



**Sojourner-Douglass  
College**

**Policy Manual  
for  
Sponsored Projects**

**Issued By**

**Office of Sponsored Programs & Applied Research**

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## Chapter I Manual Overview

### 1.1 Purpose:

The intent of this Policy Manual is to provide a systematic means by which the proposal development and management of sponsored projects at Sojourner-Douglass College are conducted in a uniform and coordinated manner. The manual should serve as a resource to Sojourner-Douglass College faculty and staff in the preparation of requests for funding. Topics covered and information presented is the outgrowth of meetings in the College with key stakeholders involved in seeking external funds for the College. The material is organized to provide the reader with guidance and suggestions for navigating through the Pre-award, Award and Post-award activities of grant or contract administration. The material is relevant to any kind of project and sponsoring agency. Additionally, the manual sets forth College policy regarding the award and administration of grants in accordance with Part 45 of the Code of Federal Regulations (CFR) and the requirements of the Office of Management and Budget (OMB) in Circulars:

- [A-21](#) Cost Principles for Educational Institutions
- [A-102](#) Uniform Administrative Requirements for Grants and Cooperative Agreements to State and Local Governments and regarding Grants Administration
- [A-110](#) Uniform Administrative Requirements for Grants and Agreements with Institutions of Higher Education, Hospitals and Other Non-Profit Organizations
- [A-122](#) Cost Principles for Non-Profit Organizations
- [A-133](#) Audits of States, Local Governments, and Non-Profit Organizations



## 1.2 Definition of Sponsored Programs

Sponsored programs are those projects and/or activities, which are originated and conducted by members of the faculty or staff. Such programs are supported wholly or in part by external restricted funds awarded to Sojourner-Douglass College. In general, sponsored activities should be directly related to the mission of the College. Other support such as competitive or formula funds awarded to some other areas, but restrictive in nature, are also included. Monies for sponsored activities are awarded to the College, although one or more faculty members may be identified as the program director or principal investigator. Sponsored programs differ from gifts and donations in two ways: gifts are donations, bestowed voluntarily and without expectation of any tangible compensation, product or outcome. While certain private grants may be considered gifts, these differ from sponsored programs in that the level of accountability imposed by the donor in the use of the gift is limited and usually does not require extensive technical or fiscal reporting.

## 1.3 College Policies:

Pertinent College policies are written in the relevant sections and a list of all SPAR applicable policies are attached in Appendix II

## 1.4 Applicability:

This Manual is applicable to all College grants, contracts and cooperative agreements, unless otherwise noted in this document or by the terms and conditions of the award instrument.

### **College Policy #001**

Individuals at Sojourner-Douglass College who intend to be active participants in submitting proposals are required to be trained and familiar with the procedures and processes described in this manual. See Training Plan Appendix III



### **1.5 Document Maintenance:**

The Office of Sponsored Programs and Applied Research (SPAR) is responsible for issuing and maintaining this document. A completely new document will be issued annually and a web link is under development. The SPAR staff welcomes any additional information, comments and suggestions that might enhance the contents of this document.



## **CHAPTER II GLOSSARY OF TERMS**

### **2.0 GLOSSARY OF TERMS**

This section provides basic information about various types of sponsored programs and explains some of the most commonly used terms in grant announcements, solicitations and Request for Proposals (RFP)s. For those staff and faculty who are new to this area the list of terms below will be helpful in navigating through the entire grants cycle.

#### **2.1 Type of Awards**

The type of awards, whether grants, contracts, or cooperative agreements, are an indication of general program requirements regarding the sponsor's role in the program; the Principal Investigator's responsibilities; the nature of expected outcomes; the payment method and schedule; and the use of program results or data. The particular program requirements for each sponsor program are specified in the award document. All awards are always made to Sojourner-Douglass College

#### **2.2 Grants**

Generally, the grant mechanism is used when the sponsor is not seeking immediate benefit for itself but is simply providing support for work initiated by the researcher. Grant recipients make no guarantees other than work will be done as described in the proposal and that good research management practices will be followed. A funded proposal already incorporates the conditions outlined in the sponsor's guidelines and the sponsor will typically make no or few further restrictions. The sponsor expects to receive reports, but not to supervise the program. Grants are generally made for a specific period, most often for a year; in some instances multiple years are given. In the latter case, the granting sponsor usually disburses funds on an annual basis. The Principal Investigator may be required to submit a continuation application as each subsequent grant year approaches in order to report



program activity and assure the agency that work is on track with the plan outlined in the original proposal. On the other hand, getting the grant renewed, as opposed to continue, usually requires submission of another proposal that is peer-reviewed.

### **2.3 Contracts**

Sponsors commonly use contracts when they have specific products in mind. Generally, contracts specify deliverables within a specified project period. Through contracts, a sponsor stipulates its needs, and the researcher and the sponsor come to an agreement. The process may well involve bidding or competitive negotiations. Contract negotiations is more likely than grant negotiations to involve discussions of proposed provisions restricting the publication or other use of research data or clauses affecting potential patent rights and licensing agreements; contracts also generally require frequent, detail reporting. In contract agreements, the sponsor is actively involved in overseeing the progress and direction of the project. One type of contract is a fixed-fee contract. The sponsor pays a fixed amount regardless of whether the actual cost of the research activities involved turn out to be higher or lower. If the project turns out to be more than originally estimated, the college must cover the extra expenses. Another type of contract is cost-reimbursement contract. Under this arrangement, the sponsor reimburses the College for the actual cost of the sponsored program, up to the amount originally awarded.

### **2.4 Cooperative Agreement**

An agreement that combines elements of both the grant and the contract is known as the cooperative agreement. In cooperative agreements, as with a grant, the sponsor is not seeking immediate benefit for itself (though it may expect to see "immediate benefit" for another entity). As with a contract, the sponsor expects to have some involvement in the project. Because the degree of sponsor involvement and the segregation of the responsibility require specification, the cooperative agreement usually involves more detail than a grant, perhaps less than contract.



## **2.5 Continuing Grant**

A grant in which the grantor agrees to provide a specific level of support for an initial specified period of time, usually a year, with a statement of intent to provide additional support of the project for additional periods, provided funds are available and the results achieved warrant further support.

## **2.6 Cost Reimbursement Grant**

A grant under which the grantor agrees to reimburse the grantee for work performed and/or costs incurred by the grantee up to the total amount specified in the grant. Such costs must be allowable in accordance with the applicable cost principles (e.g., OMB Circular A-21, Cost Principles for Educational Institutions or A-122, Cost Principles for Non-Profit Organizations). Accountability is based primarily on technical progress, financial accounting and fiscal reporting. Except under certain programs and under special circumstances, S-DC grants and cooperative agreements are normally cost reimbursement type awards.

## **2.7 Assistance Awards**

Are awards that entail the transfer of money, property, services or other things of value from the Federal government to a State or local government or other recipient to accomplish a public purpose of support or stimulation. In the case of S-DC, assistance awards involve the support or stimulation of scientific and engineering research, science and engineering education or other related activities. S-DC is authorized to use grants or cooperative agreements for this purpose.

## **2.8 Fixed Amount Award**

A grant used in certain programs and situations under which S-DC agrees to provide a specific level of support without regard to actual costs incurred under the project. The award amount is negotiated using the applicable cost principles or other pricing information as a guide. This type of grant reduces some of the administrative burden and record-keeping requirements for both the grantee and



grantor. Except under unusual circumstances, such as termination, there is no governmental review of the actual costs subsequently incurred by the grantee in performance of the project. There typically is a requirement for the grantee to certify that the approximate number of person-months or other activity called for in the grant was performed. Payments are based on meeting specific requirements of the grant and accountability is based primarily on technical performance and results.

## **2.9 Grantor**

The agency responsible for giving funds and setting up the award guidelines and qualification criteria

## **2.10 Principal Investigator/Project Director (PI/PD)**

PI or PD is the individual designated by the grantee, and approved by S-DC, who will be responsible for the scientific or technical direction of the project. The term "Principal Investigator" generally is used in research projects, while the term "Project Director" generally is used in science and engineering education and other projects.

## **2.11 RFP**

Request for Proposals

## **2.12 NOFA**

Notice of Funds Availability

## **2.13 Grantee**

The organization or entity that receives a grant and assumes legal and financial responsibility and accountability both for the awarded funds and for the performance of the grant-supported activity.



## **2.14 Allowable Costs**

Depending on the agency, awards may be given for items such as salaries, supplies, travel, and equipment. Operating expenses or the development, implementation, and evaluation of programs may be the focus of funding. Some agencies consider proposals from certain geographic regions; some fund only one-year projects; some exclude any requests for equipment. Careful consideration of the agency guidelines will increase the success of your proposal. Most agencies welcome telephone calls or correspondence on proposals prior to submission. The following resources can be used to locate possible funding sources.

## **2.15 Direct Costs**

Budget items for direct costs include salaries and wages, supplies, equipment, postage, photocopying, travel, computer use, services, and other specifically identifiable items. Include fringe benefits (currently 28.2% of salary) for all full time employees.

## **2.16 Indirect Costs (Overhead)**

Indirect costs, aka facilities and administration (F&A) rates or overhead, cover costs, which cannot be charged directly to the project but which represent College related expenses. The College currently charges 30% of direct costs. The U.S. Office of Management and Budget defines indirect costs in Circular A-21 indirect costs are those costs of an institution, which are not readily identifiable with a particular project or activity but nevertheless are necessary to the general operation of the institution and the conduct of its activities. The costs of operating and maintaining buildings, grounds, and equipment, depreciation, general and departmental administrative salaries and expenses and library costs are types of expenses usually considered as indirect costs.



## **2.17 Cost Sharing**

Agencies appreciate, and frequently request, cost sharing as an indicator of the Colleges support for the project. Frequently the cost share could be offered with in-kind items such as release time, secretarial assistance, fringe benefits, or indirect costs. However, indirect costs must be included in the agency budget if allowable by the agency. Cost shared items must be approved by the President and/or Provost Vice President for Academic Affairs or Vice President for Administration and Finance. The P.I. or individual responsible for writing the proposal is strongly encouraged to obtain approval of items for cost sharing at the beginning of the writing process.

## **2.18 Cost Extensions**

The P.I. should submit a request to the funding agency 60 days in advance of the end date. This request should justify the need for additional time and be routed through SPAR for concurrence. Having funds left is usually not justification. There are exceptions to this as many federal agencies allow extensions without requiring prior approval.

## **2.19 Grant Expenditures**

All expenditures charged to a grant or a contract must be within the time period of the award. (Exceptions: some federal agencies allow pre-award costs and end-date extension.) Payment can take place after the grant or contract terminates, but only when funds were committed prior to the effective end date.

## **2.20 Travel**

Foreign Travel costs are limited to those allowed by state policy and, in the case of air travel, less than first-class travel must be used when available. Grant recipients (federal) must comply with the requirement that U.S. flag carriers be used to the maximum extent possible when commercial transportation is the means of travel. This requirement shall not be influenced by factors of cost, convenience or personal preference. If it is impossible to use a U.S. carrier, written prior approval to use non-U.S. carriers must be



received from the federal agency. Additionally, the State of Maryland's current foreign travel reporting requirement should be checked in advance as these can change with increased national security regulations.

## **2.21 SGA**

Solicitation for Grant Applications

## **2.22 S-DC GRANT PERIODS**

**a. Grant Period** is a period of time between the effective date and the expiration date of an S-DC grant shown as the duration.

### **b. Effective Date**

Effective Date is the date specified in the grant letter on or after which, except for fixed amount awards, expenditures may be charged to the grant. With the exception of PI transfers, the effective date used by S-DC is normally either the 1st or the 15th day of the month. If no effective date is specified, then the date of the grant letter is the effective date.

**c. Expiration Date** is the date specified in the grant letter after which expenditures may not be charged against the grant except to satisfy obligations to pay allowable project costs committed on or before that date. The expiration date is normally the last day of a month.

### **d. Significance of Grant Period**

Except in fixed amount awards, a grant gives authority to the grantee to commit and expend funds for allowable costs in support of the project up to the grant amount specified in the grant letter at any time during the grant period. Except as provided in expenditures may not be charged prior to the effective date or subsequent to the expiration date under a cost reimbursement grant.

**e. Changes in Grant Periods**

The expiration date may be changed as a result of approval of a request for continued support of a continuing grant, for a no-cost grant extension, or, in some cases, by renewed support of a standard grant, or by approval of a request for supplemental support. If approved, the Grants Officer will issue an amendment to the grant.

**2.23 Two-Year Extensions for Special Creativity**

A Program Officer may recommend the extension of funding for certain research grants beyond the initial period for which the grant was awarded for a period of up to two years. The objective of such extensions is to offer the most creative investigators an extended opportunity to attack adventurous, "high-risk" opportunities in the same general research area, but not necessarily covered by the original/current proposal. Awards eligible for such an extension are generally three-year continuing grants. The Program Officer based on progress during the first two years of a three-year grant generally initiates special Creativity Extensions; PIs will be informed of such action a year in advance of the expiration of the grant.



### CHAPTER III PRE-AWARD

#### 3.0 Pre-Award

The Pre-Award process includes developing an idea or concept, securing internal approval, locating a funding source, planning the project, creating a budget, writing and editing the proposal, and submitting the final proposal to the funding agency.

Individuals preparing proposals at the College should be aware of when and from whom College approvals are required. The diagram below is designed to provide this information.

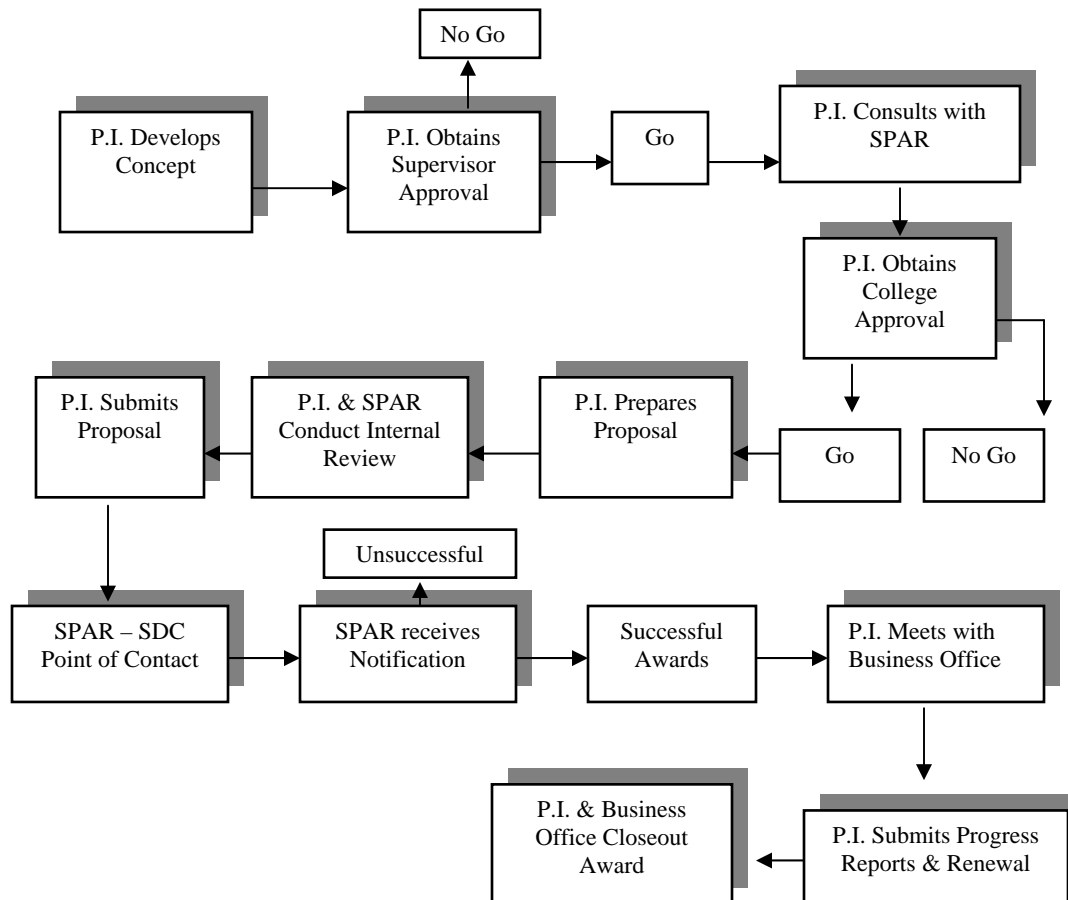


Figure 1: Internal Steps in Proposal Approval Process



### 3.1 Role of Sponsored Programs and Applied Research (SPAR)

SPAR serves as a catalyst for identifying and implementing programs in the Applied Arts and Sciences for faculty and students and the improvement of the community, regardless of funding mechanism. The primary function of the office is to be an advocate for a campus environment that is conducive to the research enterprise, and advises the administration on matters of regulatory compliance, internal sponsorship of scholarly activities and other related issues. SPAR is also an institutional support structure and seeks to assist staff in a variety of ways including but not limited to:

- a. Identifying funding sources
- b. Assisting with development of proposals and budgets
- c. Assistance with a writer or writing team
- d. *SPAR staff does not write proposal but by virtue of their expertise may be active participants on the writing team;*
- e. Assistance with coordinating College wide meetings;
- f. Obtaining internal approvals;
- g. Serving as the point of contact
- h. Developing procedures and guidance.

It is the responsibility of the Office of Sponsored Programs and Applied Research to review the accuracy and completeness of the College's support of the proposed projects and the College's suitability as a recipient of the intended award. Responsibilities associated with proposal development and submission as follows:

- a. To ensure that the proposal is consistent with the College's mission and policies
- b. To verify that all required committee reviews have been conducted on proposals that involve research using animals, human subjects, or biohazards.
- c. Ascertains Principal Investigator/Project Director certifications if required in anticipation of federal award.
- d. Verifies that all appropriate agreements have been made and documents for projects involving extra space allocation, renovation, use of the supercomputer, and other ancillary services.
- e. Reviews certification regarding conflict of interest and forwards any attached disclosure forms and documents to her designee.
- f. Reviews and confirms cash cost-sharing arrangements as needed.



- g. Coordinates the budget review and obtains a review and/or signature from the Vice President for Finance.
- h. Obtains the signature of the College's authorizing official
- i. Maintains the official College file for sponsored programs and provides periodic reports to the College.
- j. Coordinates award review with contracts and grants as appropriate
- k. The Director of Sponsored Programs and Applied Research is the Principal Grant Officer for sponsored programs at Sojourner Douglass College. He/She:
  - i. Serves as primary institutional representative and liaison between the College and the external sponsor of contract and/or grant
  - ii. Stimulates environment conducive to research and scholarship
  - iii. Represents S-DC on external research assemblies
  - iv. Engages faculty in multi-disciplinary and statewide consortium activities
  - v. Provides leadership for faculty development activities and activities to secure external funding
  - vi. Provides institutional authorization and acceptance of award terms and conditions
  - vii. Oversees the conduct of programs supported by grants and contracts
  - viii. Has overall responsibility for coordination of College compliance with certain federal regulations pertaining to grants and contracts, such as those regarding animal care and use and research involving human subjects

### **3.2 Role of the Principal Investigator**

The Principal Investigator (P.I.) is the term generally used by federal funding agencies to identify the individual with primary responsibility for developing and implementing a project. Depending on the circumstances, they are also referred to as the Program Director, Program Manager or simply the individual responsible. When the PI takes on the task of preparing a proposal for submission to an outside source, he or she agrees to manage the ensuing grant or contract in compliance with the terms, conditions, and policies of both the sponsor and the College. Only one PI should be named to delineate clear lines of responsibility for project management. The PI must be an



employee of Sojourner-Douglas College. Figure 1 indicates a number of steps in the process that relate directly to responsibilities of the P.I.; therefore, a description of each step is provided for additional clarification. Each proposal for external funding has the opportunity to become a legal document binding the College to fulfill the conditions specified in the proposal. When a proposal is submitted to a sponsor, the College, not the author of the proposal, submits it. When an award is received, it is by the College on the behalf of the Principal Investigator/Project Director. Thus, the author of a proposal must seek, secure, and substantiate the College's commitment to issues of compliance, support, and concurrence with fiscal and programmatic statements. To do so, the author must ensure that the proposal conforms to the college's policies, mission and obligations; must inform relevant administrators of potential commitments of time and resources and obtain their written consent to these commitments; and must document the College's compliance with applicable regulations.



### **3.3 Research Incentive “Compensation” Policy**

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#### **College Policy #003**

#### **RESEARCH INCENTIVE “COMPENSATION” POLICY**

The purpose of this policy is to provide a monetary incentive to staff and faculty interested in pursuing applied research, which can be conducted in many different forms (i.e. social action projects, ethnography studies, new academic programs, etc.). Activities proposed must be in keeping with the College’s mission and strategic plan, and follow the College’s established external funding guidelines for review and approval.

#### **Adjunct Faculty**

Adjunct Faculty positions are defined as individuals currently under contract or hired to participate in a funded grant or contract activity. The duration of these appointments are based on the award and performance.

Each adjunct faculty’s appointment will be based on the maximum allowed under the grant or contract, experience and education in accordance with current salary ranges at the College. Depending on the terms of the award, some positions may or may not include fringe benefits.

#### **Staff**

Staff positions are defined as individuals currently holding a full-time position at the College.

Staff participating as key personnel on grants or contracts salary is requested at 15 percent above their current annual salary. Unless specifically approved, staff with existing full-time positions participating as key personnel on a grant or contract can not exceed 50% time and effort.

#### **Option 1:**

The additional funds will be placed in a bonus pool for that office and awarded at the end of the award’s budget year.

#### **Option 2:**

The individual will receive these funds as a bonus at the end of the award’s budget year.

#### **Option 3:**

The individual’s salary will temporarily increase by 15 percent for the period of the award. When the award ends, the individual’s salary reverts back to the College’s current scale for that position.

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### 3.4 Steps by Step Description of Proposal Process

The remainder of this manual will describe each box in terms of activities that take place in the Pre Award, Award, Post Award and Closeout stages of grant or contract administration.

### 3.5 Initial Idea / Concept

The proposal process begins with an idea for a project or activity that cannot be undertaken without securing funds from outside the College. SPAR has lists of projects that have previously been funded by many different sponsors. Reviewing such lists is often a good step in determining whether or not an idea is "potentially fundable." After the idea has been generated, the PI should discuss the goals and objectives as well as the general ramifications of the project with a colleague, Department Chair, Dean and other institutional officials in order to ensure institutional cooperation and coordination. SPAR has prepared several forms (SPAR-1 and SPAR-3 in the appendices) that are necessary to document these contacts and approvals. Before discussing your ideas or seeking institutional approvals, it is usually a good idea to develop your ideas as a CONCEPT PAPER. The Concept Paper is an outline of your project. A complete Concept Paper should always contain at a minimum the following:

- (1) Statement of the problem;
- (2) Statement of the objectives of the proposed project;
- (3) Description of the methodology to be used and the roles of the principal project staff;
- (4) Summary highlighting the benefits of the proposed project;
- (5) Qualifications of the principal and proposed project staff(s);
- (6) Appropriateness and benefits of the project to the institution and
- (7) Outline of the project's needs and estimated costs.



### 3.6 Writing the Concept Paper

A significant step in developing an idea or concept is for the P.I. or individual leading the effort to examine the College's Strategic Plan. This will ensure that as the project or program is defined, the mission, goals and objectives of the institution remain in the forefront. Additionally, to assist in conceptualizing and developing the concept, the following suggestions are provided:

- a. Clarify the purpose of your project. In doing so it may be helpful to draft a mission statement
- b. Define the scope of your initiative. (What do you want to do?)
- c. Determine the project's goals and identify the specific objectives that define how you will focus the work to accomplish the goal
- d. For example:  
**Goal:** To improve academic achievement  
**Objective:** Increase tutorial assistance through computer based instruction.
- e. Obtain the Solicitation Guidelines and or contact a program official at the funding agency. If there is a solicitation, particular attention should be paid to the following information:

Eligibility

Submission deadlines

Proposal format

Review criteria

Budgets requirements (e.g. cost sharing)

Award level

Contact Information

Attend proposal review meetings or "Bidders Conferences." This serves three overall purposes:

- i) It may be your first opportunity to introduce the College and thereby begin the process of developing a relationship;
- ii) It gives you a chance to hear first hand what the expectations will be and it provides an opportunity to ask questions.
- iii) obtain samples of successful awards; and
- iv) consider opportunities for replication and sustainability



### 3.6 Obtain Go/No Go Decision from Immediate Supervisor

Individuals desirous of submitting a proposal for funding must discuss their idea with their immediate supervisor. Following the guidance provided in this manual, the Concept Paper will serve as the focal point of your discussions and should be modified as your ideas take shape.

(Approval Form, Attachment \_\_\_\_)

- a. Initial Go/No decision – In some instances, the supervisor may want to seek concurrence at this stage from the President and/or Provost/Vice President.

#### **College Policy #002**

Interim/Expedited Approval – to facilitate faculty and staff proceeding quickly on opportunities, the Director of SPAR is delegated authority to provide interim approval for proposals that are less than \$500,000.

### 3.7 Consult with SPAR Office

SPAR staff can provide information regarding other similar projects being submitted in the College, the names of contact persons at funding agencies, and general information regarding process.

### 3.8 Avoiding Conflicts

One item that is most important in planning is ensuring that there are no submission conflicts. For example, it would be highly embarrassing to the College if two different departments submit proposals to the same funder. It is essential that potential donors and grantors be approached and solicited in a coordinated and consistent manner.

Therefore all solicitation requests must be routed through SPAR. An External Funding Approval Request Form (see Attachment \_\_\_\_ ) can be picked up in the SPAR office and should be returned after approval, so that the SPAR staff will continue to have up-to-date knowledge regarding pending submissions. Depending on the nature of the activity, some request may need to be signed by the President or Provost/Vice President for Academic Affairs. It is definitely advisable to have this form approved prior to beginning the proposal writing process.



### **3.9 Identification of funding Sources**

Once a project idea has been formulated, if a funding source is unknown, the next step is to target a funding source. Proposals may be funded by private, public foundations, corporations, or government agencies at the local, state, or federal level. Funds may also be available from other agencies such as special interest groups or professional organizations. The agency guidelines will tell you who may apply. The most common reason that grant proposals are turned down is because the applications do not fit the requirements of the agency to which they are submitted. Applications that are received too late (and sometimes too early), that are in the wrong format, or which do not address the objectives of an agency stand no chance of being funded. Therefore, once you have begun the development of your idea, you will need to find a funding source whose objectives match those of your proposed project. Funds are awarded by a variety of agencies in support of research activities. Familiarity with the types of funding sources helps faculty and staff identify potential sponsors whose interest and level of support are appropriate to planned projects. Below is a description of the sources most commonly used:

### **3.10 Foundations**

Foundations have very small staffs, so communication can be quite limited. However foundations can be an excellent source of funding, if applicants have innovative ideas and target foundations that are most likely to have an interest in the project topic. Most foundations restrict their support to very specific areas of interest so obtaining a foundation's published annual report or funding guidelines when available can help researchers determine particular funding opportunities. Providing a foundation with a brief (e.g., three-page) concept paper of proposed research is often an important first step in seeking foundation sponsorship.



### **3.11 Corporations (Including Businesses and Industry)**

Although often overlooked by academic researchers, corporations can be important funding sources. Their support may include cash funding and/or in-kind contributions of expertise, services equipment, or materials. Not only can corporations provide support or partial support for a new project, but academic or corporate partnerships can also establish a basis for seeking additional funding from federal agencies or other sources, especially those requiring a cost sharing match or rewarding such partnerships. Proposals to corporations often originate without an announcement. Therefore, extensive communications with a corporate representative is crucial in determining project goals and expectations. Proposals are often much shorter and simpler than those submitted to federal agencies, although the resulting legal agreement can be quite complex. Awards often contain special clauses covering such things as publication rights, patents, nondisclosure of proprietary information, and indemnification.

### **3.11 Government**

The federal government is the largest source of funding for grants and contracts. To learn about the mission of various federal agencies, it is suggested that individual's seeking funding search the Internet for the Catalog of Federal Domestic Assistance. At the state and local levels, similar directories exist and it is advisable to review an agency's mission to assess its interest in a potential idea.

### **3.12 Electronic Search Engines**

**a) The Foundation Center** – Founded in 1956, the Center is the nation's leading authority on philanthropy and is dedicated to serving grant seekers, grant makers, researchers, policymakers, the media, and the general public. The Foundation Center's mission is to strengthen the nonprofit sector by advancing knowledge about U.S. philanthropy. The web address for Foundation Center is <http://www.fdncenter.org>.



**b) Grants.Gov** – Allows organizations to electronically find and apply for grant opportunities from all Federal grant-making agencies. Grants.Gov is a single access point for over 900 grant programs offered by the 26 Federal making agencies. The U.S. Department of Health and Human Service is the management partner for Grants. Gov an initiative that will have an impact on the grant community. The Internet web site is <http://www.grants.gov>

**c) Library** – The Library has many books and references to assist grant seekers such as Demystifying Grant Seeking; How to Get Grants and Free Stuff; Winning Grant Proposals.

**d) Sponsored Program Information Network (SPIN)**  
A database of funding opportunities (federal, non-federal and corporate) designed to assist faculty and administrators in identifying sources of external support.

In selecting a funding source, the proposer will need to review the funding sources information to determine which potential source offers the best funding opportunities. In reviewing the funding literature, the proposer should look for the following information:

- i) the correct name and address of the potential funder
- ii) the areas of interest
- iii) funding priorities and review procedures
- iv) size of grants (both maximum and average)
- v) restrictions, if any
- vi) cost sharing requirements
- vii) application deadlines and any special conditions for proposal submission
- viii) name of contact person or office
- ix) whether there are guidelines and required forms



### **3.13 Selection of Funding Sources**

Once this information is compiled, the proposer should select agencies using the following criteria:

- 1) whether the College is eligible to apply for the program
- 2) whether the proposal idea fits within the basic philosophy of the source and its funding priorities
- 3) whether the proposed costs are within the allowed range; whether matching or cost sharing funds are required and if so, what kind?
- 4) whether funding is long- or short-term and whether renewals are possible.
- 5) whether there is a funding cycle, and if so, can the deadlines for proper submission be met?
- 6) whether a draft or pre-proposal or concept paper is required or
- 7) whether one can be submitted for review prior to formal submission of the proposal

### **3.14 Final Go/No decision**

Final approval to proceed is required from the Provost/Vice President for Academic Affairs and/or President. In some instances, a presentation before the Cabinet may be required. At the expedited review stage (proposal less than \$50,000), final approval authority may be delegated to the Director of SPAR.

### **3.15 Pre Contact with Funder**

In a study of over ten thousand applications for grants made to Federal Agencies, the ONE factor which clearly separated successful from unsuccessful proposals was whether the applicants had consulted with the funding agency before submitting their applications. Most foundations and private sources also welcome pre-application contacts. Some discourage contact other than requests for general information but others require it, so be sure you know the foundation's preferences before making such contact. Pre-application contacts are not intended to influence the funding agencies to make a favorable decision,



but to allow you to best "tailor" your application to meet their requirements. Frankly, information is not always written down in the guidelines and application instructions so some direct contact with the agency is the only way to become knowledgeable of these important details. Finally, being known to the agency usually helps. In addition to determining whether your proposal fits within the agency's current guidelines and funding priorities, it is important to find out how much "new" money an agency has available (as opposed to money that is restricted to funding continuation projects). This can be important in helping you decide whether or not it is worthwhile to submit a proposal to a particular agency. Most agencies are also prepared to make suggestions about alternate sources of funding should your ideas not be appropriate for them. Don't hesitate to ask for this information. When dealing with public agencies you should be able to request a list of previous grantees. Many private foundations will also supply this information. Not only will you be better able to judge the nature and size of previous awards, but you will also have a list of institutions and people who you can contact. Most Project Directors are willing to discuss their projects; some will be willing to share copies of proposals and other types of experiences relevant to the grant writing process. In addition to a list of previous awardees, you may be able to obtain copies of proposals that were funded. Some agencies provide "model" proposals; others provide copies of actual proposals. Any proposal funded with public funds becomes part of the public domain and citizens have a right to see it. However you should be prepared to pay copying charges or to visit the agency to examine this yourself. Another excellent source of information that can improve your chances of being funded is to find out something about the reviewers how they are chosen, what qualifications does the agency look for? You may be able to get a list of recent reviewers. If so you can contact these people to learn what it is they are told to look for as well as what mistakes they commonly see that lead to proposal rejection. Pre-application contacts are usually made by telephone, by letter or by personal visit. TELEPHONE contact is certainly the quickest and is often the best way to confirm whether your project falls within the funding priorities of a particular agency. Telephone calls are also appropriate as follow-ups from written communications or personal visits. Don't expect a telephone call to substitute for these latter forms of contacts. Don't try to read your proposal over the phone or expect a detailed review back. WRITTEN COMMUNICATIONS can take several forms:



- a short preliminary proposal (required by some programs) giving the Program Title, the name of the submitting organization, a needs' statement, objectives, methodology, resources, personnel and budget
- a letter of intent (also required by some programs) containing a description of the proposed project, an estimated budget and some information about the applicant
- an abstract of the proposed project together with a carefully composed letter of transmittal containing information about the applicant, the institution and budgetary requirements.

These forms of written communication are merely the most common. Details need to be modified to meet the specific requirements of different funding agencies.

### **3.16 Personal Visits**

Personal visits should always be preceded by either a telephone call and/ or written communications. Always make an appointment and always come prepared with an agenda: specific questions or a planned presentation. Very few government or foundation officials have the time to chat about your ideas; however, personal visits can be productive for the funding agency as well as yourself. Agencies need to know what investigators are doing and thinking as this helps them stay on the "cutting edge."

### **3.17 Letter of Intent**

Some agencies and sponsors require the grantee to submit a letter of Intent containing a description of the proposed project, an estimated budget and some information about the applicant.



### **3.18 PREPARING PROPOSALS**

#### **a. Planning**

Before you write, you must plan. Successful proposal writing requires coordination of several activities, involving planning, searching for data resources, writing and packaging the proposal, submission, and last, but very important...follow-up. Often the preliminary steps are the most time consuming. The following tasks are helpful in the planning process:

#### **1) Identify funding sources**

- a) Think global...do not limit your search to one source.
- b) Match your project to the grants you seek by ensuring that your programs purpose and goals are in line with the funders'.
- c) Request proposal guidelines, a list of projects previously funded and an annual report if available.
- d) Find out the average size and funding range of awards. Note: if the potential funders award amount is inadequate for your request. Consider the funds as potential funds "in support of your effort."

#### **2) Establishing relationships:**

- a) Think of the funder as your first resource.
- b) If possible identify a project officer who will address your questions.
- c) Some funders may offer technical assistance...there's no harm in asking.
- d) Find out how/when proposals are reviewed and how decisions are made.
- e) Inquire about budgetary requirements and preferences. For example, does the funder require matching funds? Is in-kind acceptable?
- f) Remember the contacts may prove to be very valuable, even if your program does not make this funding round.



### **3) Research materials:**

- a. Review information from foundations, periodicals, government flyers etc
- b. Read annual reports, topical newspaper articles, research reports and review recent studies
- c. Become familiar with demographic data regarding the proposal population

#### **b. Identify proposal writing team**

Assembling the proposal team is by and large based on the program's premise and the expertise needed to write the proposal. Consider the following:

1. Personnel needs should be first considered by function and then by name.
2. Contact prospective project consultants, trainers, and evaluators (if necessary for the proposal). Determine if you can include them in the project and their cost.

#### **d. Other issues of merit to consider**

1. Does the grantor require assurances regarding smoke free, drug free zones?
2. Does your project require the participation of human subjects, as in a research study? If so, the College will need to establish an Institutional Review Board (IRB). The SPAR can arrange this through its affiliations with the Maryland HBCU/MI Consortium.
3. Does your project require an Advisory Committee?
4. Do you need letters of support? If so, to expedite this process; draft the letters and fax or E-mail them to the agencies and organizations that will be included in this proposal. This should be done at the same time that the writing of the proposal begins. Follow up is essential to ensure that the letters are received prior to the completion of the proposal.



### 3.19 Writing the proposal

You should have all of your materials, facts, and staff ready to begin the task of writing the proposal. Remember that structure, attention to the application's specifications; concise, persuasive writing, and a reasonable budget are the critical elements at this stage. The important thing is to follow the guidelines to the letter. **No deviation.** People who review proposals and funders are not happy when the process is not followed exactly as stated. If no format is available, standard formats usually require: a narrative, budget, and authorized signature. Sometimes proposal applications require abstracts or summaries, an explanation of budget items, and certifications. The following is an outline of what generally goes into each section:

1. **Narrative statement of need**
  - a) Includes **purpose, goals, MEASURABLE objectives**, and a logical reason why the proposal should be supported. Background information provides perspective. Remember, the reader does not know you and even if the funding source does, they must remain impartial.
  - b) **Approach** – this area answers how you intend to accomplish the goal and objectives. This section describes the scope of work with expected outcomes and outlines activities. It also describes personnel functions with names of key staff and consultants, if applicable.
  - c) **Method of evaluation** – some funders may require a detailed discussion. Inquire about expectations.
  - d) **Project time line** – this aspect shows how the project will flow. It includes start and end dates, schedule of activities, and projected outcomes. In this section be sure to include when staff will be hired.



- e) **Capability statement** or organizational history – this section provides information about the applicant and includes the College’s ability to successfully fulfill the requirements of the tasks it is proposing. The narrative in this section should include and satisfy the following questions:
- 1) What do we want?
  - 2) What concern(s) will be addressed?
  - 3) Who will benefit and how?
  - 4) What specific objectives will be accomplished and how?
  - 5) How will results be measured?
  - 6) How does this funding request relate to the funder's purpose?
  - 7) What are the objectives, and priorities?

### 3.20 Budget

The budget is the final plan for the project or program. It may include both the sponsor and non-sponsor share, or only the sponsor share, depending upon the sponsor’s cost sharing requirements. Proposed project cost are comprised of allowable direct cost, facilities and administrative (F&A) cost, and cost sharing. For cost to be allowable as charges to sponsored projects, they must be reasonable, allocable to sponsored project, allowable under College and sponsor policy, accorded consistent treatment with respect to whether they are charged directly or included in the F&A rate, and conform to limitations or exclusions set forth by the sponsor. The investigator should prepare the budget justification to explain how budgeted costs relate to the work proposed. The investigator should use this narrative format to clarify any special requirements, describe the basis of estimates or rates, specify equipment to be purchased, justify restricted cost, and justify the use of consultants, sub recipients, etc. This information will assist the sponsor in determining whether the proposed cost are reasonable and appropriate, and constitutes sponsor approval to incur the cost if the award is made without specially eliminating any of the costs:



- a. The importance of budgets
  1. They are cost projections
  2. They are a window into how projects will be implemented and managed.
- b. Funders assess budgets based on the factors listed below:
  1. Can the job be accomplished within budget?
  2. Are costs reasonable?
  3. Is the budget consistent with proposed activities?
  4. Is there sufficient budget detail and explanation?

Many funders (especially government applications) provide mandatory budget forms that must be submitted with the proposal. Remember to list in-kind and matching revenue where appropriate. Be flexible. The funder may want to negotiate your budget.

### **3.21 Allowable costs**

Depending on the agency, awards may be given for items such as salaries, supplies, travel, and equipment. Operating expenses or the development, implementation, and evaluation of programs may be the focus of funding. Some agencies consider proposals from certain geographic regions; some fund only one-year projects; some exclude any requests for equipment. Careful consideration of the agency guidelines will increase the success of your proposal.

### **3.22 Direct costs**

Budget items for direct costs include salaries and wages, supplies, equipment, postage, photocopying, travel, computer use, services, and other specifically identifiable items. Include fringe benefits (currently 28.2% of salary) for all full time employees.



### **3.23 Indirect costs (Overhead)**

Indirect costs, also known as facilities and administration (F&A) rates or overhead, cover costs, which cannot be charged directly to the project but which represent College related expenses. The College currently charges 30% of direct costs. The U.S. Office of Management and Budget defines indirect costs in Circular A-21 indirect costs are those costs of an institution, which are not readily identifiable with a particular project or activity but nevertheless are necessary to the general operation of the institution and the conduct of its activities. The costs of operating and maintaining buildings, grounds, and equipment, depreciation, general and departmental administrative salaries and expenses and library costs are types of expenses usually considered as indirect costs.

### **3.24 Cost sharing**

Agencies appreciate, and frequently request, cost sharing as an indicator of the Colleges support for the project. Frequently the cost share could be offered with in-kind items such as release time, secretarial assistance, fringe benefits, or indirect costs. However, indirect costs must be included in the agency budget if allowable by the agency. Cost shared items must be approved by the President and/or Provost Vice President for Academic Affairs or Vice President for Administration and Finance. The P.I. or individual responsible for writing the proposal is strongly encouraged to obtain approval of items for cost sharing at the beginning of the writing process from Internal Review Board (IRB) before submission. Note that additional time will be required to complete IRB requirements.

### **3.25 Conduct an internal review of the proposal**

Identify colleagues to review the proposal at least 7 days prior to submission. Review comments and edit should be incorporated if returned in a timely. A copy of the reviewer's comments must be attached to obtain final signatures. After the proposal is submitted, as courtesy, internal reviewers should receive a copy of the final document and a note of thanks.



### **3.26 Additional material for the proposal**

Agencies frequently request additional material to be included with the grant proposal. The P.I. or the individual leading the grant writing team should contact SPAR for assistance in obtaining items such as a list of the Board of Directors, enrollment statistics, library holdings, compliance assurances or certifications, the annual report, the latest auditor's report, or a letter of support from the President. In addition, some proposals may require approval from an Institutional Review Board.

### **3.27 Compliance/Assurances**

Funding agencies, especially governmental funding agencies, may require proof of compliance to certain regulations on behalf of both the primary investigator and the institution. Common institutional requirements include compliance with the federal policy for the protection of human subjects, equal opportunity for employment, and occupational health and safety.

#### **a) Lobbying**

Public Law 101-121 states that applicants for federal funding must provide the following information on any contract, grant, or cooperative agreement exceeding \$100,000.00: Certification that no federal appropriated funds have been paid or will be paid to any person for influencing or attempting to influence a federal employee in connection with the appropriation of federal funds. Submission of Standard Form-LLL Disclosure Form to Report Lobbying if non-federal funds are used to pay any person for influencing or attempting to influence a federal employee in connection with the appropriation of federal funds.

**b) Debarment & Suspension**

With the submission of an application for federal funding, an institution must certify or provide an explanation why it cannot certify that its principals (including consultants and subcontractors):

1. Are not presently debarred, suspended, proposed for debarred, declared ineligible, or voluntarily excluded from covered transactions by federal department or agency;
2. Are not presently indicted for or have not within a three-year period proceeding an application been convicted of or had a civil judgment rendered against them for commission of fraud or criminal offense in connection with obtaining, attempting to obtain, or performing a public 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 record, making false statements, or receiving stolen property; and
3. Have not within a three-year period preceding an application had one or more public transactions terminated for cause or default.

**c) Drug-free workplace & drug-free workforce**

All grants or contracts made by federal agency after March 18, 1989, require that applicant organizations assure the federal government that work on these projects will occur in a drug-free workplace. As part of the certification process, Sojourner Douglass College was required by law to develop a drug free workplace policy which applies to all personnel engaged in the performance of a grant or contract funded with money from all personnel engaged in the performance of a grant or contract funded with money from a federal agency. The policy also applies to undergraduate students and graduate students paid from funds acquired directly from a federal agency. This policy states in part that:



- i. The unlawful manufacture, distribution, dispensation, possession, or use of a controlled substance is prohibited in the workplace;  
As a condition of employment employees must abide by the terms of the statement;
- ii. Any employee convicted of a drug violation occurring in the workplace is requires notifying his/her immediate supervisor no later than five days after the conviction.
- iii. The policy outlines the sanctions, which may be taken if an employee violates the policy. Such sanctions may include termination of employment, satisfactory completion of a rehabilitation program, or suspension.

**d) Institutional Review Board (IRB) for Human Subjects Research**

All research that involves the use of humans (e.g., survey, experimental, evaluation, and biomedical research) must be approved by the Institutional Review Board (IRB), according to the College's Assurance of Compliance Agreement with the Department of Health and Human Services. The Institutional Review Board is charged with the responsibility of maintaining institutional compliance with the U.S. Office for protection from Research Risk (OPRR) regulations regarding the use of human subjects in research. Human subject is defined by the code of Federal Regulations (CFR) as " a living individual about whom an investigator obtains (1) data through intervention or interaction with individual or (2) identifiable private information." The regulations extend to the use of human organs, tissue, and body fluids from individually identifiable human subjects as well as to graphic, written, or recorded information derived from individually identifiable human subjects. The use of autopsy materials is governed by applicable state and local law and is not directly regulated by the federal human subject regulations. Research is defined in the Code of Federal Regulations (CFR) as "systematic investigation designed to develop and contribute to generalizable knowledge."



Examples of activities that constitute research include:

1. Any study intended to result in publication or public presentation;
2. Any activity resulting in publication or public presentation, even though it involves only review of existing data that was collected with no intent to publish; or
3. Any use of an investigational drug or device.

Thus, research with human subjects includes survey and interview research, as well as evaluation studies. An example of an activity that is not research would be any evaluation of an employee, course, program, or service in which such evaluation is not designed to lead to generalizable knowledge. If an activity does not involve research, it does not require approval or review by the IRB. If the investigator has any doubt as to whether an activity constitutes research, he or she should contact the IRB Coordinator. For all research activity, the investigator- whether an administrator, faculty member, staff member, or student- must file a protocol, or description of the procedure(s) to be used to gather information from subjects, with the IRB. The IRB must then approve the protocol prior to the collection of any data or research information from the research participants. The guidelines have provisions for exemption of some studies that involve no risk to subjects and for expedited review for some types of studies involving no more than minimal risk to subjects. The determination of the type of review must (by federal mandate) be made by the Office of Sponsored Programs and Applied Research.

**Note:** The human subjects research assurance agreements apply to all research involving human subjects, whether funded or not and whether conducted by administrators, faculty, staff, or students.



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## College Policy #004

### 3.29 Research Misconduct Policy

The Public Health Service requires Sojourner Douglass College (S-DC) to have a scientific misconduct policy in place. The S-DC Research Misconduct Policy relates to activities associated with the collection, analysis, and reporting of theoretical, basic and applied research. The College has a separate manual regarding this subject that all principal investigators and project directors should consult. It is important to note, however, that the following practices are defined as "research misconduct"

- a. Violation of any criminal or civil law in obtaining, analyzing or reporting data;
- b. Plagiarism;
- c. Intentional falsification or fabrication of data or results, including forging data, "cooking data, "trimming data";
- d. Applying for federal funding while under federal suspension or debarment, or knowingly utilizing as a Co-Principal Investigator, technician, consultant, subcontractor a person who has been debarred;
- e. Failure to maintain a record of primary data, with the intent to deceive;
- f. Failure to report known or suspected acts of misconduct on the part of others;
- g. Abuse of confidentiality when gathering or reporting data;
- h. Use of honorary authorships without the person's consent and/or with the intent to deceive;
- i. Making a demand to be listed as an author on researcher's publication, without being involved with the research in question, solely because the person making the demand is in position of authority over the author.

The investigation of an alleged misconduct is two-step process" The "Inquiry Phrase" and the "investigatory Phrase."

**Note:** All allegations of research misconduct are reported to the Director of Sponsored Programs and Applied Research.



### **3.30 Obtain signatures**

Once all compliances, disclosures and assurances are obtained, then the P.I. or individual leading the writing effort should obtain appropriate signatures. Ample time should be planned to ensure that appropriate individuals are available. For proposals under \$500,000, if preliminary approvals are attached, the Director of SPAR or the Vice President for Administration and Finance is authorized to sign on behalf of the institution. Process over \$500,000 must be signed by the President or Provost/Vice President for Academic Affairs. Under no circumstances should the P.I. and the official signing on behalf of the institution be the same person.

### **3.31 Submission requirements**

Careful attention needs to be given to the requirements for submitting proposals. Agencies frequently change their requirements and will not grant waivers.

#### **a) Electronic Submission of Grant Proposals**

Federal funding agencies in particular are moving to electronic research administration to streamline the process and reduce paperwork. Some agencies now require submission of proposals and reports through their website or by E-mail. The process outlined in this document must be followed regardless of how the document is finally submitted.



## CHAPTER IV

## AWARD

### 4.0 Award

The activities of this phase start when the Office of Sponsored Programs and Applied Research (SPAR) receive notification that an award has been made, the Principal Investigator is then asked to review the award document. The Principal Investigator must be aware of all terms and conditions of the award document. The Principal Investigator signifies acceptance of the award by signing and returning the award document to the SPAR office.

While the Principal Investigator is reviewing the award document, the Office of Sponsored Programs and Applied Research conducts its own review of the cited terms and conditions, including relevant regulations (e.g., Code of Federal Regulations (CFR), Federal Acquisition Regulations (FAR), Office of Management and Budget (OMB) Circulars, and other references). The SPAR determines if the award document complies with College policies and procedures and is acceptable by S-DC. If there is any question on compliance with S-DC policies and procedures, the Office of Sponsored Programs and Applied Research will consult the appropriate S-DC Office (e.g., Grants/Contracts, Equal Opportunity and Regularly Compliance).

If both the Principal Investigator and the Office of Sponsored Programs find the award document acceptable, the Office of Sponsored Programs and Applied Research secures the signature of the **Vice President for Research and Development**, the only person authorized to accept such awards/contracts for S-DC. If/when the award document has also been signed by the sponsor, the document is considered to be fully executed.

### 4.1 Acceptance of the Award

Once the terms are judged acceptable, SPAR authorizes the College's fiscal officer to open an account and a budget is established based on the award notice and the approved budget. A start date and a termination date encompassing the period of award are also set. From this point on, the Office of Grants Accounting is responsible for keeping the fiscal records pertaining to the award and for preparing the



expenditure reports to the granting agency. The Office of Grants Accounting provides a monthly management report to the project director as an aid for fiscal management of the project. These reports cannot be expected to reflect all expenditures that may have been made on the date they are received by the project director. Often, there is a lag of several weeks. Neither can the reports "predict" expected costs which have not been committed. Relying solely on these reports as a guide to the funds remaining in the project account may lead to over-expenditures and poor fiscal management. The responsible individual (project director, administrative assistant or secretary) should maintain a daily log of expenditures. Occasionally, it is necessary to open an account before an official award document is received from the funding agency. SPAR will set up a RISK account only after determining that the proposal has been approved and will be funded by the agency and a statement from the department's chair confirming that, should the award not be made, the department would be responsible for any costs incurred. Contact SPAR for more information regarding Risk Accounts. Many federal agencies allow a grantee to incur expenses prior to receiving an award. This usually is in the form of a 90-day pre-award period. If an investigator has confirmed that an award is forthcoming, he/she can request in writing that SPAR set-up an account. No expenses may be incurred prior to the approval of SPAR.

## **4.2 Award Document**

The official award document varies considerably in format. Generally, however, it will give the following information:

- Amount awarded
- Project period (begin and end dates)
- Funding agency contacts:
  - The Program Officer, who is responsible for the scientific and technical aspects - the P.I.'s contact for programmatic concerns, changes in scope of work, etc.
  - The SPAR who is the contact for administrative considerations such as re-budgeting, assurances and certifications.



### **4.3 Budgeting**

Often it is necessary to modify budgeted line items to meet unforeseen needs or changes during a project. SPAR will help expedite required or desired budget modifications. Most major federal agencies have liberal rules concerning the transfer of funds between approved budget categories. For the most part changes can be made at the request of the P.I. with no further sponsor approval required. Other agencies (e.g., private foundations and state agencies) have stricter re-budgeting requirements and may require agency prior approval before modifying an approved budget. SPAR should be consulted as to grant or contract requirements. If prior approval is required by the funding agency, a written request processed through SPAR for College concurrence will be necessary. Please note that a budget reallocation should also consider whether indirect cost adjustment is required. Reallocating to or from personnel and fringe benefits requires an adjustment in indirect cost because SDC's indirect cost rate is based on total salaries, wages and fringe benefits. For example, moving \$1,000 from personnel and fringe benefits should also include moving \$530 from indirect cost (given the current rate of 53%), so that \$1,530 is available for other direct cost categories. The reverse is true if funds are moved from equipment to personnel. (Note: There are some agencies that do not allow re-budgeting of indirect costs)

#### **a. Grant Expenditures**

All expenditures charged to a grant or a contract must be within the time period of the award. (Exceptions: some federal agencies allow pre-award costs and end-date extension.) Payment can take place after the grant or contract terminates, but only when funds were committed prior to the effective end date.

#### **b. Relationship with Business Office**

#### **c. Personnel**

Hiring Procedures for grant-supported personnel must adhere to the SDC guidelines, requirements, regulations, and policies that apply to all other employees hired by the SDC. Contact the SDC Human Resources Office for guidance in the proper procedures and forms to



use. It must be remembered that certain procedures (establishing a new position, dual employment, upgrading a position, etc.) require several weeks for completion. Contact the SDC Human Resources Office to obtain copies of procedures and forms for personnel related items, including how to establish a temporary grant position and how to complete the Personnel Action Form (PAF).

**d. Equipment Purchasing**

All purchases of materials and equipment with grant funds must be handled through standard SDC procedures (i.e., don't do anything without a purchase order). Purchase of equipment items must follow certain procedures so it is important to allow time to meet all necessary requirements. The following is a breakdown of SDC's equipment purchase requirements.

<b>Price Range</b>	<b>Procedure</b>	<b>Time</b>
Up to \$1,500	Needs One Quote	0-5 days
\$1,501-5,000	Must have Three telephone Quotes	5 Days
\$5,001-10,000	Must have Three Written Quotes	14 Days
\$10,001-24,999	Competitive Bids in accordance with SDC Procurement code and Five Written Quotes	30 Days
\$25,000 and Up	Must be handled by Procurement Office	45 Days

If equipment is to be purchased on a sole-source basis, the request must be justified and routed through the Purchasing Office and final approval granted by the President.

Purchasing will need a copy of the section within the grant that shows the specific item to be purchased (or the name and/or organization to perform services). Attach this to the purchase requisition.

Maryland sales tax must be added to the purchase price of any equipment or supplies.

**ONE FINAL REMINDER:** Do not make large expenditures for equipment in the last few months of the project; do request equipment purchases as early as possible because of the time necessary for competitive bidding procedures.

**e. Financial Reports**

**f. Travel**

Travel costs are limited to those allowed by state policy and, in the case of air travel, less than first-class travel must be used when available. Grant recipients (federal) must comply with the requirement that U.S. flag carriers be used to the maximum extent possible when commercial transportation is the means of travel. This requirement shall not be influenced by factors of cost, convenience or personal preference. If it is impossible to use a U.S. carrier, written prior approval to use non-U.S. carriers must be received from the federal agency.

**4.4 Changes Requiring Funding Agency Approval**

As a rule, funding agency prior approval is required in the following situations. These requests should be prepared by the P. I. and routed through SPAR for SDC's concurrence.

**a. Change in Principal Investigator (PI)**

The College is required to seek approval before a substitute PI is appointed to replace an absent or departed PI. If the PI is absent from the project for a period of 3 months or more, the agency must be notified. Often a substitute PI must be proposed by the grantee and must be approved by the granting agency. The request for a substitution should include a justification for the change, the qualifications of the proposed substitute, and any budgetary changes resulting from the change.

**b. Changes in the original scope of work or research objectives**

Examples of such changes include change in the specific aims approved at the time of award; change in key personnel whose expertise is critical to the approved project; or shifting of the emphasis from one research area to another.



### **c. No-cost extensions**

The P.I. should submit a request to the funding agency 60 days in advance of the end date. This request should justify the need for additional time and be routed through SPAR for concurrence. Having funds left is usually not justification. There are exceptions to this as many federal agencies allow extensions without requiring prior approval.

## **4.9 Miscellaneous Information**

### **a. Patents and Inventions**

The SDC has a Patent and Copyright Committee which serves as an advisory group to the President. A P.I. who wishes to pursue a patent should contact SPAR for assistance (extension 2918).

SDC policy requires that faculty disclose inventions to the Patent and Copyright Committee at the time of discovery. Disclosure forms are available from SPAR Office. Most federal grants allow the patent rights to remain with the College or University. However, all inventions must be reported to the agency. Non-federal agencies have many different requirements and each grant or contract must be reviewed to determine the appropriate policy. It is important to contact SPAR whenever a patent is being considered so that the P.I. can receive assistance in complying with the agency and the University policy as well as in preparing the required documents.

### **b. Co-Mingling of Funds**

Funds in one SDC grant or contract account cannot be transferred to another account. If an account has been incorrectly charged for an item or service, and if that charge should have been placed against another account number, this must be done by journal entry in Grant Accounting. A memo should be sent to Office of Grants Accounting or SPAR requesting that the charges are moved from one account to another.



### **c. Change of Grantee Institution**

In most cases, principal investigators may transfer their grants or contract with them when they move to a new institution. Several reports will be required (final financial reports, invention statements, equipment transfer requests, relinquishing forms, revised applications for the new institution, etc.). Since the process differs with each agency, SPAR should be contacted immediately when it is known that a new P.I. will be bringing an award to the SDC or when a P.I. at SDC is planning to transfer his/her award to another institution.

### **d. Final Reports**

At the end of a grant there are usually a number of required reports. These are a final progress report (technical), expenditure report (fiscal), invention statement, and equipment inventory. In most cases the SDC has ninety (90) days from the end of the grant to submit all required reports. If there are any questions as to the reporting requirements, SPAR or the granting agency should be consulted. The final progress report or technical report should be completed by the principal investigator and should be prepared according to instructions from the granting agency. This report usually includes:

- a. a summary statement of progress toward the originally stated aims
- b. a list of significant results (positive or negative)
- c. a list of publications resulting from the project, and
- d. any other material required by the award instrument.

The final expenditure report will be completed by Grant Accounting. This report documents the financial status of the grant according to the official records of the SDC. Many agencies require an invention statement whether the grant produced an invention or not. If there were inventions, the P.I. identifies them on the report and submits it to the granting agency with the P.I.'s signature and the appropriate signature from the SPAR office.



If there were no inventions, the same reporting procedure is used to state that no inventions were made during the grant period. Most agencies require that any equipment purchased with grant funds be reported. This inventory report is prepared by the SDC property officer in Grant Accounting. The Business Office then closes general and subsidiary ledger accounts, and deobligates any unused balances, and returns funds to sponsor for all cost reimbursable awards.



## **CHAPTER V**

## **POST AWARD**

### **5.0. Post Award**

In the post-award phase there are several processes that are to be considered. One of them is the Close out Report and the other item is the Closing Out of the entire project. These are two distinct processes.

#### **5.1 Close out Report**

This process occurs every year that the program is funded by the granting source. In the case of multiple funders, each grantor will expect and be entitled to a "Close Out Report". As a result, each year you will be required to:

- Submit a financial and program report. This is ALWAYS the case.
- Retain records
- Specify equipment
- Assess staff disposition

#### **5.2 Closing out of the entire Project**

The final year of the program you will be required to do all of the above activities plus prepare the final report. This report is comprehensive in scope and is a compendium of all of the activities and developments that occurred over the course of the program. It includes sample materials developed over the course of the program, selected photos depicting the program in action, program narrative, an evaluation report and the financial report.

#### **5.3 Additional Funding Support**

Types of Additional Funding Support

Additional funding of a project beyond the original grant period will be in the form of renewed support, continued support or supplemental support.



**i. Renewed Support (Standard Grants)**

**a.** Renewed support is defined as additional funding for a support period subsequent to that provided by a standard grant. Renewals to standard grants, if any, will be in the form of a new grant with a new grant number. Costs incurred under the old grant cannot be transferred to the new grant. Residual funds remaining in the old grant cannot be transferred to the new grant.

**b.** A proposal for renewed support of a project is evaluated in competition with all other pending proposals.

**ii. Continued Support (Continuing Grants)**

**a.** Funding increments for projects being supported under continuing grants receive high priority and normally are not considered in competition with proposals for new grants or for renewed support of standard grants.

**b.** Unless otherwise provided for in the original grant letter, each increment of a continuing grant will be funded at the level indicated in that letter without a formal request, provided the required annual project report has been received and subject to judgment of satisfactory progress and availability of funds. In order to adjust to changes in the general level of funds for a particular field of science or engineering or to major new opportunities in that field, however, the grantor may reduce continuing grant increments below the levels indicated in original grant letters. This requires full written justification by program staff and management review and approval. In the absence of major unanticipated fiscal year constraints, reductions are rare.



### iii. Supplemental Support

a. In unusual circumstances, small amounts of supplemental funding and up to six months of additional support may be requested to assure adequate completion of the original scope of work. Such requests for supplemental funding support should be submitted to the cognizant grantor at least two months prior to the need for the additional funds and must be adequately justified.

b. A request for supplemental support must be submitted to the grantor and must include:

1. A summary of the proposed work;
2. A justification of the need for the supplemental funds; and
3. A budget, highlighting the use by budget category of the additional funding as distinguished from the original funding provided in those categories of cost.

If approved, the Business Office will amend the grant to provide additional funding for the current support period. The amendment letter will specify both the amount of supplemental funding and the cumulative amount awarded through the expiration date, which normally will remain unchanged.



## **CHAPTER VI - Institutional Overview**

### **6.1 History of College:**

The establishment of Sojourner-Douglass College represents a struggle by community leaders and community organizations in the African-American community of Baltimore for community self-determination. The College is a private independent 501(c) 3 institution that offers the Baccalaureate and Masters Degrees with a focus on the Applied Arts and Sciences. Students at the College are predominately African-American adults (average age 38 years old) with years of experience who are passionate about being social change agents in their communities.

In the early 1970s, community groups, leaders, and the local Council of Churches began discussing the educational needs of their residents and came together to form Adult Education, Inc. Working with Antioch College, an agreement was reached to found the Homestead-Montebello Center of Antioch College, which would serve the African-American community by working toward community self-reliance and provide a "culturally pluralistic learning environment." Beginning with 35 students and an all volunteer faculty and staff, the Homestead-Montebello Center was established in the fall of 1972 under an agreement with Antioch that the Homestead-Montebello Center would eventually "spin off" to become independent.

Sojourner-Douglass College, named by the community, became an independent institution under Maryland law on February 7, 1980 and on June 19, 1980 was accredited by the Middle States Association of Colleges and Schools, Commission on Higher Education. The College's main campus is located in East Baltimore and it has five other centers in Maryland located in Annapolis, Calvert, Cambridge, Salisbury, and Prince George's' counties. There is also a fully accredited campus in Nassau, Bahamas. To date, Sojourner-Douglass is the only four-year independent, predominately African-American, and community controlled institution of higher education in the State of Maryland.



In carrying out its mission, Sojourner-Douglass believes there are no sharp distinctions between living, learning, and working. Therefore, the College approaches the community as a learning laboratory where learning can be reconciled with action and study, a concept, which reflects student growth through social and academic utility. This belief creates an environment where the applied arts and sciences are an integral part of the College's academic philosophy and curriculum design.

## **6.2 Academic Programs:**

Sojourner-Douglass College offers a unique experience that embodies alternative study approaches for mature students who otherwise may be constrained by jobs, family or community commitments. Real life settings as well as traditional classroom methods are utilized as a strategic instruction modality.

These alternative modes of study range from the creation of a uniquely individual plan of study using community resources to structured faculty directed/assisted study courses that may be pursued independently of the classroom, to special group studies and formal classes. All of these study options are designed for maximum flexibility in meeting individual needs and are critical to serving the educational needs of contemporary society.

## **6.3 Undergraduate Studies**

### **Baccalaureate Degree:**

#### **Faculty/Staff**

Felix Kwabenah, M.B.A, JD  
Administration and Management

#### **Concentration/Specialty Areas**

ADMINISTRATION

Business Administration

Health Care Administration

Public Administration

Information System Administration



Regina Bernard, MSW	HUMAN SERVICES Social Work Criminal Justice Gerontology Addiction & Substance Abuse Counseling Community Development
Joan White, M.A.	HUMAN GROWTH AND DEVELOPMENT Early Childhood Education Psychology and Counseling

**6.4 Graduate Studies**

The graduate program at Sojourner-Douglass College has been conceived and developed with an “urban centered” focus. For the College this means that the graduate program will not only take advantage of its location, but that the curriculum will include content, resources, approaches, and modalities which have particular relevance to urban populations. In addition, the graduate program, with three distinct professional concentrations, is developed around a common core of courses designed to acquaint all degree aspirants with unique leadership and research skills needed in their respective professional concentrations.

<b>MASTERS DEGREE</b>	<b>CONCENTRATION</b>	<b>STAFF CONTACT</b>
APPLIED ARTS & SCIENCES	Human Services Public Administration Urban Education (Reading)	Ann Hilliard

**6.5 School of Professional and Continuing Studies**

At Sojourner-Douglass College, we believe there are no sharp distinctions between living, learning, and working. Therefore, we approach the community as a laboratory where learning can be reconciled with action and study, a concept that reflects student growth through social and academic utility.

**CERTIFICATES  
PROFESSIONAL  
DEVELOPMENT****SPECIALITY AREAS****STAFF CONTACT****Bessie Burroughs, Ed.D.**

Allied Health Institute  
Business Institute  
Child Care Institute  
Computer Technology Institute  
Aerobics  
Basic Grammar Review  
Basic Mathematics Review  
Basic Writing Review  
Cardiopulmonary Resuscitation (CPR)  
Creative Writing Fiction  
Dried and Silk Flower Design (On a Shoestring)  
Emergency Preparedness  
General Equivalency Diploma (G.E.D.)  
One-Day Workshops/Seminars

**6.6 Departments:****1. Office of Community Outreach**

The mission of the Office of Community Outreach at Sojourner-Douglass College is to promote self-determination, community-based economic development and build the community's capacity to correctly define problems, determine root causes and develop workable solutions.

While the type of activities initiated by this Office may differ in their description and scope, the essential intent is to build community capacity. Establishing partnerships to build capacity reflects the College's conception of communities as reservoirs of human potential and community residents as resourceful people who know the ways of self-development but lack the means.

**II. Institutional Advancement**

The mission of the Sojourner-Douglass College Office of Institutional Advancement is to create value for Sojourner-Douglass College, its President and Board of Directors through high quality fundraising and communication services.



The Office of Institutional Advancement is directly responsible for: securing charitable contributions and securing grants from private sources (foundations and corporations); developing a high level Foundation Board of volunteers; galvanizing and sustaining the institution's alumni participation in the Alumni Association in support of the College; and providing key communication strategies to expand Sojourner-Douglass College's exposure regionally, and ultimately nationally and internationally.

### **III. Sponsored Programs and Applied Research (SPAR)**

SPAR's mission is to increase the College's participation in government and industry sponsored programs related to scientific, technical and service activities. SPAR is a service support unit designed to offer the College community assistance in seeking funds to support creative, academic and applied research activities. SPAR maintains systems to ensure that the College's fiduciary responsibility and stewardship over funds is managed in accordance with the awarding agency's terms and conditions, as well as federal, state and local requirements.

Specific functions of the SPAR office will be addressed at the beginning of the Pre Award Chapter in this Manual. Additionally, throughout the document, references will be made to the services and assistance available to from the SPAR staff in preparing and managing sponsored projects.

## **6.7 Academic Resources**

### **1. Academic Counselors**

Advisement counselors provide academic advisement for freshmen and sophomore students, and probation counseling for the student who is having problems which impact on academic progress. Graduate students are required to select a mentor to assist them as they matriculate through the program and are assigned an academic advisor when they become eligible to register for the Project Demonstrating Mastery. See the College catalogs for more information.



## **II. Book Store**

The Bookstore carries a variety of items of interest as well as the books required for each course. The bookstore is located at the Baltimore campus.

## **III. Computer Labs**

Computer labs are located at each campus site. Students are assigned E-mail accounts to access computer resources. To access College information by computer, go to the official Sojourner-Douglass Homepage at [www.sdc.edu](http://www.sdc.edu).

## **IV. Learning Resources Center**

The Learning Resource Center provides assistance and instruction to students who seek to develop and improve their reading, writing, mathematical and study skills. Students can pursue an intensive individualized or small group program prescribed to meet academic needs.

The Learning Resource Center provides a range of instructional aids, e.g., taped lectures, filmstrips and other audio-visual supplemental instructional aids, and computer-assisted instruction. In addition, the Learning Resources Center is staffed with specialists and qualified student tutors to assist students with the use of laboratory materials and equipment.

## **V. Student Support Services**

The Student Support Services (SSS) program provides opportunities for academic development, assists students with basic college requirements, and serves to motivate students toward the successful completion of their postsecondary education. The goal of SSS is to increase the College's retention and graduation rates of its participants. Services provided by the Program include:

Instruction in basic study skills

Academic, financial, or personal counseling

Assistance in securing admission and financial aid for enrollment in four-year institutions



Assistance in securing admission and financial aid for enrollment in graduate and professional programs  
Information about career options  
Mentoring  
Special services for students with limited English proficiency

## **VI. Walter P. Carter Library**

The Walter P. Carter Community Library and Reference Room is dedicated to the memory of the late civil rights activist Walter P. Carter. The library includes a collection of journals, pamphlets, books, articles, and clippings by and about the role of Black people in the development of American culture and the civil rights movement; including a compilation of Baltimore Afro-American newspapers dating back to 1935.

In addition, there are gifts from Howard University, Sinai Hospital, and the National Institutes of Health as well as several small collections which were donated to the College. These gifts and other acquisitions have helped the Walter P. Carter Library develop one of the most outstanding and unique collections on African-American culture and history in the State of Maryland.

Students of Sojourner-Douglass College are entitled to borrowing privileges at the Morris A. Soper Library of Morgan State University. In addition to being one of the best and most comprehensive libraries in the state, the Soper Library also houses one of the largest collections of materials on Black life in the country.

Materials that are not available in the Walter P. Carter or Morris A. Soper libraries may be obtained by interlibrary loan through MILO (Maryland Interlibrary Loan Organization). MILO is a courtesy of the Enoch Pratt Free Library, which upon proper request will search various Maryland libraries for any in-print material.



## **6.8 Other College Programs**

### **I. Atmospheric Science Program for K-12 Grade Students**

Sojourner-Douglass College in collaboration with the U.S. Department of Commerce, National Oceanic and Atmospheric Administration (NOAA), National Weather Service (NWS) proposes to implement a comprehensive atmospheric science program to be located in East Baltimore, Maryland.

The Atmospheric Science program is designed to attract and engage under-represented students at an early age to become enthusiastic regarding this course of study and to ultimately pursue the profession of atmospheric science, hydrology or climatology. The target young people for this program are students in grades K-12 that attend Thomas G. Hayes Elementary School, Paul Laurence Dunbar Middle School, Lombard Middle School, St. Francis Academy and Thurgood Marshall High School. Other K-12 schools in close proximity to the College's East Baltimore location will be invited to participate, as the program is refined. The ultimate goal of the program is to establish an accredited undergraduate degree in atmospheric science and to create professional training programs for persons who wish to further their knowledge and skill sets in this career field.

### **II. SIDS Walk-A-Thon**

SIDS is an acronym for Sudden Infant Death Syndrome. To make the community aware that SIDS is a significant problem for minority groups, the College hosts an Annual SIDS Walk-A-Thon. The Walk-A-Thon is designed to go into communities to reach families that would otherwise not pay attention to flyers or signs on the street. In minority communities, thousands of babies die within their first year of life due to SIDS. However, changing the position in which a baby is placed to sleep reduces the problem. Awareness of the issues associated with SIDS is an imperative and the first step towards prevention.



### **III. Transportation Institute Partnership (TIP)**

The Transportation Institute Partnership is an entrepreneurial training program in partnership with the Maryland Department of Human Resources and the Maryland Transit Administration. The primary objective of this program is to provide entrepreneurial and job training for unemployed and underemployed persons who desire self-employment or a career in transportation. The program's other objectives are to help establish and nurture minority business enterprises, and to promote safe and affordable commuter services for low-income workers.

### **IV. Workforce Transportation and Referral Center (WTRC)**

Low-income residents in the Baltimore Metropolitan Region face unique challenges. For those without personal transportation, simply getting to work is one of those challenges. Through our Workforce Transportation and Referral Center, the Office of Community Outreach provides information regarding public transportation and fills the gaps when and where bus and train lines don't exist. We partner with qualified van, shuttle and transit services to give community residents the transportation they need to reach greater employment opportunities. The Workforce Transportation and Referral Center is making it possible for Baltimore residents to have access to the affordable commuter services that are integral to developing independence and economic self-sufficiency.

Sojourner-Douglass College is committed to the process of improving the community because the College is the community. The Office of Community Outreach is empowering students and community residents to create social, political and economic reform. The Office of Community Outreach provides the skills and knowledge they need to change the circumstances of their environments – to be part of the solution.



## **V. Inner Harbor East Academy for Young Scholars**

The Academy was authorized as a public charter school for Pre-K through 12 grade students March 2005. There are currently 220 students attending classes in grades K-3 at the College's Academic Building, 200 N. Central Avenue, Baltimore, Maryland. The conceptual frame for the Academy embraces a unique Ecological Model, which incorporates an approach that focuses on academic performance, organizational viability, bridging the digital gap and involving parents and the community in the student's academic progress. The Academy addresses and attempts to remove all barriers to student achievement by providing solutions to the educational, training, employment, economic and rehabilitation needs of the student's families.

### **6.9 Campus Sites**

Sojourner-Douglass College's main campus is located in Baltimore, Maryland. In this location, the College owns three buildings, which consist of an Administrative Building that is approximately 30,000 sq. ft, an Academic Building with approximately 160,000 sq. ft. and an additional 18,000 sq. ft. of space in a building that in the future will be connected to the Academic Building.

The College also has five other sites. Listed below are all of the locations and dates of when the site was established.

Baltimore	1972
Cambridge	1974
Annapolis	1985
Nassau Bahamas	1989
Salisbury	1998
Prince George's County	2000



**APPENDIX I**

**CHECKLIST FOR GRANT PROPOSAL SUBMISSIONS**

Before submitting the final version of the proposal for review, consider the following questions:

- Be neat, complete and on time.
- Include the requested number of copies;
- Original signatures.
- Address the proposal as directed in the guidelines.
- Be sure to include required documentation.
- Is the proposed research worthwhile?
- Is the narrative clear, well written, and brief?
- Does it attract the reader's attention and sell your idea?
- Is the budget realistic?
- Are you an eligible candidate, according to the agency's guidelines?
- Is the topic a good match to the agency?
- Have you followed the agency's guidelines for format, style, and other requirements?
- Is the completed Internal Approval Form attached?

**APPENDIX II  
COLLEGE POLICIES****College Policy #001**

Individuals at Sojourner-Douglass who intend to be active participants in submitting proposals are required to be trained and familiar with the procedures and processes described in this manual. See Training Plan

**College Policy #002**

Interim/Expedited Approval – to facilitate faculty and staff proceeding quickly on opportunities, the Director of SPAR is delegated authority to provide interim approval for proposals that are less than \$500,000.

**College Policy #003****RESEARCH INCENTIVE “COMPENSATION” POLICY**

The purpose of this policy is to provide a monetary incentive to staff and faculty interested in pursuing applied research, which can be conducted in many different forms (i.e. social action projects, ethnography studies, new academic programs, etc.). Activities proposed must be in keeping with the College’s mission and strategic plan, and follow the College’s established external funding guidelines for review and approval.

**Adjunct Faculty**

Adjunct Faculty positions are defined as individuals currently under contract or hired to participate in a funded grant or contract activity. The duration of these appointments are based on the award and performance.

Each adjunct faculty’s appointment will be based on the maximum allowed under the grant or contract, experience and education in accordance with current salary ranges at the College. Depending on the terms of the award, some positions may or may not include fringe benefits.

**Staff**

Staff positions are defined as individuals currently holding a full-time position at the College.

Staff participating as key personnel on grants or contracts salary is requested at 15 percent above their current annual salary. Unless specifically approved, staff with existing full-time positions participating as key personnel on a grant or contract can not exceed 50% time and effort.



Option 1:

The additional funds will be placed in a bonus pool for that office and awarded at the end of the award's budget year.

Option 2:

The individual will receive these funds as a bonus at the end of the award's budget year.

Option 3:

The individual's salary will temporarily increase by 15 percent for the period of the award. When the award ends, the individual's salary reverts back to the College's current scale for that position.

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## College Policy #004

### 3.29 Research Misconduct Policy

The Public Health Service requires Sojourner Douglass College (S-DC) to have a scientific misconduct policy in place. The S-DC Research Misconduct Policy relates to activities associated with the collection, analysis, and reporting of theoretical, basic and applied research. The College has a separate manual regarding this subject that all principal investigators and project directors should consult. It is important to note, however, that the following practices are defined as "research misconduct"

- a. Violation of any criminal or civil law in obtaining, analyzing or reporting data;
- b. Plagiarism;
- c. Intentional falsification or fabrication of data or results, including forging data, "cooking data, "trimming data";
- d. Applying for federal funding while under federal suspension or debarment, or knowingly utilizing as a Co-Principal Investigator, technician, consultant, subcontractor a person who has been debarred;
- e. Failure to maintain a record of primary data, with the intent to deceive;
- f. Failure to report known or suspected acts of misconduct on the part of others;
- g. Abuse of confidentiality when gathering or reporting data;
- h. Use of honorary authorships without the person's consent and/or with the intent to deceive;
- i. Making a demand to be listed as an author on researcher's publication, without being involved with the research in question, solely because the person making the demand is in position of authority over the author.

The investigation of an alleged misconduct is two-step process" The "Inquiry Phrase" and the "investigatory Phrase." **Note:** All allegations of research misconduct are reported to the Director of Sponsored Programs and Applied Research.



**APPENDIX III**

**INTERNAL GRANT ROUTING FORM**