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Sponsored Research

Resource Guide

External Funding
Policies and Procedures

First TCU external funding

recipients—founding brothers

Addison and Randolph Clark.

Texas Christian University

Fort Worth, Texas

817.257.7516

[www.sponsoredresearch.tcu.edu](http://www.sponsoredresearch.tcu.edu)

Revised August 2009



**INFORMATION AT-A-GLANCE**

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| --- | --- | --- |
| Applicant Name: | Texas Christian University |  |
| Applicant Address: | 2800 S. University Drive, Ft. Worth, TX 76129 |
| Authorizing Official: | Bonnie E. Melhart, Ph.D.TCU Box 297024Fort Worth, TX 76129T (817) 257-7104 F (817) 257-7484Email to: (b.melhart@tcu.edu) | Associate Provost Academic Affairs |
| Sponsored Research Office: | Janis Morey Naugle, Ph.D.Email to: (j.morey@tcu.edu)Teresa Miles Hendrix, MPAEmail to: (teresa.m.miles@tcu.edu)Laurie HeidemannEmail to: (laurie.heidemann@tcu.edu)TCU Box 297023Fort Worth, TX 76129T (817) 257-7516F (817) 257-0058 fax | DirectorAssistant DirectorAdministrative Program Specialist |
| Controller’s Office: | Cheryl Wilson, C.P.A.TCU Box 297011Fort Worth, TX 76129T (817) 257-7834F (817) 257-7733Email to: (c.l.wilson@tcu.edu)  | Associate Vice Chancellor and Controller |
| Award Checks Payable to: | Texas Christian UniversityATTN: Peg MeroneyTCU Box 297011Fort Worth, TX 76129T (817) 257-7841F (817)257-7733Email to: (p.meroney@tcu.edu) |  |
| Federal Tax ID Number | 750827465 |  |
| DUNS Number | 043807882 |  |
| TCU IRB Number | IRB# 00002653 |  |
| Human Subjects Federal Wide Assurance (FWA) Number | FWA00004060 |
| USDA Animal Welfare Act Certificate Number | 74-R-0046 |
| Governmental Districts1 | 2nd Federal Congressional District97th State House District 12th State Senatorial District |  |
| Fringe Benefits Rates | Check current employee fringe rates at [www.sponsoredresearch.tcu.edu](http://www.sponsoredresearch.tcu.edu)Fringe not charged on student wages. |
| Facilities and Administrative Costs (Indirect Costs) | Federally Negotiated Rate   On-Site Rate - 54% of salaries (including graduate stipends and student wages) exclusive of fringe   Off campus rate - 24% of salaries exclusive of fringe (all work must be accomplished off campus) Effective date of indirect cost rate agreement -   6/1/2010-5/31/2014. |
| Document Retention Policy | Documents will be kept in the OSR for a period of 3 years past the duration of the grant. |
| *Texas Christian University (TCU) follows the Office of Management and Budget (OMB) Circulars A-21 for cost principles, A-110 for administrative requirements and A-133 for audits, as TCU policy.* |

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**REFERENCE LINKS FOR POLICIES AND FORMS**

**POLICIES**

Research Involving Human Subjects

<http://www.research.tcu.edu/media/file/IRB-PoliciesProcedures2.doc>

Animal Care and Use

[http://www.research.tcu.edu/?d=page&pid=sp95&parent=95](http://www.research.tcu.edu/default.asp?id=page&pid=sp95&parent=151)

Drug Free Workplace

<http://www.hr.tcu.edu/Policy2.006.pdf>

Intellectual Property Policy and Procedures

<http://www.provost.tcu.edu/AcademicAffairsAdministrativeHandbook/Intellectual%20Property%20Policy%20and%20Procedures.htm>

Ethical Conduct of Research and Creative Activities <http://www.research.tcu.edu/rcr/>

Objectivity in Research Policy

For Federal:

<http://grants.nih.gov/grants/policy/coi/index.htm>

For TCU:

<http://www.hr.tcu.edu/forms.html>

Research Involving Recombinant DNA Molecules <http://www.research.tcu.edu/?d=page&pid=sp92&parent=92>

Use of Consultants

<http://www.research.tcu.edu/?d=page&pid=sp71&parent=71>

University Travel Regulations

<http://www.research.tcu.edu/?d=page&pid=sp71&parent=71>

**FORMS**

TCU Equipment Inventory Guidelines

<http://www.research.tcu.edu/?d=page&pid=sp93&parent=93>

Instructions for Completing TCU Equipment Inventory Data Input Form

<http://www.research.tcu.edu/?d=page&pid=sp93&parent=93>

TCU Research Equipment Data Input Form

<http://www.research.tcu.edu/?d=page&pid=sp93&parent=93>

Instructions for the Consent Document

<http://www.research.tcu.edu/?d=page&pid=sp93&parent=93>

Consent to Participate in Research

<http://www.research.tcu.edu/?d=page&pid=sp93&parent=93>

Parent’s Permission to Participate in Research

<http://www.research.tcu.edu/?d=page&pid=sp93&parent=93>

Invention Disclosure From

<http://www.research.tcu.edu/?d=page&pid=sp93&parent=93>

Intellectual Property Rights Assignments Form

<http://www.research.tcu.edu/?d=page&pid=sp93&parent=93>

Extramural Funding Proposal Transmittal Form
<http://www.research.tcu.edu/?d=page&pid=sp93&parent=93>

GEF (formerly TPR)

<http://www.research.tcu.edu/?d=page&pid=sp93&parent=93>

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esearch and creative endeavors are tightly interwoven into the philosophies and policies of Texas Christian University. As an institution of higher learning TCU believes the pursuit of scholarly endeavors is the catalyst for change and advancement. Sponsored research encompasses unique, inventive, collaborative projects to advance human knowledge, to fuel the economy, and to provide high-quality hands-on opportunities for students who will be tomorrow’s researchers and industry leaders.

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The term **“sponsored”** is an umbrella term referring to a number of distinctive relationships between the sponsor and the University. These include grants, contracts, letters of agreement and institutional grants for research or development projects directed by faculty. Sponsorship may be from individuals, foundations, industrial organizations, federal and state governments or international agencies.

The University does not define research narrowly; rather it adheres to the position that the term **“research”** applies to creativity in various forms. Imaginative originality whether in the fine arts or in the sciences, is of a common character and significance in the overall intellectual life of the institution.

Sponsored research contributes to the depth and breadth of the university through:

* increased potential for contributing to new knowledge in various disciplines;
* increased ability to attract a distinguished faculty;
* greater prestige that permits the recruitment of superior
students;
* greater visibility of faculty members with a consequent increase in professional development;
* better facilities and laboratories; and

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* increased library acquisitions.

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ponsored research may be proposed through various avenues: within a regular department, through a division of the University, through the cooperation of several departments, or through collaboration with other institutions. And typically, it is directed by a member of the faculty or authorized staff. Projects should be clearly related to the programs of the department or unit involved and should enhance opportunities for fulfillment of the University’s goals. Study findings should be routinely offered for publication.

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The budget should be adequate for the work proposed, including (but not limited to) personnel support including fringe benefits, student support, faculty release time buy-out, equipment, supplies, travel, publication costs, and indirect costs.

In accepting sponsored research awards, the University, the departments; and members of the faculty or staff accept responsibility to furnish:

* an appropriate share of the time and expertise necessary to perform the project;
* reports and publications describing the research project and the achieved results;
* documentation of compliance with all terms and conditions of the grant or contract, such as those covering patents, copyrights, equipment, human subjects, animal welfare, drug-free workplace, time and effort reporting, conflicts of interest, and the timely submission of all technical and administrative reports.

A research agreement is executed between the supporting agency and the University. While the Principal Investigator (P.I.) is responsible for the performance of the research and is obliged to comply with all terms of the agreement, the University, not the Principal Investigator, is the grantee or the contractor. Only specifically designated administrative staff members can commit the University contractually or are authorized to sign for the University. Proposals should be submitted in accordance with the procedures outlined in this manual, and posted on the research website [www.research.tcu.edu](http://www.research.tcu.edu).

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*Texas Christian University (TCU) follows the Office of Management and Budget (OMB) Circulars A-21 for cost principles, A-110 for administrative requirements and A-133 for audits, as TCU policy.*

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ith the initiation of sponsored research, the faculty or authorized staff member assumes responsibilities and obligations, which begin with the preparation of the proposal and continue throughout the length of the project. A final report and other grant or contract closing documents are essential requirements; therefore, the research is not concluded until these responsibilities are fulfilled.

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*Principal Investigator*

As Principal Investigator/Project Director, the faculty or staff member is responsible for assuring that:

* the research is soundly based, that its primary goal is a significant contribution to knowledge or to the mission of the institution, and that the personnel involved are qualified to carry out their assigned tasks;
* the budget is adequate to accomplish the project proposed and/or agreed to;
* necessary time and expertise are available for commitment to the proposed study and for compliance with all terms and conditions of the grant or contract;
* any requirements for University financial support (matching funds, cost sharing, or commitment beyond termination of the award) are identified and approved during the proposal process;
* safety regulations and University polices regarding research involving human subjects, animal welfare, scheduled substances and radioactive substances are followed and that appropriate approval has been obtained;

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* grant/contract funds are properly expended. No funds will be used contrary to University and sponsor policy and regulations; and
* any correspondence originated or received pertaining to proposals or awards is provided to the Office of Sponsored Research (OSR).

*The Department Head*

In supporting sponsored research faculty, staff, departments, and/or units assume certain responsibilities. The department chair or unit director’s approval of a proposal certifies the following:

* compliance with existing University and departmental policies;
* academic/scholarly considerations and the professional quality of the
research;
* competence of the Principal Investigator in the researched area;
* time necessary to conduct the research;
* relationship of the research to the objectives of the department, including opportunities to enhance goals of the department;
* quality of the proposal;
* financial, facility and administration requirements, including cost share and in-kind approvals;
* justification of any stated need for security;
* capability of the department/unit to provide necessary administrative support (personnel and supplies);
* availability of departmental or unit facilities and equipment to fulfill research project needs;
* adequacy of the budget and the determination of the department or unit to prevent cost overruns; and
* recognition of applicable regulations and the existence of plans for appropriate action to comply with the regulations.

*Dean of the College or School*

The dean of the appropriate school/college will review sponsored research proposals for compliance with policies of the University and the potential sponsor with particular attention given to the following:

* the proposal contributes to the principal objectives of the University, the education of undergraduate students, graduate students, and postdoctoral researchers, the advancement of knowledge through research and scholarship, the preservation and dissemination of knowledge, the advancement and protection of the public interest and public welfare;
* the research will be carried out within a regular department/unit of the University, or through the cooperation of several departments, and be directed by a member of the faculty or authorized staff;
* the research offers opportunities for enhancing undergraduate and graduate education;
* the program will be directed by University but in cooperation with external personnel;
* free publication of results is assured; and
* the University has administrative control and responsibility for the work, and affirms the appropriateness of a specific activity for TCU including providing cost share and in-kind approvals.

*The Office of Sponsored Research (OSR)—Sadler, Suite 1015*

The OSR is responsible for the following:

* review of all proposals (including budgets) to insure compliance with instructions of sponsoring agencies and with policies of the University;
* administration of grants and contracts between TCU and the sponsoring agencies;
* assistance in obtaining any special license or agreement needed for the length of the project;
* interaction with sponsoring agencies in order to remain informed on programs, policies and issues relative to grants and contracts;
* assistance for University personnel in locating potential sources of funding for research, fellowships, special programs and other activities; and
* collection and dissemination of appropriate information regarding sponsored and unsponsored research projects.

*Financial Services Office (2010) and Financial Operations Office (2011)*

*Sadler 2010 and 2011*

Responsibilities of the Financial Services and Financial Operations Offices are:

* to check the final budget proposal for accuracy;
* to provide certifications where appropriate;
* to provide accurate reports of grant expenditures to the Principal Investigator along with notices of report deadlines; and
* to maintain official files for audit documentation.

*Authorized University Representatives*

Prior to submission of a proposal to a funding agency, approval signatures must be obtained from appropriate University representatives on an **Extramural Transmittal Form** (see example below). Transmittal forms can be obtained from the OSR website ([www.research.tcu.edu](http://www.research.tcu.edu)) and are for internal University use.

The University representatives involved usually include:

* the Department Chair (or chairs, if more than one department is involved) or the unit director;
* the Dean of the appropriate school or college;
* the Controller;
* the Director of Sponsored Research;
* the Associate Provost for Academic Affairs;
* the Chancellor for Welch Foundation proposals;
* in the case of “TCU in-kind” or “cost share” commitments–signatures of unit or department heads and/or deans required;
* in the case of the use of human participants, the oversight of the Institutional Review Board (IBR) is needed; and
* in the case of the use of animal subjects, the oversight of the Institutional Animal Care and Use Committee (IACUC) is also needed.

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Preparation – think critically,

Procedures – proceed carefully,

Posting – utilize contacts, if needed.

These can be found in greater detail at [www.sponsoredresearch.tuc.edu](http://www.sponsoredresearch.tuc.edu).

*Types of Proposals*

1. **Proposals for Research** are those for the support of any form of original work, including the writing of articles or books or other forms of scholarly investigations.
2. **Proposals for Creative Endeavors** are those for the support of interesting and varied scholarly activities.
3. **Proposals for Educational Activities** are those for the improvement of instruction, teacher training programs, institutes, conferences, symposia, seminar and continuing studies programs.
4. **Proposals for Facilities** are those for support of all or part of a new building, an annex to a building and renovations.
5. **Proposals for Equipment** include those for all types of permanent equipment such as research equipment, instructional equipment and apparatus.
6. **Proposals for Service Agreements** include those involving service to some segment of the local community, service to the city, state or county, or service to another school or consortium of schools.

*Types of University/Sponsored Relationships*

Generally there are three types of university/sponsor relationships: **grants, contracts, and gifts**. All are legal, binding agreements between a sponsor and a university. These agreements directly affect such things as the degree of freedom investigators are provided to carry out the research, the numbers and complexity of technical reports required by the sponsor, and the flexibility to amend program budgets.

**Grants** are generally reflective of an agreement for the investigator to perform a specified activity within a specified time period, but containing a minimum of limiting conditions. Grants, as opposed to contracts, do not require the procurement of goods or services. They may imply, however, some legally binding conditions (e.g., cost sharing requirements, certain budgetary restrictions, etc.)

**Contracts** set out a promise of services or materials. There are two types of contracts:

* **Fixed-Price** contracts provide for the delivery of goods or services for a designated amount of money. Generally, these contracts are used when performance requirements can be specified and costs can be estimated with reasonable accuracy.
* **Cost Reimbursement** contracts provide for payments for allowable costs incurred during the performance of the contract.

**Gifts** are **monies** given to the University whereby there is no expectation of anything given in return, such as data or results. Gifts are given through the Office of Development.

*Components of a Proposal*

**Before applying** for a grant or contract, the proposer should be familiar with the **agency’s Program Guidelines** and how closely the proposed project will align with agency goals and objectives. The proposal should indicate what research has been done. This preview of prior research serves to show that what is proposed is both feasible and attainable.

An articulate, well organized and concise proposal will create a favorable impression and guide the reviewer’s judgment in a single direction: acceptance of the proposed research. In preparing a proposal, it is desirable for the proposal draft to be reviewed and edited by a person knowledgeable in the same field of discipline to assure clarity and completeness.

Although most federal agencies and other organizations that sponsor projects require the submission of proposals in a prescribed manner so pay close attention to the specific restrictions and requirements given in the call. However, most call for similar basic information. The following is a discussion of each major part of a proposal which consists of: (1) Title or Application Face Page, (2) Abstract, (3) Table of Contents, (4) Introduction and Background, (5) Project Description, (6) Resources and Facilities, (7) References, (8) Personnel, (9) Budget, (10) Endorsements, and (11) Extramural Transmittal form–necessary OSR form.

**1.** **Title or Application Face Page**

Most sponsoring agencies specify the format for the title page. Often it includes the project title, name and title of the Principal Investigator/Project Director, name of the agency to which the project is submitted, desired starting date, budget period, total funds requested, name and address of the university unit submitting, submission date and authorizing signature.

**2.** **Abstract**

The abstract should be no more than about 250 words or less (or within the stated requirements of the call for proposals) in length, and is usually presented on the first page following the title page. The abstract is the proposal condensed to its basic components and is often the most important part of the entire presentation. It should give a clear statement of the objectives and scope of the research including anticipated results and their significance in such a manner that the reader can easily determine the essential points of the proposal. It should engage the reader and encourage further reading. It is important to state any novelty in the project itself or in the methodology.

Although it appears first, the abstract should be prepared last. It is worthwhile to spend extra time in preparing the abstract to be sure it is a thorough but concise introduction to the proposal. In many cases, the final reviewers will give cursory review to other sections of the proposal, but the abstract will usually receive a careful and complete evaluation.

**3.** **Table of Contents**

Brief proposals with only a few sections ordinarily do not need a table of contents. The guiding consideration in determining the desirability of a table of contents is the reader’s convenience. Long and detailed proposals may also require a list of illustrations or figures and a list of tables. If all of these are included, they should be numbered and easy to follow.

The table of contents should list all major parts and divisions (including the abstract, even though it precedes the contents page). Subdivisions usually need not be listed. Again, the convenience of the reader should be the guiding consideration.

**4.** **Introduction and Background**

The introduction of a proposal should normally begin with a precise description of the state of the art, with appropriate references, for the proposed area of research or program. It should note the importance of the project to the mission of the potential sponsor. It should also define its scope and intent, display that the investigator understands the problems that make up the basis of the proposed project, and show confidence in their ability to solve these problems. Presented properly, this section will demonstrate the proposer’s familiarity with the research or program area and will provide an outline of the setting into which the expected results will fit.

It is important to distinguish between research project proposals and institutional program proposals. More extensive and detailed background about the University should be included in institutional training or service program proposals. Historical data on the institution or community to be served as well as estimates or projections for the future will be helpful to the sponsoring agency receiving the proposal.

Remember, however, that the main objective of the introduction is obviously to **introduce** the subject to the reader. Do not assume that the reader is familiar with the subject. Administrators in sponsoring agencies often want to get a general idea of the proposed work before passing the proposal to reviewers who can judge technical merit. Thus, the introduction should be clear to an informed layperson. It should give enough background to place the particular project in a context of common knowledge and should show how the work will advance the field or be important for some other work. In doing this, do not overstate, but rather state specifically the importance of the project.

In introducing a research problem, it is often helpful to say what it is not, especially if it could easily be confused with related work. It may also be necessary to explain the underlying assumption of the research or the hypotheses to be used.

For a research proposal, a discussion of work done by others should lead the reader to a clear impression of how the Principal Investigator will be building upon what has already been done and how this new work differs from the previous efforts. It is important to establish what is original in the approach, what circumstances have changed since related work was done, or what is unique about the time and place of the proposed research.

Literature reviews should be selective and critical. Reviewers do not want to read through a voluminous working bibliography. They want to know the particularly pertinent works and the project director's evaluation of them. A simple list of works contributes almost nothing to a proposal.

If the detailed explanation of the proposed project is complex, the introduction may well end by specifying the order and arrangement of the remaining proposal sections. This type of preview often helps a reader begin with an orderly impression of the proposal.

**5.** **Project Description**

This part of the proposal is of primary interest to the technical reviewers. Although content may vary depending upon the size of the project and whether it is a research, training or service agreement, the description should contain several sections describing the work being proposed, previous experience, facilities available, how the work will be accomplished and why it is significant. Sections of the project description often include the following items.

1. Statement of Past Work

Describe any preliminary investigations or past experiences that led to the proposed study or project. If a thesis, dissertation or publication has been completed as a result of the investigator's earlier work in this area; it should be referred to and/or attached as an appendix. If the proposal being written is for renewal of support for a existing project, a brief report of the past year's activities and reference to the final report (either completed or forthcoming) should be provided. If the completed report is not too long, it might be included as an appendix.

b. Statement of Proposed Work

Describe the problems that have been suggested by past work in as much detail as possible and where appropriate, refer to the work of others who have suggested these problems. If the novelty of the research or program lies in the subject itself, it should be so indicated. Consider the following:

* + - Be realistic in designing the program of work. Overly optimistic notions of what the project can accomplish in one, two or three years or of its effects on the world will only detract from the proposal's chances of being approved. A comment made frequently by reviewers is that the research plans should be scaled down to a more specific and more manageable project that will permit the approach to be evaluated and that, if successful, will form a sound basis for further work. In other words, the proposal should distinguish clearly between long-range goals and the short-term goals for which funding is being sought.
		- Be clear about the focus of the project. In defining its limits, especially in exploratory or experimental work, it is helpful to pose the specific question or questions the project is designed to answer.
		- Be as detailed as possible about the schedule of the proposed work. When will the first step be completed? When can subsequent steps be started? Sponsors appreciate the evidence that the investigator knows how to proceed in a step-by-step fashion. Milestone charts are an effective means of conveying work schedules.
		- Be specific about the means of evaluating the data or the conclusions. Try to imagine the questions or objectives a critic might have and show that the research or program plan anticipates them.
		- Be certain that the connection between the project objectives and method to be employed is evident. Should a reviewer fail to see this connection, the proposal will probably not be given further consideration.

c. Method of Approach

Describe in detail the approach to be used in studying the proposed problems or carrying out the research. Although detailed information may be limited at this stage, it is important to describe as thoroughly as possible the organization of at least the initial stages of the program. This information will enable those reviewing the proposal to assess the investigator's capability as well as the project's technical merit. If the novelty of the project lies in the approach, make the point with clarity and enthusiasm. Do not hesitate to use figures or tables to clarify a point.

d. Significance of Objectives

State, where possible, how the anticipated results will contribute to the body of knowledge in the area and why the contribution is important in the area and why the contribution is important to the reviewer. Although it may sound commercial, this is the technical "sell" of the proposal. It is important because it helps the prospective sponsoring agency rationalize supporting the research.

e. Human Research Protection and Animal Welfare

The approval of the Institutional Review Board (IRB) or the Institutional Animal Care and Use Committee (IACUC) must be obtained prior to commencing research which involves the use of human participants or animals. Forms are available at [www.research.tcu.edu](http://www.research.tcu.edu). After approvals are granted changes in protocols must be submitted for re-approval.

**6.** **Resources and Facilities**

The nature of this section depends on the research, but in general it details the resources available and, if possible, shows why the sponsor should choose TCU and the faculty involved for this particular project. Some relevant points may be the institution's demonstrated competency in the area; its special facilities or support services, or its association with other agencies. Please be aware, that anything that must be procured and is not listed as an expense to be funded by the agency must be considered a cost-share and will need the approval of the department head or dean. Even graduate student tuition can be considered a cost-share if the student is devoted to the project and the proposal does not include the tuition.

**7.** **References**

Unless specified in the proposal guidelines, each discipline should follow its usual procedures for presentation of references. Typically in the **sciences**, references are indicated as footnotes if there are six (6) or fewer. Usually more than six (6) references are listed separately. Each item in the list of references normally includes the following information where applicable: author, title, publication or publisher, volume and issue number, and date of publication. Please follow the referencing guidelines of your particular discipline.

**8. Personnel**

This section of the proposal usually consists of two parts: an explanation of the proposed personnel and a biographical sketch for each of the main contributors to the project. Make sure the biographical sketch states that the Principal Investigator is qualified to do this research. Unrelated accomplishments can be stated briefly. Some funding agencies request very specific biographical information; therefore, it is important to follow guidelines carefully.

The explanation should specify how many persons, percentage of time needed, and in what capacity each will be participating in the project. Student participation, whether compensated or not, should also be mentioned.

**9. Budget**

Most program sponsors specify how budgets should be presented. Because of periodic changes in agency policies as well as university policies concerning items such as indirect cost rates and fringe benefits, the OSR should be consulted early in the budget planning stage.

The budget should reflect the actual anticipated costs of the project and should be neither over nor understated. Proposal reviewers generally use the budget as one criterion on which to judge the principal investigator's knowledge of the agency program requirements.

***Checklist for Budget Items***

**Salaries and Wages**

* Academic and research personnel
* Technicians
* Student research assistants (graduate, undergraduate)
* Administrative Research Assistants
* Hourly personnel
* Salary increases (multi‑year budgets)–3% yearly is typical
* Tuition, fees and other stipends

**Fringe Benefits**

* Check [www.sponsoredresearch.tcu.edu](http://www.sponsoredresearch.tcu.edu) for current rates

**Consultant Services**

* Consultant or lecture fees
* Travel and lodging for consultant

**Equipment**

* Research and instructional equipment
* Equipment installation
* Freight
* Maintenance Agreements

**Travel and Accommodations**

**Supplies and Materials**

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| ***Examples of Direct and Indirect Costs*** |
| **Direct Costs** | **Indirect Costs (F&A)** |
| **Expenditures related to a particular project.** | **Predetermined amount of other real costs that are incurred for necessary support and service functions related to sponsored research but are not directly attributable to that project** |
| 1. Salaries are at the same rate of pay as for other University work. | 1. General administration and general expense such as accounting, payroll and administrative offices are considered indirect costs. |
| 2. Unless otherwise indicated in the proposal, principal investigators are to be full-time employees of TCU. | 2. Facility costs such as maintenance, utilities, janitorial services and repair are included as indirect costs. |
| 3. “Lump sum” payment of salaries is not allowed. | 3. Indirects provide recovery of costs actually incurred. |
| 4. Faculty salaries are based on “academic year” (9-month) appointments and the monthly rate of summer compensation is figured on the basis 1/9 of the 9 month total. | 4. These costs are calculated using actual expenditure information. |
| 5. Graduate student salaries should follow a scale consistent with regular University practices. | 5. All calculations are audited by government auditors. |
| 6. On grant proposals, the PI is encouraged to request graduate student tuition in addition to requesting the stipend. However, if the tuition is not awarded, then the Associate Provost for Academic Affairs will provide the cost of tuition. | 6. F&A cost payments received are literally reimbursement for expenditures already made. Such payments are not considered undesignated income for discretionary allocation. |
| 7. Undergraduate Students may be paid from a federal grant but not from a Service Agreement. | 7. Extramurally funded projects do add to the overall cost of the operation of the University. |
| 8. Fringe Benefits include items such as FICA, health insurance, workers’ compensation, retirement, etc. These amounts may vary, but must be charged to the grant in relation to salaries earned. | 8. Depending on how an institution organizes its accounting and administration of sponsored projects; some costs may be considered either indirect or direct, but not both. |
| 9. Expendable Supplies and Materials should be included in the estimated costs. |  |
| 10. Permanent Equipment and freight and installation charges should be included in price. |  |
| 11. The type and extent of domestic travel should be specified in the budget. |  |
| 12. If funds for foreign travel are requested, considerable justification should be provided. |  |
| 13. Publication costs are generally allowable unless otherwise indicated by the agency. |  |
| 14. Other costs include items such as long distance telephone, printing, postage etc. |  |

***University Cost Sharing***

Some research grants and contracts require that the University contribute to the total cost of the project. This is not, however, generally true for federal sponsors. It is important for the Principal Investigator to estimate as accurately as possible the entire cost of the project and indicate the cost share borne by the university.

Institutional cost sharing can include both cash and in-kind contributions. Common examples include some percentage of academic year time of one or more of the faculty members involved, and the applicable indirect cost and fringe benefits. Other types of costs often shared are equipment, clerical or technicians' salaries, long distance telephone and office supplies, etc.

Federal funds **cannot** be used as cost shares on other federal grants. Cost sharing is subject to audit and must be substantiated by the same records as for federal expenditures.

Please note: Any cost share or in-kind contributions must be specifically approved by the Associate Provost for Academic Affairs and the unit or department or dean providing the funds *before* a commitment is made to a funding agency. Signatures indicating approval must be on the Extramural Transmittal Form (found at [www.sponsoredresearch.tcu.edu](http://www.sponsoredresearch.tcu.edu)) and approval is not automatic. The faculty or staff member should allow time for obtaining such approval.

***Revised Budget***

Budget revisions needed after an award is made must be processed through the OSR. They may require consultation with the granting agency
or party.

***Sample Budgets***

It is strongly advised that the person preparing the proposal review the budget in draft form with the Director of Sponsored Research and/or Controller before having the budget prepared in final form. Sample and worksheet budgets are available on the research website ([www.sponsoredresearch.tcu.edu](http://www.sponsoredresearch.tcu.edu)).

10. **Endorsements**

An endorsement and/or certification page is generally required by sponsors. Typically, it will carry the signature of an authorized institutional official. If a community agency or another university is involved in the project, the endorsement from a responsible member or officer of the specific agency must be included.

11. **Transmittal Form**

As previously mentioned, TCU requires that research proposals include an **Extramural Transmittal Form**, which is available on the OSR website ([www.sponsoredresearch.tcu.edu](http://www.sponsoredresearch.tcu.edu)). The form must be completed in detail with the required signatures and along with the original proposal budget before it is submitted to the OSR.

**Note: The routing of the Extramural Transmittal Form will soon be accomplished electronically. Please refer to the OSR website for current information.**

*Proposal Review and Approval*

The completed proposal must be reviewed, prior to submission, by (1) the Department Chair, (2) the Dean of the appropriate college/school, (3) the Financial Services Office (Controller), (4) the Director of Sponsored Research, and (5) the Associate Provost for Academic Affairs. Proposals requiring TCU in-kind or cost share require endorsement by the provider of these resources. Adequate time should be allowed for review **(four day minimum.)**

Proposals involving faculty, staff or graduate students from more than one department, college or school must be endorsed by all involved chairs and deans as outlined in the above procedure.

*Submitting the Proposal*

Deadline dates for proposal submission must be strictly adhered to, along with careful planning to insure the timing for the due date in that U.S. time zone is also met. Please allow enough time (at least four working days) for the OSR to officially submit the proposal by the stated deadline. If sufficient time is not allowed, there is the potential that the proposal will not be submitted on time and the grant opportunity will be lost. Additionally, in some cases such as with the National Institutes of Health (NIH – eRA Commons), the National Science Foundation (NSF - Fastlane), and the Norman Hackerman Advanced Research Program (NHARP), researchers will need to request that the Director of Sponsored Research establish researcher accounts in advance of proposal submission.

If the proposal is to be mailed, check the agency guidelines carefully to determine how much time should be allowed for mailing proposals. It is also wise to secure a Post Office receipt with a legible mail date.

*Notification of the Award*

After favorable action on the application, a “Notice of Award” or a similar document is ordinarily issued by the sponsor. Sometimes the award notice is issued directly to the OSR and sometimes it is sent directly to the Principal Investigator and sometimes to both but not always. If the notice is sent directly to the Principal Investigator, do not assume the OSR was informed. Therefore, the OSR requests that Principal Investigators forward all award notices to them for confirmation. Upon receipt of official award documents, the OSR will complete a **Notification of Award** form, which summarizes the terms and conditions of the award, codes the budget, and authorizes the establishment of an account in the Financial Operations Office. Should the award differ from the proposal, approval by the Principal Investigator or Project Director and authorized institutional official is necessary prior to acceptance of the award. A copy of the award notification is forwarded to the Principal Investigator.

Once notification of the award is completed and the budget is established, the Principal Investigator is responsible for *preparing,* *signing* and *submitting* Grant Employment Forms (GEF—formerly called TPR) for themselves and all employees (not students) to be paid on the grant or contract. The GEF is important for auditing purposes and therefore is required by the OSR.

Please note: Unless the GEF is submitted to the OSR, the employees on the grant will not be paid. Therefore, plan accordingly so this paperwork is completed and employees are paid on time. The GEF can be found at the research website [www.sponsoredresearch.tcu.edu](http://www.sponsoredresearch.tcu.edu). If there are questions regarding how to complete the form properly, please call the OSR at x4715.

If payments from the funding sponsor lag sufficiently behind the expenses incurred on the grant, additional expenses may be temporarily suspended. In such rare cases, the Principal Investigator is consulted well in advance before freezing of the grant account.

The University Personnel Policy should be followed when hiring new employees.

*If the Proposal is not Funded*

If the proposal is not awarded, researchers are entitled to know why funding was denied. Some agencies include reviewers' comments with the declination notice and others will provide them when requested by the Principal Investigator. Most agencies permit resubmissions and some even encourage them with proposals have a basically sound idea but may require some revision to the design.

Any commitment of the University to support a program at any level after expiration of the grant or contract period must be cleared in writing with the University administration.

*General Federal Regulations*

The Office of Management and Budget (OMB) publishes three basic documents that TCU abides by:

1. OMB Circular A-21: Cost Principles for Educational Institutions
2. OMB Circular A-110: Uniform Administrative Requirements for Grants and Agreements with Institutions of Higher Education, Hospitals and Other Non-Profit Organizations
3. OMB Circular A-133: Audits of States, Local Governments and Non-Profit Organizations

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his section is included to call your attention to certain policies and procedures that need to be considered prior to or during proposal preparation.

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*Pre-Award*

* **Released Time**

Commitments of faculty time will be permitted if approved in advance by the Department Chair, Dean of the school or college, and Associate Provost for Academic Affairs. In most cases, the grant or contract should fully reimburse the University for the portion of a faculty member’s time that is being released. Summer compensation at the rate of 1/9 of the 9-month contract amount per month is routinely approved, provided that no other employment is assumed during that period.

During the academic year, faculty members teaching fewer than 12 hours per semester are expected to request reimbursement for time allocated to research projects funded by grants or contracts, even though the percentage of time allocated may not call for a further reduction of course load. If approved prior to proposal submission, faculty may request that a portion of the cost recovery be returned to their department for the use of his/her research group. Recovery funds may be used for such things as travel, supplies, publication costs, etc.; however, funds may not be used to pay salaries. Division of recovery funds is as follows: 60% to faculty member; 20% to appropriate Dean, and 20% to the OSR.

* **Use of Controlled Substances**

For certain controlled substances (drugs), specific clearance is needed. If your proposal involves drugs, the OSR should be contacted to ascertain which substances TCU is licensed to purchase and maintain. Clearance for additional substances can take up to six months. All requests for purchases must be delivered to the OSR. Upon receipt of the order, the researcher (not student) must sign for the controlled substance prior to release.

*Post Award*

* **Time and Effort Reporting**

Time and effort reporting is required of all faculty and staff receiving compensation from grant funding. Appropriate forms will be forwarded from the Financial Operations Office to the Principal Investigator who is responsible for seeing that these forms are current, signed, and returned in a timely
manner.

* **Property Management**

The following procedures provide a general guideline for the purchase of equipment with external funding, however, equipment purchases are subject to the terms and conditions of each award and investigators should be aware of the guidelines:

a. Equipment must be approved in the budget.

b. A completed requisition is required for all items of $5,000 or more, and should be forwarded to the Research Property Manager, Chemistry Department, Box 298860.

c. Purchase orders will be issued by the Financial Services Office.

d. Upon satisfactory receipt of equipment, an **Inventory Property Form** must be completed and returned to the Research Property Manager.

The Principal Investigator and the Director of Sponsored Research will ascertain whether the property title is vested with the university or remains with the sponsor.

* **Personnel**

Contact the Human Resources Office for established University procedures concerning hiring personnel to be supported with grant or contract funds.

* **Budget Amendments**

The extent of budget amendments permissions varies widely from sponsor to sponsor and program to program. Certain cost transfers may be accomplished using the established University prior approval system, whereas other cost transfers will involve agency approval. In all cases, authorization to deviate from the award budget must be approved **prior to** the expenditure, **not after the fact**. Consult the OSR on specific issues. Further, unless the grant specifically states support in the budget for them, items not normally considered reimbursable for TCU faculty/staff will not be considered reimbursable from grant monies.

* **Official Records**

The original file on a grant or contract is maintained by the Office of Sponsored Research. The file includes the award budget, approved budget amendments, approved changes in the scope of work, time and effort reports, etc. In general, any deviation in the budget or scope of work must be approved in advance, in writing, and made a part of the official file.

The Financial Operations Office is ultimately accountable for the fiscal reporting to the granting agency and for seeing that no changes are made to a project which is not permitted by the regulations of the granting agency. This office will assist individual investigators on matters involving changes appearing on the statement of account regarding current month and cumulative expenditures by budget category, and regulations to be followed in discharging responsibilities for the proper use of funds.

* **Reporting**

Generally, sponsors require a final, comprehensive report upon completion of a project. Interim reports may be required on multi‑year projects. There is ordinarily a firm due date for final reports, and sponsors expect to receive the report on or before that date.

If, for reasons beyond the Principal Investigator's control, the report will be delayed, a letter should go from the OSR to the sponsor explaining the

reasons for the delay and requesting a time extension. In most cases, no costs can be charged to the project after the expiration date, consequently, if the report is not completed on or before the expiration date, there may be difficulty in paying final costs.

The University cannot receive its final payment under a contract or grant until the sponsor's final report requirements are met. Therefore, undue delay in submission of the final report may cause a financial hardship on the University. There is also a very real possibility that the Principal's Investigator's image with the sponsor could be damaged.

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he Office of Sponsored Research recognizes that the breadth and depth of a university’s research is determined by the talent and energy of its faculty and staff. Therefore, it is our mission to work in partnership with our researchers and students to explore and nurture ideas, to foster inventive projects, and to create a bold research agenda that will expand our strengths.

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This manual is designed to be an electronic reference tool with live links. If questions arise which are not covered in this manual, they will be addressed on a case-by-case basis. Our office is open year around, Monday through Friday, from 8:00 AM – 5:00 PM. Please let us know how we can serve you.

TCU Director of Sponsored Research and Staff

Sadler 1015, TCU Box 297023

817-257-7516

[www.sponsoredresearch.tcu.edu](http://www.sponsoredresearch.tcu.edu)