

PI Handbook: Guide to Sponsored Projects Development



**YOUNGSTOWN
STATE UNIVERSITY**

Office of Research Services (ORS)

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Youngstown, Ohio 44555

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Introduction

The Office of Research Services (ORS) provides this guide to assist faculty and staff with Youngstown State University (YSU) policies and procedures for sponsored projects. This guide also includes basic guidelines for how to search for grant funding, compose proposals, and manage grant awards.

This guide is a tool for promoting a compliant and thriving university research environment. We encourage faculty and staff to engage ORS early and often in the proposal development and execution process.

How to Use This Guide

Sections 1 and 2: Background information on University and Federal policies, definitions, and requirements to know when you are developing and proceeding with a sponsored project.

Sections 3 and 4: Guidance for the grant search process.

Section 5: Guidance for composing grant proposals, including basic guidelines for writing narratives and creating budgets.

Section 6: Information regarding the pre-award process, and how to get approvals for your grant proposals.

Section 7: Information for processes following proposal submission.

Section 8: Information for accepting awards, and initiating and closing out awarded projects.

Appendix A: Terms defined. Terms throughout the document are **bolded**.

Appendix B: Relevant YSU and federal policies.

Appendix C: Research Misconduct procedures.

Appendix D: Export Control procedures.

1. Overview

1.1 Introduction to the Office of Research Services (ORS)

The Office of Research Services (ORS), provides comprehensive support to YSU faculty, staff, and students in their efforts to secure sponsored research, services, and other scholarly activities. ORS also assists the University in all undertakings involving externally-sponsored project funds, and related obligations.

Mission

The Office of Research Services fosters, supports, and advances the innovation, research, scholarship, and civic engagement of faculty and staff through the petition and acquisition of extramural funding.

Vision

To ensure student success as a relevant research university in Northeast Ohio.

Services

ORS provides assistance in the following areas:

- Finding funding opportunities
- Budget development
- Pre-award proposal development, including proposal reviews and institutional approvals prior to submission
- Proposal routing and tracking
- Contract and subcontract issuance
- Preparation and submission of proposals, including online submissions
- Review of all externally sponsored grants, contracts, and other award instruments
- Authorization and signatures
- Award acceptance
- Post-award project support
- Federal regulatory compliance
- Institutional grant archival
- FOIA requests
- Liaison with funding agencies
- Grant trainings and workshops
- Intellectual property

Contact information

Website: <https://ysu.edu/office-research-services>

Address:

Office of Research Services (ORS)
Jones Hall, Suite 3009
One University Plaza
Youngstown, OH 44555

Telephone:

330-941-2377

Email:

research@ysu.edu

1.2 What are sponsored projects?

Sponsored projects are activities that involve research, teaching, training, or service programs that receive funding external to the University. Sponsored projects allow faculty and staff to conduct scholarly research. Usually, sponsored projects address specific initiatives or defined areas of research.

Not all sponsored projects are research and not all research is sponsored. Research becomes a sponsored project when it is being funded by an outside source, and then is referred to as sponsored research. A sponsored program is programmatic in nature. These programs usually provide funding for training, services, capacity building, and/or outreach. TRIO programs such as Student Support Services and Upward Bound are good examples of sponsored programs.

Sponsored projects require technical, administrative, and fiscal accountability. To maintain integrity and public trust throughout the contract period, YSU meets all requirements as defined by state and federal law, executive orders, institutional regulations, program policies, and other oversight mechanisms.

The University is the legal **fiscal agent** authorized to apply for, accept, and administer funds from private and public sponsors. **Only designated University officials may approve and accept sponsored funds and contracts.** YSU Board of Trustees Policy states that “University employees or students **may not undertake sponsored programs involving university resources unless institutionally authorized** to do so” [YSU BOT 3356-10-13; emphasis added]. Also, “No employee, other than an authorized institutional official, may sign on behalf of the university for any sponsored program, licensing, or related agreement” [YSU BOT 3356-10-18].

To submit a proposal for a sponsored project, faculty and staff must receive approval from the Authorized Organizational Representative (AOR). The AOR is the primary authority overseeing the appropriate conduct of sponsored project activities, systems, and services, including approval and acceptance of funds. The AOR at YSU is the Director of Research Services. Only this individual may sign contracts and authorize the submission of grant proposals. The Director of Research Services has also authorized certain ORS staff with AOR submission privileges. Other institutional officials authorized to approve sponsored project proposals and agreements are: the President and the Provost/Vice President for Academic Affairs [YSU BOT 3356-10-13].

As an individual faculty or staff member seeking funding, it is important to know that:

- Most sponsors fund only organizations, not individuals
- Individuals seeking external funding must work within the established institutional parameters to ensure full institutional support
- “All documents, reports, and/or other publications created under university auspices, notwithstanding the source of support, must appropriately acknowledge the University” [YSU BOT 3356-10-13].
- Although Board of Trustees policy stipulates that only an AOR is empowered to commit the University under a sponsored agreement, faculty members have **the right to accept or decline participation** in any research contract **before** they enter into the contract. However, by law, once the AOR accepts the terms and conditions of a grant, contract, or other sponsored project agreement on behalf of the institution, YSU is bound to fully perform sponsored activities under the terms and conditions of that agreement.

2. Research

2.1 What is research?

Federal policy defines research as: "...a systematic investigation, including research development, testing, and evaluation designed to develop or contribute to generalizable knowledge" [45 CFR 46.102(d)]. In other words, research is a scientifically sound investigation to establish facts or reach conclusions. Examples of research include, but are not limited to: observing children with disabilities in a classroom to investigate learning strategies; testing the stability of a new drug; interviewing members of a minority to determine the effects of urban life; investigating the effectiveness of treatment centers for those addicted to drugs or alcohol; and surveying students to investigate stress levels acquired from managing course load, career load, and time with family. These are only a few examples of research that might contribute to knowledge generalizable to their disciplines.

Research at the University includes "internally- and/or externally-sponsored research, or unfunded research, conducted by authorized faculty or staff" [YSU BOT 3356-10-13]. Thus, research conducted by faculty, staff, and students can be funded by YSU entities (internal funding); federal, state, and local governments, corporations, foundations, and similar funders (external funding); or not be funded by either internal or external funds.

2.2 Roles of the Principal Investigator/Project Director (PI/PD)

Principal Investigators (PIs) and **Project Directors (PDs)** are responsible for conducting sponsored projects. YSU typically allows only one PI or PD per project. Allowing only one PI/PD simplifies project administration by designating only one individual as the point of contact and person responsible for decision-making. Usually, other key personnel not designated as PI/PD, but who help conduct the project, are listed as co-investigators or co-directors. Individuals holding courtesy faculty rank, limited service faculty, or other appointments known as "acting", "adjunct", and "visiting" may not serve as PI/PD unless such approval is explicitly approved in their letter of appointment.

PI/PD responsibilities include:

- *Project management* — composing the proposal narrative and budget, obtaining approval for scope of work, learning and adhering to sponsor conditions, and managing award budget
- *Planning & providing deliverables* — preparing a timeline of project outcomes and deliverables scheduled in the award document and ensure their timely completion
- *Supervision of expenditures* — administering grant-related purchases, personnel hiring, and business travel in accordance with University policies and procedures, state and federal law, and sponsor guidelines
- *Financial stewardship* — adhering to the sponsor-approved budget, obtaining approvals from appropriate University and sponsor officials when proposing cost deviations, and assuring use of funds that is consistent with established expenditure policies and practices
- *Completion of reports* — submitting quarterly and annual progress reports, status updates, spending reports, and personnel time and effort reports on time and as required by the sponsoring agency

- *Timely, accurate maintenance of records* — reviewing and validating financial reports generated by the Office of Grants Accounting for submission to sponsors; establishing allowability of expenditures; and facilitating final project closeout
- *Program technical and administrative duties* — promptly and ethically conducting all sponsored project activities as outlined in the awarded proposal

Individuals hired exclusively under externally-funded personnel contracts (soft money appointments) are additionally subject to the terms governing YSU restricted appointments [See [YSU BOT Policy 3356-7-43](#)].

2.3 Compliance

Compliance refers to standards of professional practice and systems based on federal audit policy. Any institution receiving federal funds must “establish and maintain effective internal control over the Federal award that provides reasonable assurance that the non-Federal entity [University] is managing the Federal award in compliance with Federal statutes, regulations, and the terms and conditions of the Federal award” [2 CFR 200 Subpart D, 200.303(a)]. At YSU, federal compliance applies to non-federal sponsored projects also. Additionally, federal compliance **flows down** to subawardees from the **pass-through** entity when the primary sponsor is federal.

YSU requires institutional review and prior approval for research and related activities subject to federal and local laws to limit individual and institutional compliance liability concerns. Specific compliance areas that frequently and directly affect PI/PDs are research involving human subjects, which is subject to Institutional Review Board (IRB) approval, and research involving animals, which is subject to Institutional Animal Care and Use Committee (IACUC) approval. Other compliance areas include:

- Biosafety: Contact the YSU Office of Environmental and Occupational Health and Safety and Chemical Management Center, and read the Occupational Health Exposure Plan
 - Office of Environmental and Occupational Health and Safety website: <http://cms.ysu.edu/administrative-offices/eohs/environmental-and-occupational-health-and-safety>
- Chemical Management Center website: <https://ysu.edu/eohs/chemical-management-center>
- Occupational Health Exposure Plan: <https://ysu.edu/occupational-health-exposure-plan>
- Recombinant DNA: Refer to the following federal policies for more information:
 - CDC: <https://www.cdc.gov/biosafety/publications/bmbl5/>
 - NIH: <https://osp.od.nih.gov/biotechnology/biosafety-and-recombinant-dna-activities/>
- Other areas subject to federal oversight and institutional authorization include Security Classifications and Weapons-related Research. Anyone anticipating externally-sponsored work in these areas or others involving methods, techniques, or practices unusual to YSU must contact ORS to obtain specific authorization before undertaking these activities.

2.3.1 IRB

The Institutional Review Board (IRB) oversees academic integrity for all research projects involving human participants. CITI online training is required for all YSU affiliated investigators planning to collect data on human subjects, and must be completed before submitting an IRB protocol for approval. Affiliated investigators include the PI/PD and anyone else collecting data for the project. The “Social & Behavioral Research - Basic/Refresher” or the “Biomedical Research - Basic/Refresher” course is required for federally-funded projects. A copy of the CITI training completion certificate must be included with the submitted IRB protocol. CITI Training for IRB must be completed every three years.

For the most current IRB requirements, visit: <https://ysu.edu/research-services/human-subjects-research-irb>

2.3.2 IACUC

The Institutional Animal Care and Use Committee (IACUC) oversees all projects involving animal subjects. For research involving animals, CITI online training is required for all YSU affiliated investigators. The “Working with IACUC for Researchers, Animal Technicians, and Students” course is required for federally-funded projects. A copy of the CITI training completion certificate must be included with the submitted IACUC protocol. CITI Training for IACUC must be completed every three years.

For the most current IACUC requirements, visit: <https://ysu.edu/compliance>

2.3.3 Academic Integrity

Academic integrity is the conduct of academic activities, including research, in an honest, ethical, and compliant way. Maintaining academic integrity includes submitting research protocols to the proper institutional entity and receiving approval before conducting any research. This also includes conducting human subjects research in a way that protects the “rights, well-being, and personal privacy of all persons utilized as participants” [YSU BOT Policy 3356-10-14]. When using animal subjects in research, “the humane treatment and care of all animals” is required [YSU BOT Policy 3356-10-15]. Furthermore, once research commences, the researcher must also report any unanticipated problems to the proper institutional entity.

2.3.4 Conflict of Interest

A **conflict of interest (COI)** is “an action, omission, or situation that may or may reasonably appear to affect or compromise the objectivity or integrity of an investigator’s design, conduct or reporting of a project” [YSU BOT Policy 3356-10-17]. Examples might include the following situations:

- A PI/PD owns stock in the industry in which they plan to do research
- A PI/PD is a co-owner in the industry in which they plan to do research
- A PI/PD’s spouse is an executive or owner in the industry in which the PI plans to do research
- A PI/PD provides consulting services to the industry in which they plan to do research

PI/PDs must report all existing and potential financial and non-financial conflicts of interest, and include a conflict of interest statement with their proposal routing forms.

2.3.5 Research Misconduct

University policy and federal regulations define research misconduct as “fabrication, falsification, plagiarism in proposing, performing or reviewing research or in reporting research results” [42 CFR 93; 45 CFR 689; also, see [YSU BOT Policy 3356-10-16](#)]. Consider the following definitions:

- *Fabrication*: “making up data or results and recording or reporting them”
- *Falsification*: “manipulating research materials, equipment or processes, or changing or omitting data or results such that the research is not accurately represented by the research record”
- *Plagiarism*: “the appropriation of another person’s ideas, processes, results, or words without giving appropriate credit”

Any form of research misconduct conducted during a sponsored project can result in suspension or termination of funding, or return of funds spent.

Research misconduct reporting should be made to the Director of Research Services, who is the University’s research integrity officer (RIO). The RIO assesses allegations of research misconduct, then contacts the person against whom the allegation is made. If an allegation is wholly or partly substantiated, then the deciding official (DO) will make the final determination on the allegation, and any administrative and/or disciplinary actions. Appeals may be made to these decisions within 120 days of initiation of appeal. The RIO may contact the federal funding agency at any time during the investigation, and will submit a final report following the investigation and corrective actions taken [See [YSU BOT Policy 3356-10-16](#) and [Appendix C](#) for more information on research misconduct and the proceedings].

2.3.6 Intellectual Property & Commercialization

Since the University is specified as the grantee of a sponsor, it “exercises intellectual property ownership over all intellectual property resulting from sponsored program support.” Any discoveries, inventions, or patents resulting from research or investigations “conducted in any facility of a state university are the sole property of the University. The board of trustees may assign, license, transfer, or sell these rights as the board deems appropriate” [Revised Code, 3345.14; [YSU BOT Policy 3356-10-18](#)]. For more information about intellectual property, view the “[Handbook on Ownership of Intellectual Property](#)” .

2.3.7 Non-Disclosure

Non-disclosure agreements are designed to protect University intellectual property when an external entity is the recipient of the intellectual property. Mutual non-disclosure agreements are designed to protect both the University and the external entity when entering a research agreement that benefits both. When students are involved in a project involving non-disclosure, they must understand the terms of the non-disclosure agreement and complete a form signifying their agreement. ***It is the responsibility of the PI to assure that all personnel engaged in the project, including all students, assure non-disclosure.*** See the [YSU Handbook on Ownership of Intellectual Property](#) for more information.

[Mutual Non-Disclosure Agreement form](#)

[Student Intellectual Property Agreement form](#)

2.3.8 Export Control

Research interests may be subject to internal export controls. The U.S. Department of Commerce defines an export as “any item that is sent from the United States to a foreign destination”

“Items’ include commodities, software or technology; for example: clothing, building materials, circuit boards, automotive parts, blue prints, design plans, retail software packages and technical information”. Research interests conducted by YSU personnel involving travel or import/export of research knowledge/data must have the appropriate institutional approval and, as required by federal law, appropriate certifications and licenses (which may take up to six months to obtain). The following are some basic concepts and considerations:

- *Internal vs. External Funding:* All travel, import, or export must be reported to ORS regardless of whether the funding comes from internal or external sources (i.e., through department funds or through a grant or contract)
- *Transmission of Data:* Transmission of technology, data, and information to any individual other than a U.S. citizen or legal permanent resident within the U.S. may be prohibited under Federal export control regulations
- *Communication:* In some cases, communicating with foreign persons or entities, even within campus settings, may be controlled by Federal regulations and deemed to be an export
- *Participation of Foreign Nationals:* Regulations may prohibit the participation of foreign nationals in any research project, regardless of funding, without appropriate Federal licenses. Please notify ORS so that appropriate staff may identify if the foreign national is from a currently embargoed or sanctioned country
- *Tangible vs. Intangible:* Export control regulations require the reporting of tangible items (prototypes of technology, circuit boards, and some software) as well as research data, research results, and other reports. Exceptions or exclusions do exist within federal regulations; exclusions include open source or public domain software
- *Determinations:* All research interest must ensure that technology, research data, and other information is not accessed by foreign entities with a hostile intent (including the theft of intellectual property, data, or materials). As such, YSU personnel may not make the determination themselves regarding whether or not their travel, research, communication, or transmission is or may be considered a “deemed export”
- *Documentation:* Staff members in ORS maintain copies of all screenings, forms, and issued federal licenses for five years from the conclusion of the project or export activity
- *University Requirements for Researchers:* Faculty, staff, and student researchers (U.S. citizens as well as foreign persons living in the U.S.) must remain in **continual compliance** with Federal regulations and remain cognizant of security issues that have potential to compromise their research

YSU researchers must submit a request for Export Control Approval to the Office of Research Services for approval **prior to any communication**, travel, signing of **Memorandums of Understanding (MOUs)**, or transmissions of research. The approval form is found [here](#). [See [YSU BOT Policy 3356-10-24](#) and [Appendix D](#) for more information on export control proceedings].

2.4.1 Collaborative Projects

YSU encourages faculty and professional staff to pursue sponsored projects with colleagues, both internal and external to the University, whenever possible. Collaboration may reflect research, professional development, instruction and training, community service or other activities. Individuals considering a collaborative project should contact ORS early in the process for assistance in planning and obtaining extramural support for their ideas, and to help ensure that joint projects are structured for effective administration.

Individuals authorized to conduct or participate in sponsored projects at YSU are subject to all policies and provisions governing regular employee performance and activity. Individuals hired exclusively under externally-funded personnel contracts (also known as soft money appointments) are additionally subject to terms in Board of Trustees Policies governing YSU restricted appointments [See [YSU BOT Policy 3356-7-43](#)].

2.4.2 Personal Awards & Consulting

Faculty may apply for and accept personal awards such as fellowships, internships, and travel awards, without involving YSU obligations. Since such awards are not administered by the University, faculty hold personal responsibility over them. In some cases, ORS can assist faculty in securing supplemental funding.

Faculty can also provide consulting services to entities external to the University, but these are not sponsored projects. For consulting projects, faculty cannot (1) use YSU resources (including facilities and equipment such as computers) without prior written approval; (2) use the University name or other identifiers; or (3) allow consulting services to significantly affect their performance on sponsored project. Furthermore, faculty cannot hold the University liable for “any damages or claims for damages which may arise in connection with their outside consulting activities” [[YSU BOT Policy 3356-7-18](#)]. Contact ORS before proceeding with personal awards and consulting projects to be sure you are compliant with University policies.

3. Internal Funding

To encourage and reward grant activity among faculty and staff, YSU offers internal incentives to foster a positive, intellectual climate on campus, and help promote research and professional development. The following are sources of internal funding through the Office of Research Services:

- *Research Professorships*: Research professorships allow faculty to dedicate more time to research while still teaching. All full-time tenure track faculty are eligible, except those who have held Research Professorships in the current and immediately preceding academic years, and those whose external grants applications provide for release time during the same period. A designated number of faculty are appointed each year under the terms of the YSU/OEA Agreement.
- *University Research Council (URC) Grants*: A competitive institutional grant program, URC grants provide seed money to full-service faculty for new research and scholarly and other creative projects, especially if other sources of project support are unavailable. Funds can be used for: project technical assistance, data collection, travel, materials and services, and equipment.

The URC grant requires submission of a short proposal to the Director of Research Services and the URC. Funded projects can receive up to \$5,000. The URC reviews all requests over \$5,000 at a review session in the spring. Funding requests of \$500 or less may be submitted at any time to research@ysu.edu. Applications are available at the Office of Research Services website.

For more information, see the [YSU/OEA 2020-2023 Agreement](#).

4. External Funding

4.1 Sponsored Project Awards & Donated Funds (Gifts)

YSU is required by law to properly use money received from external funding. Therefore, it is necessary to distinguish between sponsored project funds and donated funds to determine the appropriate way to solicit, expend, and account for them. Use the table below to identify the correct award type and the appropriate campus department authorized to represent the University in funding transactions with sponsors.

	Sponsored Project Funds	Donated Funds
Department	Office of Research Services (ORS)	YSU Foundation
Interests	Program- and project-related activities	Unrestricted and designated giving
Aim	Direct spending to further specific program/project goals	Charitable giving to support the University in a general way
Sources of support	Institutional and government sponsors, some foundations	Individuals, some foundations and corporate donors
Types of support	Grants, contracts, subcontracts, in-kind contributions, cooperative agreements with technical and fiscal accountability	Gifts, funds labeled grants (but require little or no technical reporting), in-kind contributions
Purposes of support	Line items for: <ul style="list-style-type: none"> • salaries & wages • tuition & fees • fringe benefits • project consultants • purchased services • participant stipends • project-related support • subcontracts • training & assistantship allowances • matching funds • equipment • materials • human subject incentives • other sponsor-recognized project costs 	General funding for: <ul style="list-style-type: none"> • annual & capital campaigns • buildings • deficit financing • employee matches endowments • in-kind services • fellowships • general purposes • property • endowed lectureships • professorship chairs • program-related investments • renovations • scholarships • special projects

4.2 Government Sponsors

Federal, state, and local government agencies and programs represent the largest share of funding opportunities. Government sponsors provide grants for a variety of research disciplines. Federal sponsors may award funds to the University directly via grants, contracts, **cooperative agreements**, subcontracts, and pass-through programs administered by intermediary agencies. The Catalog of Federal Domestic Assistance identifies more than 2,248 federal funding programs for which YSU is qualified to apply. State of Ohio departments and agencies also administer grant programs funded through legislature.

YSU works with many federal sponsors, including: National Science Foundation (NSF), National Institute of Health (NIH), National Endowment for the Arts (NEA), National Endowment for the Humanities (NEH), and the National Aeronautics and Space Administration (NASA). Visit grants.gov to search for federally sponsored grants and their deadlines and requirements.

4.2.1 Federal Guidelines

Federal agencies, in particular, require adherence to specific guidelines for proposal submission. Violating guidelines may result in disapproval of funds. Carefully review each sponsor's funding priorities and descriptions, requirements, and formatting rules, and adhere to them. The following are links to grant guidelines for a few federal sponsors:

- National Science Foundation (NSF) — Proposal & Award Policies & Procedures Guide (PAPPG) https://www.nsf.gov/pubs/policydocs/pappg22_1/index.jsp
- National Institutes of Health (NIH) — <https://grants.nih.gov/grants/how-to-apply-application-guide.html>
- Health and Human Services (HHS) — <https://www.hhs.gov/grants/grants/get-ready-for-grants-management/index.html>

4.2.2 Submission Procedures

Each sponsor requires its own submission format and platform. Many sponsors accept submissions only online, and only via submission platforms designed for them. Below are links to guides and tools to major submission platforms. ORS can help you learn how to use these platforms, and assist you with submissions to them.

NSF Research.gov —

https://www.research.gov/common/attachment/Desktop/FastLane_Help.pdf#welcome_to_the_fastlane_help_system.htm

NIH ASSIST — https://era.nih.gov/files/assist_user_guide.pdf

Grants.gov Workspace — <https://www.grants.gov/web/grants/applicants/workspace-overview.html>

NASA NSPIRES — <https://nspires.nasaprs.com/external/help.do>

Ohio Arts Council ARTIE — <https://oac.ohio.gov/grants>

4.3 Non-Government Sponsors

4.3.1 Foundations

Private Foundations — primarily fund unrelated organizations, institutions, or individuals for scientific, education, cultural, religious, or other charitable purposes. They may be nonprofit corporations or charitable trusts. Private foundations may receive money from a family, an individual, or a corporation, but not a state or federal entity. Private foundations differ from grantmaking public charities, or public foundations, which receive support from “diverse sources, which may include foundations, individuals, and government agencies. Most community foundations are also grantmaking public charities.” Examples of private foundations include the Cafaro Foundation and the Wean Foundation. The Youngstown Foundation is an example of a public charity.

Community Foundations — provide support for the community or region in which they are based. They receive funds from the general public, but also may issue grants.

Company-Sponsored Foundations — while separate legal entities from the parent company, these foundations usually give according to the parent company’s interests. They can be considered private foundations or public charities, and in any case, follow the same laws, including making public disclosures. Examples include the General Motors (GM) Foundation and The Coca-Cola Foundation.

To search for foundation grants, the following resources can help:

- [GrantFoward](#) — a free service for YSU faculty, staff, and students.
- The Foundation Center’s Foundation Directory Online — basic access is available to YSU faculty, staff, and students. Free access to the professional level is available at the Public Library of Youngstown & Mahoning Valley.

Links to these resources are found on the ORS website: <https://ysu.edu/funding-opportunities>

4.3.2 Corporate Sponsors

Corporate sponsors include companies and firms that offer funding for projects aligned with company interests. Corporate giving can derive directly from the company or from an affiliated foundation (see Company-Sponsored Foundations, above).

Corporate direct giving programs are directly connected with the parent company. They support projects that do not meet company-sponsored foundation guidelines. Direct giving programs are often employee-driven or local community-related.

4.3.3 Associations

Associations are organizations established to issue grants or to engage in funded programs, and operate much like government or foundation funding programs. Examples include the American Heart Association and Earthwatch. Contact ORS for further information and assistance with pursuing association funding opportunities.

5. Proposal Development

5.1 Basic Guidelines

Proposals are persuasive documents describing and promoting research and professional activities worthy of external support. External funding proposals include: **unsolicited proposals**, **solicited proposals**, and/or **letters of inquiry/interest/intent (LOIs)**. Unsolicited proposals are submitted to an organization generally, instead of to a specific **Request for Proposals (RFP)**. Unsolicited proposals are common with NIH grants and foundations. Solicited proposals are submitted after a sponsor solicits applications, in response to an RFP. Prior to submitting a proposal, a sponsor may request an LOI, which provides background information and the project intent in letter format.

5.1.1 Strategies

Two main strategies for developing a persuasive proposal include: (1) developing an articulate, persuasive narrative, and (2) learning the expectations of the proposal review team and crafting the narrative accordingly.

1. To develop an articulate, persuasive narrative, address these questions:

- a) What problem needs to be solved or addressed?
- b) Why is the project important?
 - b.1 Is the project timely?
 - b.2 Why is this project needed at this time?
- c) Are the project results and outcomes measurable?
- d) How will the project be conducted?
 - d.1 Who are the investigators, staff, and participants?
 - d.2 What is expected to occur, in what sequence, and when in the project schedule?
 - d.3 When will the project begin and end?
 - d.4 Where will the project be conducted?
- e) What resources are needed to conduct the project successfully? What resources are currently available?

2. In learning the expectations of the proposal review team and crafting the narrative accordingly, address these questions:

- a) What are the sponsor's current funding priorities and program interests?
- b) What guidelines does the sponsor use in the proposal review process?

- c) Will the reviewers be knowledgeable in the proposal's subject area or not?
- d) What are the sponsor's format specifications?
- e) Does the sponsor give specific instructions?

Examine the sponsor RFP, website, and publications to help you answer these questions. If a program officer's contact information is provided, contact them for advice, suggestions, and feedback.

Consider conducting an informal peer review by colleagues to help you identify weak aspects of your narrative and anticipate reviewer questions. You can also submit your proposal drafts to ORS for review ***no later than two weeks prior to the sponsor submission deadline*** to allow proper review and revision.

5.2 Narratives

Narratives tell the story of your project. They describe the problem or need with supporting evidence, then introduce the solution that your project will supply. The narrative should compel the sponsor to fund the project by incorporating logic, statistics, testimonials, and/or other supporting evidence. Narratives also include methods to evaluate project success and plans for sustainability. Narratives can also be called project descriptions or Statements of Work (SOW).

5.2.1 Basic Grammatical Guidelines

Grammar guides such as Strunk and White's *The Elements of Style* (Macmillan) may be useful as you write the proposal narrative. As you write, keep the following basic grammatical guidelines in mind:

- Give the BLUF (Bottom Line Up Front)
- Use simple sentences
- Use active voice
- Limit adjective use
- Avoid personal pronouns
- Use direct language
- Use precise language
- Avoid colloquialisms
- Avoid jargon
- Use language free of gender-bias

5.2.2 Typical Components of Narratives

Typical components of narratives include:

- Introduction
- Research plan with specific aims

- Background/literature review
- Expected outcomes
- Potential problems
- Timetable
- Deliverables, if applicable
- Evaluation plan, if applicable

There is no standard proposal format for every sponsor. Each proposal is unique, and each required format is unique. ***Always read a sponsor's guidelines carefully.*** When clear guidelines are missing, the following typical components provide a basic proposal framework:

Cover Page

- In the cover page, include information such as:
 - Application organization
 - PI/PD
 - Project title
 - Sponsor agency and/or program
 - Date submitted
 - Expected project start and end dates
 - Amount requested
 - Contact person and information

Abstract

- An abstract is a brief summary of your proposal. Limit abstracts to one page, and remember to include project objectives, methods, significance, and main narrative points

Problem Statement/Needs Statement/Summary Statement

- Identify the problem or need
- Create a logical connection between the problem/need and include institutional capabilities of addressing it
- Introduce evidence such as statistics, reports, and testimonials to support the logical connection
- Introduce the methods intended to address the issues

Background Research/Literature Review

- Include relevant literature with citations
- Highlight key concepts supporting the problem or need
- Address the research gap
- Build credibility by showing your knowledge of the field

Goals and Objectives

- Goals are general concepts the project aims to achieve.
- Objectives are specific targeted results the project aims to achieve.
- Make your objectives S.M.A.R.T. (Specific, Measurable, Achievable, Realistic, and Timely)

Project Design/Methods Statement

For research projects:

- Describe how the project will be conducted
- Provide evidence of your capability to conduct the project
- Describe project activities that will achieve the objectives and test your research question and/or hypothesis
- Provide rationale for your approaches
- Identify data to be collected
- Identify who will collect the data and how
- Identify subjects and controls
- Identify method of analyzing the data

For course and curriculum development programs:

- Identify existing courses and alternatives
- Describe the form the final product(s) will take
- Describe how the product(s) will be used
- Identify who will use the product(s)
- Identify if and how the product(s) will be made available to others

For training programs:

- Identify what materials will be used

- Identify the participants or target participants and how many you expect to participate
- Describe how participants will be selected or were selected
- Identify where training will occur
- Identify who will supervise
- Describe what will be presented and how

Evaluation

- Identify the scale and scope of the project impact
- Describe how the sponsor will benefit from the investment of the project
- Describe how the project will be evaluated, such as with pre- and post-testing, observations, testimonials, surveys, etc.

5.3 Budgets

A budget should reinforce the credibility of your project design. It should persuade sponsors with its organization, relevance, and accuracy. Think of the budget as a narrative in numbers.

ORS staff can assist with the construction and presentation of the project budget, but it is helpful to familiarize yourself with budget components. Presentation of costs in the budget must meet all sponsor requirements and, if you are seeking federal funding, the Federal standards found in the Uniform Guidance (UG) or 2 CFR 200.

5.3.1 Budget Basics

Sponsored projects are usually not included in the University's operating budget, and may be referred to as "soft money" activities. Soft money activities and positions rely on grant funding, and thus, proper budget management is essential to successfully maintaining and completing sponsored projects.

Budget costs are typically divided into two primary categories: **direct costs** and **indirect (F&A) costs**. Direct costs are those incurred specifically and directly for the sponsored project and are integral to the project's completion. Examples can be personnel salaries, fringe benefits, equipment, supplies, travel or tuition.

Indirect costs are "incurred for common or joint objectives and cannot be readily identified with a particular final cost objective" [2 CFR 200, Appendix IV, A.1]. Indirect costs are also called Facilities and Administration (F&A) costs. Examples of F&A costs include shared facilities or services, such as general administration and clerical work, utilities such as lighting and heating, and standard depreciation or use of buildings and equipment.

F&A costs allow the University to be reimbursed for the indirect costs incurred during the project period. These costs are real costs and are critical to sustainability of the University. Board of Trustees policy prohibits F&A waivers or reductions.

F&A costs are calculated based on percentages of each project's direct costs. Three types of rate calculations are used to determine indirect costs: salaries and wages, **modified total direct costs**

(MTDC), and total direct costs. YSU's approved F&A rate is based on salaries and wages, materials and supplies, services and travel, and up to the first \$25,000 of each subaward. However, some sponsors limit F&A rates in the RFP. YSU accepts the sponsor-mandated F&A rate. F&A rates for YSU are negotiated with the Department of Health and Human Services (DHHS) every few years. Visit the ORS website for the most recent F&A rates.

2 CFR 200, Subpart E outlines cost principles to follow when developing budgets for federally-funded projects. In general, consider the following four cost principles when developing budgets and considering expenses:

Allowable

- Is the cost allowable under the contract, RFP, federal regulations, and institutional policy?

Allocable

- Is the cost chargeable or assignable to the federal award?
- Is the cost incurred specifically for the project?
- Does the cost benefit the award and project?

Necessary

- Is the cost necessary to complete the project objectives?

Reasonable

- Is the cost ordinary and necessary for the operation of the project?
- Does the cost meet standard market prices for comparable goods or services in the geographic area?

5.3.2 Direct Costs

Personnel

Salaries

List all YSU project personnel by name and functional title. Personnel titles, where applicable, should be listed in the budget in the following order: PI/PD, Technical Support Staff, and Graduate/Undergraduate Research Assistant(s). Include rate and basis of pay. Include the amount of work, or effort, for each personnel member on the project. Federal standards require that all faculty and staff effort on sponsored projects be uniformly documented and based on a percentage of a project employee's academic- or calendar-year contract salary.

Also include the amount requested from both the sponsor and the University to support each person for their length of participation in the project. Project consultants should not be included under personnel (see the Contractual section, below). Student assistant funds are represented as either an hourly rate or stipend-based compensation, but excluding tuition and fees, depending on the individual appointment.

Any **release time** funds will be retained by YSU to cover the contractual "release" of faculty whose normal teaching load, advising, and/or other duties are reassigned to allow them time to perform the

project. Funds generated outside of regular contract periods (typically Summer or Off-Term Support) are paid directly to the employee.

Fringe Benefits

Fringe benefits, expressed as a percentage in the budget, include employee benefits additional to salaries, including items such as University retirement programs, hospitalization and disability services, unemployment and workers' compensation contributions. Different personnel positions receive different fringe benefit rates. Not all University benefits are eligible to be charged to federal grant programs. A fringe percentage chart is included in Appendix B, but always check with ORS for the most up-to-date rates.

Contractual

Consultants

PI/PDs may contract external consultants to complete the project. If so, identify the name, title, and institutional or professional affiliation of each consultant; indicate the nature, extent, and period of consultant services; and provide bases for fees and expenses incurred from services in the budget. Consultants are not University employees, and are therefore not eligible for ongoing appointment or other benefits, including fringe benefits.

Subcontracts

Subcontracts are required when subawardees are involved in the project. Subcontracts usually require specific approval by the sponsor, and proposals usually include the subcontractor's proposal and budget. Federal regulations require that a risk assessment be completed on all potential subawardees prior to issuing a subcontract. Generally, subcontracts may include only \$25,000 of the subcontract cost in the F&A cost rate calculation. [For more on F&A costs, see 5.3.2.] Consult with ORS before pursuing subcontracts for sponsored projects.

Equipment

Equipment includes, "tangible personal property (including information technology systems) having a useful life of more than one year and a per-unit acquisition cost which equals or exceeds the lesser of the capitalization level" established by the University [2 CFR 200.33]. In order for an item to be considered equipment, it must have a useful life longer than one (1) year and cost \$5,000 or more. Additionally, items that are composed of multiple component pieces—each of which on their own cost less than \$5,000, but when the combined cost \$5,000 or more—are also considered equipment. An example of this might be a virtual laboratory environment composed of servers, a rack, wires, etc.

Special purpose equipment is to be used "only for research, medical, scientific, or other technical activities" [2 CFR 200.89]. Examples include microscopes, x-ray machines, surgical instruments, and spectrometers.

Supplies

Supplies are items that cost less than \$5,000, including computers and standard office equipment.

Materials and Services

Materials and services are considered supplies, and include consumable materials such as

glassware, chemicals, lab animals, office supplies, books, or other items having either a limited use and/or cost below the \$5,000 equipment threshold.

Travel

Allowable trips in sponsored project budgets include: meetings, retreats, seminars, symposiums, workshops, or events directly related to the project. Travel expenses include transportation, lodging, subsistence, and related items.

Domestic travel includes all travel within the U.S., its possessions and territories, and Canada. Foreign travel includes all other travel, including travel within Canada and the U.S. and its possessions and territories, in transit to a foreign destination. Many sponsors restrict grant-funded foreign travel. Federally funded foreign travel usually requires use of U.S.-owned airlines.

Other Direct Costs

Other Direct Costs may include: subscriptions, alterations, renovations, off-campus space rental, leasing of computers and other equipment use charges paid to vendors, equipment repair and maintenance, and human subject incentive allowances. Other Direct Costs might also include costs to produce reports generated under sponsored projects and/or costs for the publication of articles required by certain journals. Some sponsors identify these costs as purchased services.

Do not list other direct costs as “miscellaneous”, “general”, or “other”.

5.3.3 Indirect Costs, or Facilities & Administrative (F&A) Costs

Indirect, or Facilities and Administrative (F&A) costs, include shared services, such as operation and maintenance of the physical plant, general administration, library expenses, and standard depreciation or use allowances for buildings and equipment. F&A costs cannot be omitted from the proposal budget or changed without prior approval from the Director of Research Services. Contact ORS for the current indirect cost rate.

5.3.4 Cost Sharing/Matching Funds

Cost sharing or matching funds are project costs not paid for by the sponsor, but by the institution or an outside entity in support of a project. Cost share can be required or voluntarily committed. Required cost share is required by the sponsor and must be included in the budget. Voluntary committed cost share is not required by the federal agency, but the institution volunteers these costs. ***It is against YSU policy to offer voluntary cost share*** [See [YSU BOT Policy 3356-10-13.1](#)]. Some sponsors, such as the National Science Foundation (NSF), forbid cost sharing, and will refuse proposals that include it.

Federal and pass-through funds from one sponsored federal project cannot be used as cost sharing on another federal project. Similarly, state and pass-through funds from one sponsored state project cannot be used as cost sharing on another state project.

Cost share is often referred to as “match.” Matching funds are commitments made by the University to spend its resources in a certain predetermined ratio to funds from the sponsor. For example, cost share may be required on a 1:1 match. This means that for every dollar that the sponsor provides to the project, the University must provide a matching dollar. Thus, a project with a 1:1 match that has a sponsored award on \$50,000 will have a total budget of \$100,000 because the University will have to match the \$50,000 sponsor investment dollar for dollar. Matching funds may derive from the University operating budget or other

third-party contributions, and must be earmarked for that purpose. It is the responsibility of the PI to determine how and where cost share commitments will be acquired, to obtain proper approvals, and to do so prior to submission of a proposal.

5.3.5 In-Kind Contributions

In-kind contributions are non-cash contributions to a project, and may include: personal services; discounts; loaned equipment; other third-party costs that can be assigned a value, such as faculty/staff summer or off-duty support not charged to a project; and other donated goods and services. When listed, in-kind contributions should be indicated in the proposal narrative or in the budget detail as “Without Charge” or “In-Kind”, and without a specified dollar amount, unless a formal commitment to track such funds has been obtained prior to proposal submission.

5.3.6 Anticipating Costs on Multiple Year Projects

When developing multiple-year projects, it is important to consider how costs will be managed. Remember to account for inflation and project cost increases for each year. Furthermore, account for inflation between the proposal submission date and the project initiation date for annual or short-term projects. Projects awarded on a continuation basis are for ongoing project activities approved in the original proposal, and are typically awarded by federal programs to support long-term scientific or medical research. A funding renewal likely requires an additional competitive, formal proposal submission. If a **cost-extension** or add-on funding is needed, supplements may be applied for. These are generally issued as amendments to an existing grant or contract. If additional time is needed to complete all or a significant portion of project activities remaining, using unexpended funds, **no-cost extensions** may be applied for. Contact ORS.

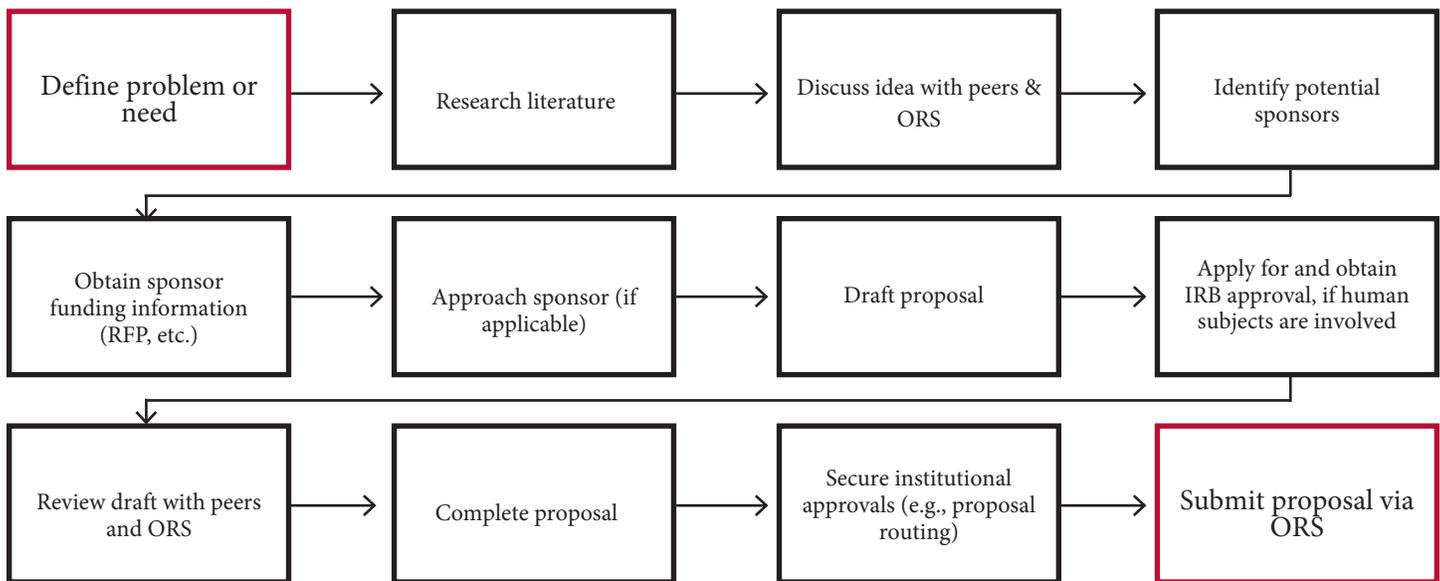
5.3.7 Budgeting on Contracts

Contracts are typically required for federally-funded projects and projects funded by some companies and firms. Contracts are either **cost-reimbursement** contracts or **fixed-price** contracts. Cost-reimbursement contracts are agreements between the sponsor and the University for the work to be performed and a total cost estimate for the work. Under this contract, sponsors are obligated to reimburse the University for actual costs incurred while conducting the project, but no more than the contracted total cost. A fixed-price contract includes a set price that the sponsor will pay the University for the project or service, including all work required by the contract and all deliverables. These contracts obligate the University to complete the contracted work regardless of the actual cost. If costs exceed the set price, the University must absorb the additional costs. If costs are lower than the set price, the University may retain the residual funds.

6. Proposal Authorization & Submission

6.1 Pre-Award Process

The pre-award process includes all preparations for proposal submission, including activities such as designing the project, meeting with ORS staff, obtaining institutional approvals, and more. Consider the flow-chart below for a step-by-step guide to the pre-award process.



6.2 Coordination of Effort & Multiple Submissions

ORS can better assist PIs/PDs who prepare their project early. PIs/PDs should view project planning and proposal preparation as an interactive process involving the timely coordination of effort among colleagues on- and off-campus, sponsor contracts, consultants, vendors, other technical support providers, and all appropriate University officials and other institutions. Timely coordination of effort maximizes the prospects of grant success and addresses potential conflicts early. Early preparation assists efforts including: submission of letters of intent, agency pre-screenings, state and local clearinghouse reviews, and programs that limit the number of proposals per institution during certain grant cycles.

Proposals may be submitted simultaneously to several different sponsors. Benefits of multiple submissions include: (a) reduced institutional cost sharing, and (b) a diversified funding base that can make proposals more attractive to sponsors. ORS assists PIs/PDs with multiple submissions.

6.3 Institutional Approvals

If a project is awarded and a contract is signed, YSU, as the applicant institution, is legally obligated to perform all sponsor requirements. Therefore, the University has established a review and approval system designed to protect its faculty, staff, and inherent interests under sponsored projects.

All proposals potentially funded by a grant, contract, or cooperative agreement, and administered through the University, irrespective of sponsor, must be reviewed and approved by ORS *prior* to submission. This includes the timely presentation of *every* proposal for in-house review.

No YSU personnel—faculty, staff, or students—may commit the University to a grant or contract with an external agency without approval from the YSU Director of Research Services.

Faculty and staff submitting proposal(s) must attest to the accuracy, completeness, and appropriateness of the proposed activity, and to their own professional capability and willingness to conduct it. To assure this, the PI/PD must contact ORS for proposal routing.

The PI/PD is responsible for obtaining all appropriate YSU authorizations. Proposals submitted without proper institutional review and approvals are not considered valid proposal by YSU.

7. Proposal Tracking & Disposition

7.1 Notification of a Proposal Decision

The sponsor will notify either the PI/PD or ORS of its award decision. If you are first notified about the sponsor's decision, be sure to communicate this to ORS immediately. Likewise, if the sponsor first notifies ORS, you will be notified of the sponsor's decision. If a proposal is awarded funding, ORS can assist the PI/PD with:

1. Deciding on the terms of an agreement or contract;
2. Arranging and conducting contractual negotiations;
3. Reviewing, recommending, and arranging institutional approval of all agreements;
4. Contacting other campus offices to effectively initiate the project.

If a proposal is not awarded, ORS can help the PI/PD obtain additional information about the proposal review process and the perceived strengths and weaknesses of the proposal, and can advise the PI/PD how to strengthen subsequent applications.

ORS may not receive timely notification from a sponsor about a proposal's status. Therefore, if you are notified of any change in proposal status or sponsor final determination, relay that information to the Director of Research Services immediately.

7.2 Proposal Monitoring & Review Assistance

Post-submission/pre-award contracts with sponsors are subject to legal restrictions that may be best addressed through qualified University staff. ORS monitors proposal receipt by the funding agency, and can interact with funding agency representatives on behalf of their constituents. Interactions might include: discussing funding status, responding to requests for further information, arranging site visits, and facilitating reviews. During the review process, it is important to maintain open communication with ORS about the status

of proposals. PIs/PDs should document any independent contacts with the funding agency officials as they occur, and inform ORS.

7.3 Proposal Disposition (Records Retention)

University and government policies require retention of archival materials, including: financial records, supporting documents, statistical records, and all other records pertinent to a federal award. Federal policy requires that these records be retained for three (3) years from the date of submission of the final expenditure report. Renewed awards require that records be retained for three (3) years from the dates of submission of quarterly or annual reports [2 CFR 200.333]. According to University policy, ORS will maintain records of unfunded proposals for one (1) year after their submission, and records of funded proposals for five or more (5+) years following project closeout [See [YSU BOT Policy 3356-9-09](#)].

For assistance regarding record retention and destruction, contact the YSU Records Management Office.

8. Post-Award Procedures

8.1 Award Review and Acceptance

YSU personnel and students may not accept an award on behalf of the University. If you receive an award notice, notify ORS immediately. Once the grant agreement or contract is received, ORS will (1) review the document to determine acceptability of terms; (2) conduct further negotiations with the sponsor, if necessary; (3) recommend any modifications to the terms; and (4) assist the PI/PD with closing the award transaction.

8.2 Project Initiation

Once the award has been approved, ORS will transfer copies of relevant documents to the Office of Grants Accounting. Documents may include the approved proposal budget, any sponsor administrative guidelines, the approved grant agreement or contract, the proposal routing approval, and any pre-award correspondence.

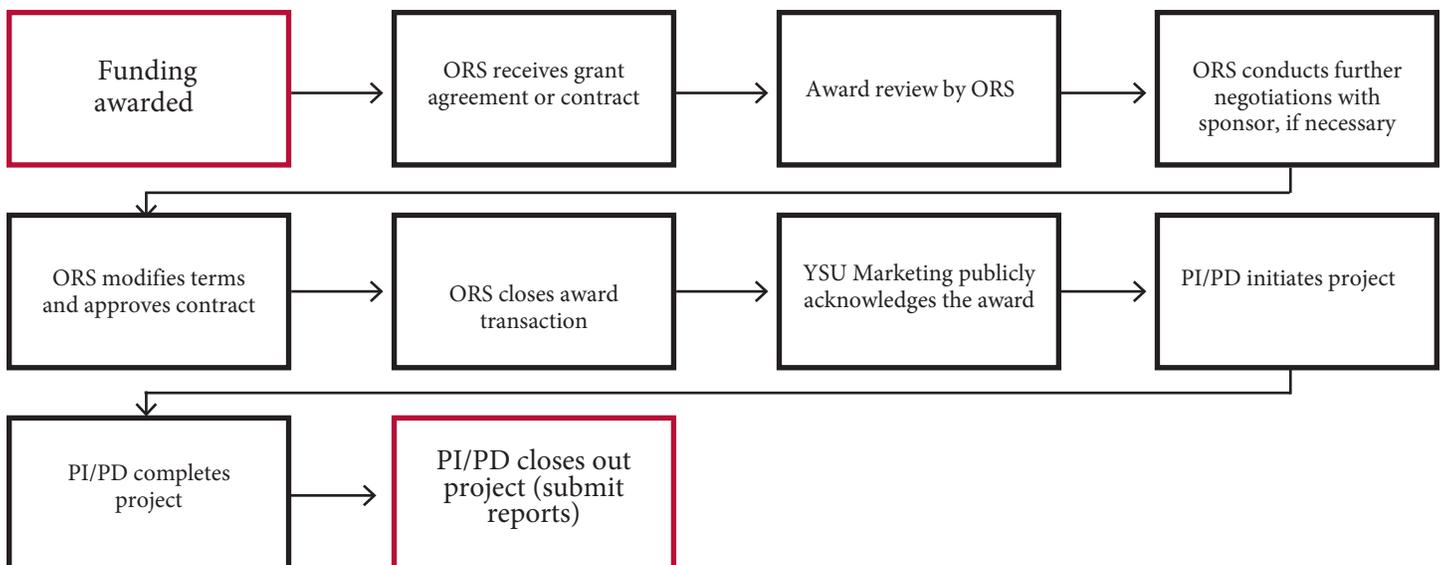
Once the Office of Grants Accounting has received the relevant documents, they will establish a project account, including a FOAP (fund number, organization code, account category, and program code) and inform the PI/PD.

8.3 Administering Project Activities

PI/PDs are primarily responsible for project administration. Full procedures for project administration are outside the scope of this guide, however, awareness of some general features may be helpful. Project activities may include:

- Initiating supplemental compensation for each person involved in the project via the established FOAP
- Hiring project personnel, including preparing position postings consistent with YSU employment practices
- Certifying time and effort reports
- Initiating fee authorizations for student assistants
- Requisitioning equipment
- Requisitioning supplies and services
- Arranging project-related travel
- Arranging for consultants
- Arranging conferences and meetings
- Ensuring that cost-share commitments are met, if applicable
- Producing reports (monthly, quarterly, or as required)
- Monitoring costs and activities schedules
- Initiating requests for sponsor approval of modifications of project scope, budget, or schedule
- Completing final close-out of projects, including timely support submissions, and transfer of personal project archival records

8.4 Post-Award Process



Appendix A: Glossary

Conflict of interest (COI): Situations that might interfere with the validity a PI/PD's project due to potential financial or non-financial gains that the PI/PD could attain during the project.

Contract: A legal agreement governing support for the activity desired, solicited, and sought substantially by the sponsor. This procurement activity requires adherence to a detailed scope of work, specific outcomes, deliverables, and performance standards.

Cooperative agreement: A legal agreement governing a joint working relationship, normally between a government agency and one or more institutional collaborators, and usually reflecting substantially interrelated technical activity by all parties involved.

Cost-extension: Additional funding provided for a project when the original funded amount has been spent and project activities are incomplete.

Cost-reimbursement: An agreement between the sponsor and the University on the work to be performed and a total cost estimate, which sponsors are obligated to reimburse.

Direct costs: Costs for resources needed to complete specific project activities or tasks.

Fiscal agent: An entity that accepts donations or funding on behalf of another entity.

Fixed-price: A contract that includes a set price that the sponsor will pay for the project or service, including all work required by the contract and all deliverables, and obligates the University to complete regardless of the cost.

Flow-down: A principle in subcontracting that requires all subcontractors under a federal program to adhere to the same regulations required for the primary recipient of funds.

Fringe benefits: A percentage of project personnel salaries and wages taken as an additional cost to provide personnel with hospitalization, disability services, unemployment, workers' compensation, and similar services.

Grant: A legal agreement to fund research, a service, or other activity substantially defined by the applicant. Grant activity should be conducted in accordance with the approved proposal and under the formal grant award document terms.

Indirect (F&A) costs: Costs associated with the project, but not cannot be considered specific costs for the project. Three types of rate calculations are used to determine indirect costs: salaries and wages, modified total direct costs, and total direct costs.

Letter of inquiry/interest/intent (LOI): An introductory letter submitted to a prospective sponsor summarizing the project to be funded. Sometimes required before submitting a full proposal.

Memorandums of understanding (MOUs): Legally non-binding agreements between project entities that identify each entity's roles and responsibilities.

Modified total direct cost (MTDC): Costs from a project that include all direct salaries and wages, applicable fringe benefits, materials and supplies, services, travel, and up to the first \$25,000 of each subaward.

It excludes equipment, capital expenditures, charges for patient care, rental costs, tuition remission, scholarships and fellowships, participant support costs, and the portion of each subaward after the first \$25,000 [2 CFR 200.64].

No-cost extension: An extension to the project period that involves no additional funding.

Pass-through: A non-Federal entity that provides a subaward to a subrecipient to carry out part of a Federal program [2 CFR 200.74].

Principal investigator (PI)/project director (PD): University faculty or staff member(s) responsible for the design, conduct, execution, and reporting of a sponsored program or project. Typically, investigators lead programs or projects centered around research, and project directors lead other sponsored activities.

Release time: Temporary release from faculty or administrative duties to allow time to complete a sponsored program or project.

Request for proposals (RFP): A notice distributed by a sponsor that notifies potential applicants of available funds and requests proposals based on specific criteria.

Solicited proposal: Solicited proposals are submitted after a sponsor asks an organization to apply, or as a response to an RFP.

Sponsored program: Activities, including research, teaching, training, or service programs that are substantially funded by agencies external to the University. These programs are subject to agreements with the sponsor(s), which are binding on the University.

Sponsored project: An externally funded scholarly activity, such as basic, applied, or developmental research, instructional or curricular activities, student aid, career development, or other activity conducted by faculty or staff members on behalf of the University.

Unsolicited proposal: Unsolicited proposals are proposals submitted to a sponsor without a specific Request for Proposals (RFP) or program in place.

Appendix B: References & Resources

Institutional Policies

3356-5-12: Licensing of university names and marks

3356-7-01: Conflicts of interest

3356-7-18: Outside consulting services - faculty

3356-7-43: Externally funded professional/administrative staff

3356-9-09: Records management

3356-10-03: Affiliated Scholars

3356-10-13: Research, Grants, and Sponsored Programs

3356-10-13.1: Cost Sharing and Overmatching on External Grants and Contracts

3356-10-13.2: Payments of Indirect Costs on External Grants and Contracts

3356-10-13.3: Disposition of Residual Funds from External Grants and Contracts

3356-10-14: Use of Human Subjects

3356-10-15: Animal Care and Use

3356-10-16: Research Misconduct

3356-10-17: Objectivity in research – Avoidance of Conflicts of Interest and/or Commitment in Sponsored Research

3356-10-18: Intellectual Property Rights

[YSU Handbook on Ownership of Intellectual Property](#)

Federal Regulations

Uniform Guidance - 2 CFR 200

The Common Rule

State Regulations

Ohio Administrative Code

Ohio Revised Code

Fringe Percentage Chart

YSU Fringe Benefit Chargeback Rates - FY 2022 Budget Planning

ACCOUNT CODE	EMPLOYEE CLASSIFICATION	Budgeted Fringe Rates	Federal Grants FY 2022 Budgeted Fringe Rates
601100	Professor	36%	35%
601200	Associate Professor	36%	35%
601300	Assistant Professor	36%	35%
601400	Senior Lecturer	36%	35%
601500	Post Doctoral	36%	35%
601600	Lecturer	36%	35%
602100	Summer School	16%	16%
602200	Faculty Overload	16%	16%
602300	Part Time Faculty	18%	18%
602400	Continuing Education Faculty	16%	16%
602500	Faculty Secondary Appointments	16%	16%
603100	Professional & Admin. Full Time	40%	39%
603200	Professional & Admin. Part Time ($\geq .50$ FTE)	40%	39%
603250	Professional & Admin. Part Time ($< .50$ FTE)	40%	40%
603300	Classified Full Time	47%	46%
603400	Classified Part Time ($\geq .50$ FTE)	47%	46%
603450	Classified Part Time ($< .50$ FTE)	47%	47%
604110	Classified Temp Intermittent	22%	22%
604210	Classified-Overtime	47%	46%
604310	Supplementary Salaries	13%	13%
604410	Occasional Service Payment	13%	13%
605100	Graduate Assistantship Research (GA/GRA)	100%	100%
605110	Graduate Assistantship Teaching (TA)	100%	100%
605210	Graduate Assistantship Non Research (Schly)	100%	100%
605300	Graduate Assistant Interns	100%	100%
605350	Fellowships	100%	100%
605410	Student Wages	5%	5%
605430	Research Assistants	5%	5%
605510	Task Based Stipends	5%	5%
605600	Ph.D. Assistantships	90%	90%

Notes and assumptions:

1. Rates are based on a hindsight analysis of actual fringe benefit experience for the 12-month period ending 2/28/21. Expenses analyzed include STRS and OPERS retirement contributions, workers compensation insurance, healthcare coverage, employee parking, tuition remission, Medicare, life insurance, and other miscellaneous categories.

Appendix C: Research Misconduct

Procedures for YSU BOT Policy 3356-10-16: Research misconduct

(1) Preliminary assessment

Upon receipt of an allegation of research misconduct, the Research Integrity Officer (RIO) will initiate a preliminary assessment of the allegation, to determine whether the alleged misconduct falls within the definition of research misconduct, as defined in this policy, and is within the six-year time limit. The RIO may appoint an individual with appropriate expertise to conduct this initial assessment and to make a recommendation. If the RIO determines that the allegation does not fall under this policy, the RIO will either close the matter or refer it to another office at the university with responsibility over the matter. The RIO will inform the complainant(s), if known, if the allegation is insufficient to result in an inquiry or when it is being referred to another office. If the RIO determines that the allegation is sufficiently credible and specific so that potential evidence of research misconduct may be identified, the RIO will inform the Deciding Official (DO), dean of the college and department chair, initiate the inquiry and notify the person(s) against whom an allegation is filed. The preliminary assessment should be concluded within a week, or as soon as feasible, depending on the complexity of the allegation.

(2) Inquiry

The inquiry consists of the information gathering and preliminary fact-finding to decide whether an allegation of research misconduct warrants an investigation. The DO delegates the authority to conduct an inquiry to the RIO. The inquiry follows the RIO's initial assessment of the allegation(s).

The RIO will appoint an inquiry committee of two individuals who do not have an apparent conflict of interest, are impartial and have the necessary expertise to conduct the inquiry. The committee members are not required to be members of the university community.

The RIO will inform the respondent(s) in writing that an inquiry has been initiated, and any additional respondent(s) identified during the inquiry. The notice will summarize the allegation(s) under review and advise the respondent(s) of their right to select a university advisor for support in the course of the proceedings, as long as this person is not involved in the university's research misconduct or disciplinary processes or is a university counsel. On or before the date on which the respondent(s) was/were notified, the RIO will take all reasonable and practical steps to obtain custody of, and inventory all the records and other evidence needed to conduct proceedings, and will sequester them in a secure manner.

The RIO or staff members of the office of research services will provide respondent(s) with reasonable, supervised access to the records or, when appropriate, copies of the records. The RIO may seek additional records or other materials that may be potentially relevant during the review. The inquiry will include a review of documentary materials and if needed, interviews with the respondent(s), and any other individuals having relevant information.

At the conclusion of the inquiry, the inquiry committee will prepare a draft written report summarizing the process and information reviewed and provide a recommendation whether to proceed with an investigation. The recommendation to proceed should be based on whether there is a reasonable basis to conclude that the allegations may have substance and that research misconduct may have occurred based on the information reviewed. In either case, the respondent(s) will be given a copy of the draft inquiry report and an opportunity to respond within ten days. The response(s) will be reviewed by the committee before finalizing the inquiry report. The comment(s) provided by the respondent(s) will be included to the final inquiry report and submitted to the RIO.

The RIO will review the inquiry report and may request the committee for additional review or explanations. If the additional review results in revisions to the report, the respondent(s) will have the opportunity to submit written comments before the final inquiry report is resubmitted to the RIO.

The RIO will submit the final inquiry report to the DO along with a recommendation. The inquiry is completed when the DO determines in writing that an investigation is warranted. The inquiry should be completed within sixty days of the start of the inquiry, unless circumstances warrant a longer period. If the RIO determines that an extension is needed, the reason for this extension must be documented in the inquiry report.

The RIO will send a written notice to the respondent(s) and the complainant(s), if known, of the DO's decisions, whether an investigation will or will not be initiated. If an investigation is warranted the RIO will send the appropriate oversight agency the DO's written decision and a copy of the inquiry report within thirty days and notify the institutional officials who need to be informed of the DO's decision.

If the DO decides that an investigation is not warranted, any reference to the allegation in the personnel file of the respondent(s) will be removed and the RIO will secure and maintain sufficient detailed documentation of the inquiry, for seven years after the termination of the inquiry, to permit later assessment on why an investigation was not conducted. These documents will be available to oversight agencies and funding entities as required by law or the terms of the award.

(c) Investigation

The investigation consists of a thorough formal examination and evaluation of all relevant information to determine if research misconduct occurred, including an examination of all relevant documentation and interviews of individuals who may have relevant information about the misconduct in question and should start within thirty days of the DO's decision that an investigation is warranted.

The RIO, in consultation with other university officials, will initiate the investigation by appointing an investigation committee of three individuals who do not have an apparent conflict of interest, are impartial and have the necessary expertise to conduct the investigation. The committee members are not required to be members of the university community and may also have served on the inquiry committee.

The RIO will take all reasonable and practical steps to obtain custody of, and inventory all the records and other evidence needed to conduct proceedings, and will sequester them in a secure manner, including additional evidence not previously sequestered during the inquiry, prior to notifying the respondent(s) in writing that the investigation has been initiated. The written notice will summarize the allegation(s), including any new allegation(s) not considered during the inquiry, identify the committee and advises the respondent(s) of their right to choose a university advisor for support in the investigation, as long as this person is not involved in the university's research misconduct or disciplinary processes or is a university counsel in the investigation. As the investigation proceeds, the RIO will provide the respondent(s) with reasonable updates and opportunities to respond to the information obtained from the investigation.

At the conclusion of the investigation, the committee will prepare a draft written report summarizing the process and information reviewed as well as findings of fact(s) and the committee's recommendation whether or not to enter a finding of research misconduct. The respondent(s) will be provided with a copy of the draft investigation report with an opportunity to respond within ten days, and a copy of, or supervised access to the evidence. The response will be reviewed by the committee before finalizing the investigation report. The comment of the respondent(s) will be included in the final investigation report submitted to the RIO.

The RIO will review the investigation report and may ask the committee for additional review or explanation. If this results in revisions to the report, the respondent(s) will have the opportunity to submit written comments before the final investigation report is resubmitted to the RIO.

The RIO will submit the final investigation report to the DO along with a recommendation whether or not the university should make a finding of research misconduct. The DO will review the final investigation report and will determine whether the university accepts the investigation report, the findings and recommended actions, as well as the university's corrective and/or disciplinary actions in response to the accepted findings of research misconduct and provide a written notice to the respondent(s) and RIO. If the DO's decision differs from the committee's findings, the DO will provide a written explanation or return the report to the investigation committee with a request for additional fact-finding and investigation.

Appeal of corrective or disciplinary action(s) is permitted in accordance with board policy 3356-9-06 and/or the applicable collective bargaining agreement. The appeal must be in writing to the DO within ten days of receipt of the DO's decision and based on new evidence not considered during the investigation or procedural errors.

The investigation should be completed within one hundred and twenty (120) days. If the RIO determines that an extension is needed, a request will be submitted to the relevant oversight agency or funding entity. If an extension is granted, the RIO is responsible for submitting periodic progress reports to the oversight agency during the extension period.

The RIO will submit a copy of the final investigation report and/or any appeal, statements of acceptance of findings in the investigation report and/or any appeal and findings of research misconduct, and a description of the pending or completed administrative and corrective actions, to the relevant oversight agency or funding entity as required by law or the terms of the award. The RIO is responsible for maintaining the records of research misconduct in a secure manner for seven years after the completion of the proceedings, and for providing any information, documentation, research records and evidence requested by the oversight agency or funding entity.

The RIO will inform the complainant(s), if known, of the outcome of the investigation in writing as well as the institutional officials who need to be informed of the DO's decision.

Appendix D: EXPORT CONTROL

Procedures for YSU BOT Policy 3356-10-24: Export Control

(1) General

It is the policy of the university that all students, employees, and all other people retained or working at or for the university comply with all U.S. laws and regulations while performing work on behalf of the university. Although the university strives to create an environment where teaching, learning, and research are conducted openly and without restrictions, certain federal regulations may require the university to obtain permission from the government before allowing foreign persons to participate in or have access to research involving specific technologies or data. Export control regulations have the potential to,

- (a) Limit research opportunities of university faculty, staff, and students;
- (b) Affect publication rights; and/or
- (c) Prevent collaboration

(2) Exclusions

The scope of export control regulations is broad and encompasses products, equipment, materials, software, research results, know-how, and other information that has both commercial and military use. However, the majority of research and teaching conducted at the university will fall under one or more exclusion categories provided in the regulations. These exclusions are:

- (a) Public domain/publicly available information

Exempts the transfer of information that is already published and generally available to the public. ITAR and EAR articulate this exclusion a bit differently:

- (1) ITAR Specifications. ITAR defines “public domain” as information that is published and accessible through the following mediums:
 - (a) Sales at newsstands and bookstores
 - (b) Subscriptions which are available without restrictions
 - (c) Second class mailing privileges granted by the U.S. government
 - (d) Libraries open to the public
 - (e) Patents available at any patent office
 - (f) Unlimited distribution at a conference, meeting, seminar, trade show, or exhibition generally accessible to the public in the U.S.
 - (g) Public release of information in any form after approval by the cognizant U.S. agency
 - (h) Fundamental research in the U.S
- (2) EAR Specifications. The EAR defines “publicly available technology and software” as:
 - (a) Publications in periodicals, books, print, electronic, or any other media available for general distribution to the public for free or at a cost
 - (b) Readily available at libraries open to the public or at university libraries
 - (c) Patents and open patent applications available at any patent office
 - (d) Released at an open conference, meeting, seminar, trade show, or other open gathering

(b) Education Information

This policy generally exempts the sharing of any information commonly taught in colleges and universities. Both the EAR and ITAR allow such disclosure even if it relates to items on the CCL or USML. This provides faculty are able to discuss information and technology that might otherwise be regulated by export controls.

- (1) ITAR Specifications. Under ITAR, “technical data” does not include information about general scientific, mathematical, or engineering principles commonly taught in schools.
- (2) EAR Specifications. Under the EAR, “educational information” includes publicly available information released by instruction in catalog courses and associate teaching laboratories of academic institutions.

(c) Fundamental Research

This policy exempts the disclosure of basic or applied research in science and engineering performed at an accredited institution of higher education, provided that the results are ordinarily published and shared broadly within the scientific community, and for which no restrictions have been accepted. This exclusion only applies to technical information, not tangible materials or technology and does not apply if the university accepts restrictions from the sponsor on publication or dissemination of information resulting from the research.

(3) Export licenses

An export license is a written authorization granted by the appropriate regulatory agency approving a certain type of export transaction that is otherwise prohibited. Only the EO of the university may apply for a license with the federal government. The specifics of the application process will depend on with which government agency the request is being filed.

(4) Hiring foreign national persons

It is the responsibility of human resources, the hiring supervisor, and/or department head to ensure all proposed foreign persons to be hired undergo appropriate restricted party screening. All supervisors and/or department heads overseeing foreign persons must complete export controls training.

(5) International Activities

When university activities are conducted outside the U.S., it is the responsibility of the university activity organizer and/or responsible program official to seek and obtain appropriate export control approvals from the EO, for the following activities without limitation:

- (a) Execution of agreements to be performed outside the U.S.;
- (b) Non-credit bearing study abroad courses; and,
- (c) Making payments to foreign persons.

(6) International visitors

- (a) All international visitors whether present or not in the U.S., must undergo a restricted party screening as a prior condition of their visit. It is the responsibility of all employees at the university intending to host an international visitor to request a restricted party screening from the ORS and must be given approval before their arrival when the international visitor:

- (1) Will be involved in a research project or collaboration and will have access to laboratories and research facilities for the purposes of observing or conducting research;
- (2) Will be issued an YSU identification card, keys to offices or laboratories, or otherwise be given access to the YSU computing system in any way or manner; or,
- (3) Will be paid an honorarium, will be reimbursed for expenses, or will be provided something of value.

(b) Exempted international visitors

Restricted party screening of an international visitor is not required if no honorarium or reimbursement of expenses will occur and if one or more of the following conditions exist with respect to the anticipated visit of the international visitor:

- (1) Meeting with colleagues to discuss a research project or collaboration;
- (2) Touring labs or research facilities that are not restricted per se; or,
- (3) Participating in general academic or scientific meetings or presentations.

It is the responsibility of all employees to comply with the initial terms and intent of any visit as communicated to the international visitor and to notify the ORS immediately, as well as, the provost office, of any changes in the intent of the visit prior to engaging the international visitor in any activity that may require a restricted party screening.

(7) Purchasing

It is the responsibility of the office of procurement services to develop and implement procedures to screen vendors as appropriate for compliance with export control laws and regulations.

(8) Recordkeeping and Retention

The university is required to retain a complete record of all export-related records. Original records must be retained for five years from the date of export, re-export, or transfer. The ECO is responsible for the retention of export-related records. Personnel are responsible for maintaining all export-related records in their unit and for forwarding all relevant export documentation to the ECO for retention.

Export control related records that should be maintained include, but are not limited to,

- (a) The university's analysis of export license requirements
- (b) Issued export licenses
- (c) Shipping documents
- (d) Any correspondence related to an export activity
- (e) Restricted persons screenings

(9) Shipping

It is the responsibility of university personnel and students who are shipping items outside the U.S. (including hand-carrying items such as research equipment, materials, data, biological, chemical, and nuclear weapons/explosives) to comply with export control laws and regulations in coordination with the EO and other appropriate offices. University personnel and students should contact the ECO for assistance, if needed, prior to shipping items outside the United States.

(10) Training

- (a) The ECO, in cooperation with the EO and other appropriate offices, will authorize and assign approved export controls training. administrators, faculty, and researchers (e.g., students, postdocs, research scientists, etc.) involved in research activities will be required to successfully complete an ORS-approved basic export control training course at least once every two years. However, when traveling internationally the training must occur within twelve months of taking travel.
- (b) University employees with managerial or supervisory authority over Foreign Persons or projects involving controlled information or controlled physical items are required to successfully complete an approved basic export control training course at least once every two years.
- (c) Depending on the nature of an individual's activities and/or job function, an employee may be required to complete an approved supplemental export control training as deemed appropriate by the individual's supervisor and/or the EO.

Other information

(A) Export control council (ECC)

- (1) The export control committee is a committee comprised of membership from various units throughout the university. The role of the ECC is to
 - (a) Assist in review and determination of the extent to which export control laws and regulations apply in individual situations and to provide guidance as to the steps necessary for compliance
 - (b) Advise export control policies, procedures, and actions
 - (c) Disseminate information among the various units of the university
 - (d) Resolve export control related issues if and when they arise
- (2) The ECC membership shall be comprised, at minimum, at least one (1) person from the following units, with EO serving as committee chair:
 - (a) Office of Research Services
 - (b) Office of General Counsel
 - (c) International Student Services
 - (d) Information Technology (IT)
 - (e) College of STEM
 - (f) Risk Management/Environmental Health and Safety
 - (g) Human Resources

(B) PI

A PI must ensure that their activities conform to export control rules and regulations and that they do not disclose controlled information or transfer controlled articles or services to a foreign national without prior authorization as required.

(C) Faculty, staff, students, and university affiliates

All faculty, staff, students, and university affiliates must be aware of any export control implications of their work and must ensure their activities conform to export control rules and regulations. Any required license and/or approval must be obtained before exporting anything deemed controlled.