normal responsibilities for this position?	Extra Pay <input type="checkbox"/> (Yes or No)	Fringe Benefit	<input type="text" value="\$0"/>
	Normal Pay <input type="checkbox"/> (Yes or No)	***One should be marked Yes and the other No or Fringe will be incorrect.	
Project Period 6			
<b>Enter: Calendar Year Info</b>		<b>Calculated Year 6:</b>	
# Hours on Project** <input type="text"/>		Hourly Rate	<input type="text"/>
		Person Months	<input type="text" value="0.00"/>
		Salary Budget	<input type="text" value="\$0"/>
Are the requested salary and benefits going to be for 'Extra' Compensation or to cover salary associated with the normal responsibilities for this position?	Extra Pay <input type="checkbox"/> (Yes or No)	Fringe Benefit	<input type="text" value="\$0"/>
	Normal Pay <input type="checkbox"/> (Yes or No)	***One should be marked Yes and the other No or Fringe will be incorrect.	

**INSTRUCTIONS: For completing 'Graduate Assistantships' Worksheet**

**Step 1** Enter project title, PI, and project dates--if this was not entered in the 'PI, co-PI, or Senior Personnel' tab.

**Step 2** Enter name of student, if known.

**Step 3** Enter monthly stipend for the named student.

**Step 4** Enter number of months projected to be worked during the fall and spring semesters.

**Step 5** Enter number of months projected to be worked during the summer.

**Step 6** Enter the projected number of credit hours that each student will enroll for fall, spring, and summer semesters.

**Step 7** Repeat Steps 3-6 as necessary for subsequent budget years (Project Periods).

**Step 8** Print out worksheets for graduate students who are budgeted to receive stipends, tuition and fees from the project. Input this information on 'Budget Sheet' tab.

**Step 9** Click the clear button to clear the data on the 'Graduate Assistantships' tab and repeat Steps 2-8 for each additional graduate student. Alternatively, a copy of the worksheet can be made and renamed so that a permanent electronic record can be maintained for each person in this category.

<b>Project Title:</b>	Project Title
<b>Project PI:</b>	PI
<b>Project Dates:</b>	7/1/09 to 6/30/10

<p><b>Enter: Student Info*</b></p> <p>Name of Student <input type="text"/></p> <p>Note: In this worksheet, graduate fees are increased at a rate of 6%/year.</p>	<b>Project Period 1</b>	
	<b>If Assistantship, ENTER:</b>	
	Monthly Stipend Amount <input type="text"/>	
	<u>Academic Year (AY)</u> Fall <input type="text"/> # Months**** Spring <input type="text"/>	
****Note: enter up to 4.5 for each semester		<b>Calculated Year 1:</b> <u>Academic Year</u> Stipend Pay <input type="text"/> \$0.00 AY Fringe Benefits <input type="text"/> \$0.00 Tuition and Fees <input type="text"/> \$0.00
<u>Summer</u> # Months of Support/Summer <input type="text"/>		<u>Summer</u> Stipend Pay <input type="text"/> \$0.00 Summer Fringe Benefits <input type="text"/> \$0.00 Tuition and Fees <input type="text"/> \$0.00
<u># credit hours in which student will be enrolled</u> Fall <input type="text"/> Spring <input type="text"/> Summer <input type="text"/>		<b>Total (Academic Year and Summer)</b> Stipend Pay <input type="text"/> \$0.00 Fringe Benefits <input type="text"/> \$0.00 Tuition and Fees <input type="text"/> \$0.00

Click here to clear data on this sheet

<b>Project Period 2</b>	
<b>If Assistantship, ENTER:</b>	
Monthly Stipend Amount <input type="text"/>	
<u>Academic Year (AY)</u> Fall <input type="text"/> # Months**** Spring <input type="text"/>	
****Note: enter up to 4.5 for each semester	
<u>Summer</u> # Months of Support/Summer <input type="text"/>	
<u># credit hours in which student will be enrolled</u> Fall <input type="text"/> Spring <input type="text"/> Summer <input type="text"/>	
<b>Calculated Year 2:</b>	
<u>Academic Year</u> Stipend Pay <input type="text"/> \$0.00 AY Fringe Benefits <input type="text"/> \$0.00 Tuition and Fees <input type="text"/> \$0.00	
<u>Summer</u> Stipend Pay <input type="text"/> \$0.00 Summer Fringe Benefits <input type="text"/> \$0.00 Tuition and Fees <input type="text"/> \$0.00	
<b>Total (Academic Year and Summer)</b> Stipend Pay <input type="text"/> \$0.00 Fringe Benefits <input type="text"/> \$0.00 Tuition and Fees <input type="text"/> \$0.00	

<b>Project Title:</b>	Project Title
<b>Project PI:</b>	PI
<b>Project Dates:</b>	7/1/09 to 6/30/10

<b>Project Period 3</b>	
<p><b>If Assistantship, ENTER:</b></p> <p>Monthly Stipend Amount <input type="text"/></p> <p>Academic Year (AY)</p> <p>Fall <input type="text"/> # Months****</p> <p>Spring <input type="text"/></p> <p>****Note: enter up to 4.5 for each semester</p>	<p><b>Calculated Year 3:</b></p> <p>Academic Year</p> <p>Stipend Pay <input type="text" value="\$0.00"/></p> <p>AY Fringe Benefits <input type="text" value="\$0.00"/></p> <p>Tuition and Fees <input type="text" value="\$0.00"/></p>
<p>Summer</p> <p># Months of Support/Summer <input type="text"/></p>	<p>Summer</p> <p>Stipend Pay <input type="text" value="\$0.00"/></p> <p>Summer Fringe Benefits <input type="text" value="\$0.00"/></p> <p>Tuition and Fees <input type="text" value="\$0.00"/></p>
<p># credit hours in which student will be enrolled</p> <p>Fall <input type="text"/></p> <p>Spring <input type="text"/></p> <p>Summer <input type="text"/></p>	<p><b>Total (Academic Year and Summer)</b></p> <p>Stipend Pay <input type="text" value="\$0.00"/></p> <p>Fringe Benefits <input type="text" value="\$0.00"/></p> <p>Tuition and Fees <input type="text" value="\$0.00"/></p>
<b>Project Period 4</b>	
<p><b>If Assistantship, ENTER:</b></p> <p>Monthly Stipend Amount <input type="text"/></p> <p>Academic Year (AY)</p> <p>Fall <input type="text"/> # Months****</p> <p>Spring <input type="text"/></p> <p>****Note: enter up to 4.5 for each semester</p>	<p><b>Calculated Year 4:</b></p> <p>Academic Year</p> <p>Stipend Pay <input type="text" value="\$0.00"/></p> <p>AY Fringe Benefits <input type="text" value="\$0.00"/></p> <p>Tuition and Fees <input type="text" value="\$0.00"/></p>
<p>Summer</p> <p># Months of Support/Summer <input type="text"/></p>	<p>Summer</p> <p>Stipend Pay <input type="text" value="\$0.00"/></p> <p>Summer Fringe Benefits <input type="text" value="\$0.00"/></p> <p>Tuition and Fees <input type="text" value="\$0.00"/></p>
<p># credit hours in which student will be enrolled</p> <p>Fall <input type="text"/></p> <p>Spring <input type="text"/></p> <p>Summer <input type="text"/></p>	<p><b>Total (Academic Year and Summer)</b></p> <p>Stipend Pay <input type="text" value="\$0.00"/></p> <p>Fringe Benefits <input type="text" value="\$0.00"/></p> <p>Tuition and Fees <input type="text" value="\$0.00"/></p>

<b>Project Title:</b>	Project Title
<b>Project PI:</b>	PI
<b>Project Dates:</b>	7/1/09 to 6/30/10

<b>Project Period 5</b>	
<p><b>If Assistantship, ENTER:</b></p> <p>Monthly Stipend Amount <input type="text"/></p> <p><u>Academic Year (AY)</u></p> <p>Fall <input type="text"/> # Months****</p> <p>Spring <input type="text"/></p> <p>****Note: enter up to 4.5 for each semester</p>	<p><b>Calculated Year 5:</b></p> <p><u>Academic Year</u></p> <p>Stipend Pay <input type="text" value="\$0.00"/></p> <p>AY Fringe Benefits <input type="text" value="\$0.00"/></p> <p>Tuition and Fees <input type="text" value="\$0.00"/></p>
<p><u>Summer</u></p> <p># Months of Support/Summer <input type="text"/></p>	<p><u>Summer</u></p> <p>Stipend Pay <input type="text" value="\$0.00"/></p> <p>Summer Fringe Benefits <input type="text" value="\$0.00"/></p> <p>Tuition and Fees <input type="text" value="\$0.00"/></p>
<p><u># credit hours in which student will be enrolled</u></p> <p>Fall <input type="text"/></p> <p>Spring <input type="text"/></p> <p>Summer <input type="text"/></p>	<p><b>Total (Academic Year and Summer)</b></p> <p>Stipend Pay <input type="text" value="\$0.00"/></p> <p>Fringe Benefits <input type="text" value="\$0.00"/></p> <p>Tuition and Fees <input type="text" value="\$0.00"/></p>
<b>Project Period 6</b>	
<p><b>If Assistantship, ENTER:</b></p> <p>Monthly Stipend Amount <input type="text"/></p> <p><u>Academic Year (AY)</u></p> <p>Fall <input type="text"/> # Months****</p> <p>Spring <input type="text"/></p> <p>****Note: enter up to 4.5 for each semester</p>	<p><b>Calculated Year 6:</b></p> <p><u>Academic Year</u></p> <p>Stipend Pay <input type="text" value="\$0.00"/></p> <p>AY Fringe Benefits <input type="text" value="\$0.00"/></p> <p>Tuition and Fees <input type="text" value="\$0.00"/></p>
<p><u>Summer</u></p> <p># Months of Support/Summer <input type="text"/></p>	<p><u>Summer</u></p> <p>Stipend Pay <input type="text" value="\$0.00"/></p> <p>Summer Fringe Benefits <input type="text" value="\$0.00"/></p> <p>Tuition and Fees <input type="text" value="\$0.00"/></p>
<p><u># credit hours in which student will be enrolled</u></p> <p>Fall <input type="text"/></p> <p>Spring <input type="text"/></p> <p>Summer <input type="text"/></p>	<p><b>Total (Academic Year and Summer)</b></p> <p>Stipend Pay <input type="text" value="\$0.00"/></p> <p>Fringe Benefits <input type="text" value="\$0.00"/></p> <p>Tuition and Fees <input type="text" value="\$0.00"/></p>

**INSTRUCTIONS: For completing 'Hourly Pay for Students' Worksheet**

**Step 1** Enter project title, PI, and project dates--if this was not entered in the 'PI, co-PI, or Senior Personnel' tab.

**Step 2** Enter name of student, if known.

**Step 3** Enter hourly wage for the named student.

**Step 4** Enter number of hours projected to be worked per week during both the fall and spring semesters.

**Step 5** Enter number of weeks projected to be worked during the fall and spring semesters.

**Step 6** Enter number of hours projected to be worked per week during the summer.

**Step 7** Enter number of weeks projected to be worked during the summer.

**Step 8** Enter the projected number of credit hours that each student will enroll for fall, spring, and summer semesters.

**Step 9** Repeat Steps 3-8 as necessary for subsequent budget years (Project Periods).

**Step 10** Print out wage sheets for students that are budgeted to receive pay from the project. Input salary information on the 'Budget Sheet' tab.

**Step 11** Click the clear button to clear the data on the 'Hourly Pay for Students' tab and repeat Steps 2-10 for each additional person in this classification. Alternatively, a copy of the worksheet can be made and renamed so that a permanent electronic record can be maintained for each person in this category.



<b>Project Title:</b>	Project Title
<b>Project PI:</b>	PI
<b>Project Dates:</b>	7/1/09 to 6/30/10

Project Period 1		
<b>Enter: Student Info*</b> Name of Student <input type="text"/>	<b>For students, ENTER:</b> Hourly Wage* <input type="text"/>  <u>Academic Year</u> # Hours/Week      # Weeks** Fall <input type="text"/> <input type="text"/> Spring <input type="text"/> <input type="text"/>  **Note: A semester covers ~15 weeks.	
	<b>Calculated Year 1:</b>  <u>Academic Year (AY)**</u> Student AY Pay Fall <input type="text" value="\$0.00"/> Spring <input type="text" value="\$0.00"/>  AY Fringe Benefits Fall <input type="text" value="\$0.00"/> Spring <input type="text" value="\$0.00"/>	
	<u>Summer</u> # of Work Hours/Week <input type="text"/>  # Weeks <input type="text"/>  Summer*** Student Summer Pay <input type="text" value="\$0.00"/> Summer Fringe Benefits <input type="text" value="\$0.00"/>	
	<u># credit hours in which student will be enrolled</u> Fall <input type="text"/> Spring <input type="text"/> Summer <input type="text"/>  *Note, minimum wage is \$7.25 as of 7/24/2009.	<b>Total (Academic Year and Summer)</b> Hourly Pay <input type="text" value="\$0.00"/> Fringe Benefits <input type="text" value="\$0.00"/>  ***Check to see any effects of this funding on student financial aid.

Click here to clear data on this sheet

Project Period 2		
<b>For students, ENTER:</b> Hourly Wage* <input type="text"/>  <u>Academic Year</u> # Hours/Week      # Weeks** Fall <input type="text"/> <input type="text"/> Spring <input type="text"/> <input type="text"/>  **Note: A semester covers ~15 weeks.	<b>Calculated Year 2:</b>  <u>Academic Year (AY)**</u> Student AY Pay Fall <input type="text" value="\$0.00"/> Spring <input type="text" value="\$0.00"/>  AY Fringe Benefits Fall <input type="text" value="\$0.00"/> Spring <input type="text" value="\$0.00"/>	
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<b>Project Period 3</b>																		
<p><b><u>For students, ENTER:</u></b></p> <p>Hourly Wage* <input style="width: 80px;" type="text"/></p> <p><u>Academic Year</u></p> <table style="width: 100%; border-collapse: collapse;"> <tr> <td style="width: 30%;"></td> <td style="width: 30%; text-align: center;"><u># Hours/Week</u></td> <td style="width: 30%; text-align: center;"><u># Weeks**</u></td> </tr> <tr> <td>Fall</td> <td style="text-align: center;"><input style="width: 80px;" type="text"/></td> <td style="text-align: center;"><input style="width: 80px;" type="text"/></td> </tr> <tr> <td>Spring</td> <td style="text-align: center;"><input style="width: 80px;" type="text"/></td> <td style="text-align: center;"><input style="width: 80px;" type="text"/></td> </tr> </table> <p><small>**Note: A semester covers ~15 weeks.</small></p>		<u># Hours/Week</u>	<u># Weeks**</u>	Fall	<input style="width: 80px;" type="text"/>	<input style="width: 80px;" type="text"/>	Spring	<input style="width: 80px;" type="text"/>	<input style="width: 80px;" type="text"/>	<p><b><u>Calculated Year 3:</u></b></p> <p><u>Academic Year (AY)**</u></p> <p>Student AY Pay</p> <table style="width: 100%; border-collapse: collapse;"> <tr> <td style="width: 30%;">Fall</td> <td style="text-align: right;"><input style="width: 80px;" type="text" value="\$0.00"/></td> </tr> <tr> <td>Spring</td> <td style="text-align: right;"><input style="width: 80px;" type="text" value="\$0.00"/></td> </tr> </table> <p>AY Fringe Benefits</p> <table style="width: 100%; border-collapse: collapse;"> <tr> <td style="width: 30%;">Fall</td> <td style="text-align: right;"><input style="width: 80px;" type="text" value="\$0.00"/></td> </tr> <tr> <td>Spring</td> <td style="text-align: right;"><input style="width: 80px;" type="text" value="\$0.00"/></td> </tr> </table>	Fall	<input style="width: 80px;" type="text" value="\$0.00"/>	Spring	<input style="width: 80px;" type="text" value="\$0.00"/>	Fall	<input style="width: 80px;" type="text" value="\$0.00"/>	Spring	<input style="width: 80px;" type="text" value="\$0.00"/>
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