



# GRANTS @ FSU – OFFICE OF RESEARCH AND SPONSORED PROGRAMS (ORSP)

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## **MISSION OF ORSP**

Our mission is to enhance and facilitate the efforts of faculty, staff and students to develop and achieve their goals in scholarly activity, educational programming, and service delivery through support of internal research programs and successful competition for external funding.



## Promoting Scholarship at FSU

- What does it mean to be a scholar? (Boyer, 1990, 1996)
  - The scholarship of discovery refers to the pursuit of inquiry and investigation in search of new knowledge.
  - The scholarship of integration consists of making connections across disciplines and advancing knowledge through synthesis.
  - The scholarship of application asks how knowledge can be applied to the social issues of the times in a dynamic process that generates and tests new theory and knowledge.
  - The scholarship of teaching includes not only transmitting knowledge, but also transforming and extending it.
  - The scholarship of engagement connects any of the above dimensions of scholarship to the understanding and solving of pressing social, civic, and ethical problems.

Boyer EL. (1990) Scholarship Reconsidered: Priorities of the Professoriate. Princeton, NJ: Carnegie Foundation for the Advancement of Teaching.  
Boyer, EL. (1996). The Scholarship of Engagement. *Journal of Public Outreach*. 1(1): 11-20.



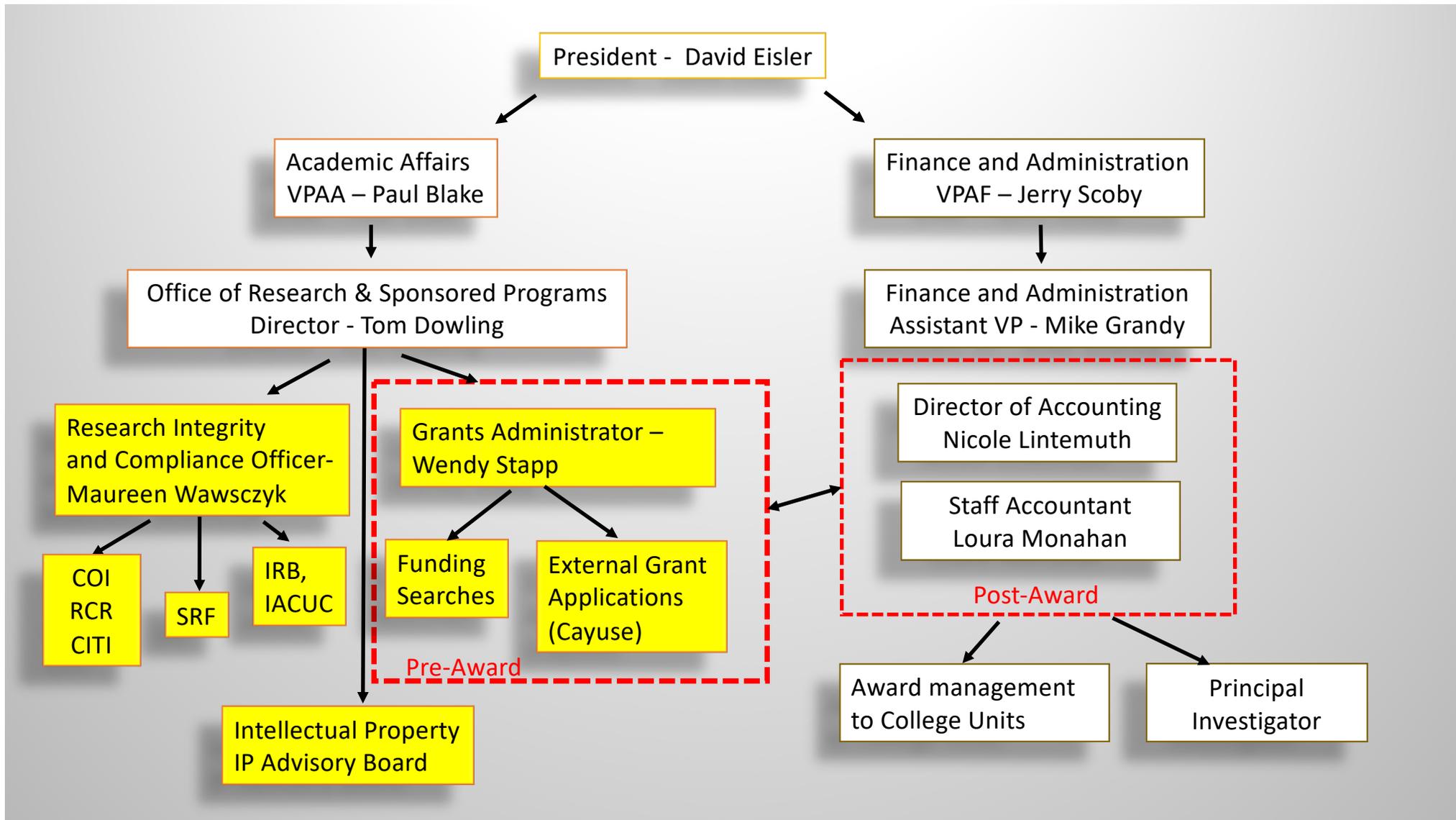
## Promoting Scholarship at FSU

- HLC Accreditation

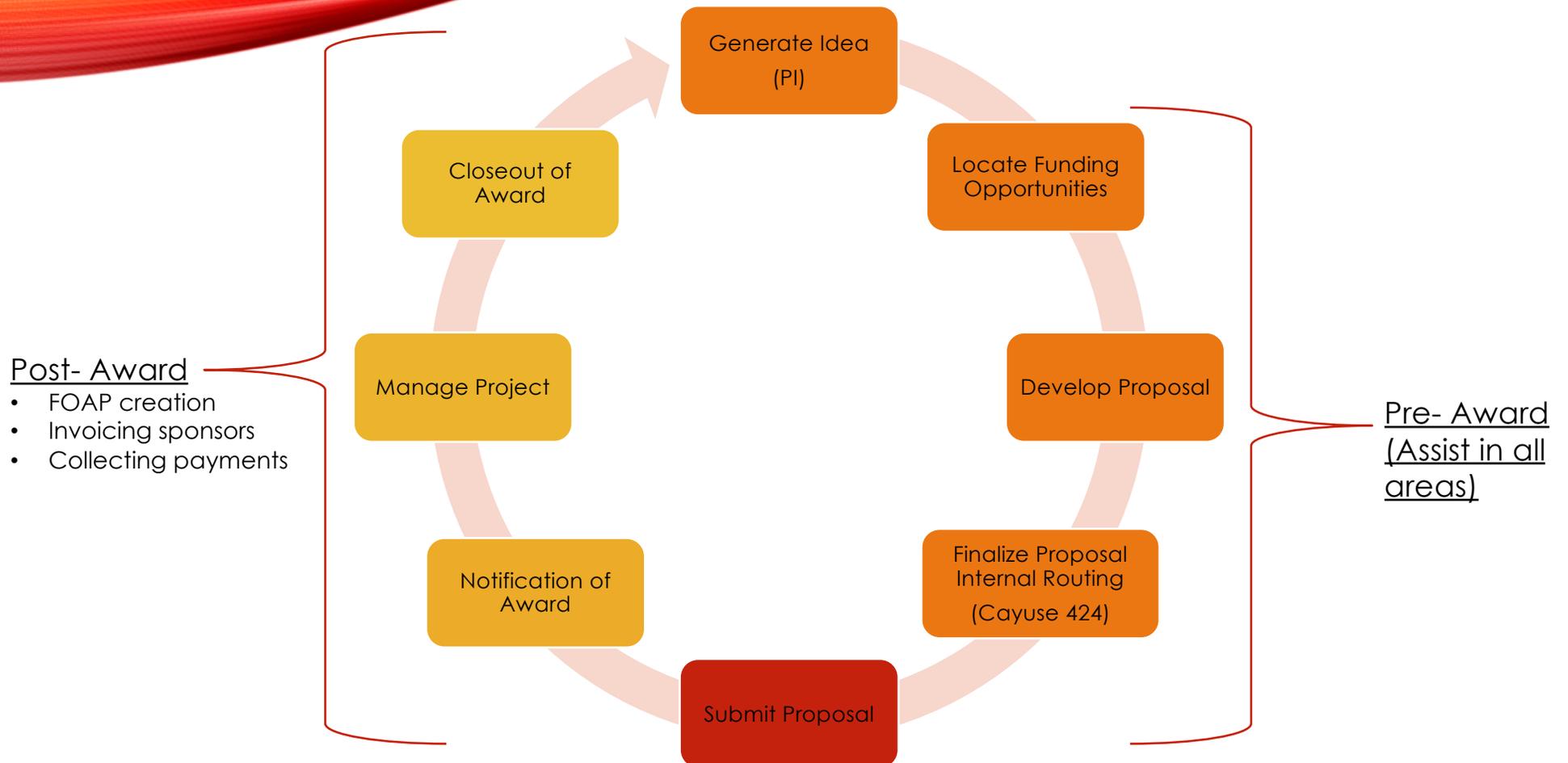
- Criterion 3.B. The institution demonstrates that the exercise of intellectual inquiry and the acquisition, application, and integration of broad learning and skills are integral to its educational programs.

5. The faculty and students contribute to scholarship, creative work, and the discovery of knowledge to the extent appropriate to their programs and the institution's mission.

- Overall Goal: Create a vibrant intellectual learning and discovering community for faculty and students to thrive.



## The Grant Life-Cycle





## What Is a Sponsored Program?

**A research grant, contract, or agreement for sponsored program** is a written agreement representing the voluntary transfer of money or property by a sponsor in exchange for specifically enumerated performance of services, and usually requires formal financial and/or deliverables/effort/performance reporting by the recipient as to the actual use of the money or property awarded. The agreement is enforceable by law, and performance is usually to be accomplished under time and fund-use constraints, with the transfer of support revocable for cause.

**\*Note: Only those authorized by FSU Board of Trustees (President and VPFA)** may approve grant awards and enter into related agreements where the grant award is less than \$500,000 and does not require more than a \$150,000 cash match of University funds. (BOT Policy, Subpart 4-1; Sec. 4-103)

# IS IT A GIFT OR A GRANT?

These factors normally indicate a GIFT	These factors normally indicate a SPONSORED PROGRAM (GRANT/AWARD)
Use of the funds is directly related to the University's mission	A line-item budget for the expenditure of funds for the project Activity
The donor receives no value, or only nominal value, in exchange for the support provided	A detailed statement of the planned Activity or scope of work
No detailed scope of work, budget, or period of performance is specified by the donor or promised by the University (the general area of work to be supported may be specified)	A specified period of performance as a <b><u>term and condition</u></b>
There is no line-item budget, nor any restriction on the use of funds (as long as the use is consistent with the donor's original, accepted, stipulations)	A commitment by FSU to provide "deliverables" (e.g., products, or periodic technical or progress reports)
There is no requirement to return unexpended funds to the donor	Fiscal accountability, such as submission of financial reports, audit provisions, sponsor prior approval of or control over expenditures, and/or an obligation to return unexpended funds
Managed by FSU Advancement Team (on behalf of FSU Foundation)	Obligation to convey rights to tangible or intangible property resulting from the project (equipment, data, technical reports, copyrightable or patentable materials)

<https://research.fas.harvard.edu/policies/gift-vs-grant>



# COMMON PROPOSAL QUESTIONS

There are 6 basic questions that a PI should answer, no matter the type of funding agency or type of proposal:

1. What do you want to do?
2. Why do you want to do it?
3. How do you plan to do it?
4. How will you know if you succeed?
5. How much will it cost to do it?
6. What benefits could accrue if the project is successful?



# TYPES OF PROPOSALS

- Concept/White Paper
  - 2-4 pages, high level
  - May be reviewed
- Letter of Intent/Inquiry
  - May be a proposal for some foundations
  - May be required
  - May be reviewed
- Pre-proposal/Preliminary
  - Up to 5 pages (varies by agency)
  - May be reviewed
  - May be invited to submit
- Full proposal
  - 3-50 pages, up to 100
  - Forms and budgets
  - Attachments
  - Specific format
- Unsolicited Proposal
- Contract/Solicited Proposal
- Subcontract
- Collaborative proposal
- Cooperative Agreement
- Fellowship



# PROPOSAL DEADLINES

- Sponsor Deadlines
  - Usually firm – rare (if any) exceptions for late submission
  - Watch timing (ie, close of business 5 pm, time zones)
  - Open window (has end date)
- ORSP Deadlines
  - At least 30 days prior to sponsor deadline – contact ORSP to indicate interest in applying for external grant, RFA
  - At least 5 days prior to sponsor deadline – begin routing application in Cayuse
  - Following FSU approvals and prior to deadline: ORSP will submit proposal (S2S) to sponsor, or PI will submit if applicable

# PROPOSAL COMPONENTS/ RESPONSIBILITY

Common Heading	Who Completes	Answers the Question
Cover Sheet	ORSP/PI	Who are we?
Table of Contents	PI	What's in the proposal?
Abstract	PI	What's the big picture?
Problem Statement	PI	Why should we do this now?
Goals/Aims	PI	What are we trying to accomplish?
Measurable Objectives	PI	What will be different?
Procedures	PI	What exactly are we going to do and when?
Evaluation	PI	How will we know if our idea works?
Dissemination	PI	Who else will benefit? How will we share data?
Facilities/Equipment	PI	Do we have the necessary tools/resources/capacity?
Personnel	PI	Who will do the work? Are they qualified?
Budget & Narrative	ORSP/PI	How much will it cost?
Biographical Sketch/Current & Pending	PI	Who are the players? What is their availability and research support?
References	PI	Whose work are you building on?
Appendices	PI/ORSP	What else do the funders need to make a decision?



# GRANT BUDGETS/BUDGETING



# GRANT BUDGETS

- Funds requested for a specific project over a specific time frame
- Allowable costs are determined by Sponsor/RFA
- Total Costs = Direct Costs + Indirect Costs



# DIRECT COSTS

- Direct costs are identified specifically with particular cost objectives such as a grant, contract, project, function or activity. Direct costs generally include:
  - Salaries and wages (as % FTE or effort)
  - Employee fringe benefits
  - Consultant services contracted to accomplish specific grant/contract objectives
  - Travel
  - Materials, supplies and equipment purchased directly for use on a specific grant or contract



## INDIRECT (F&A) COSTS

- **Indirect (or facilities and administrative) costs** represent the expenses of doing business that are not readily identified with a particular grant, contract, project function or activity, but are necessary for the general operation of the organization and the conduct of activities it performs. In theory, costs like utilities, operations, capital depreciation, administrative personnel would ideally be measured for each project, but this is not practical!
- Therefore, indirect cost rates (%) are used to distribute those costs to those involved in carrying out the grant or contract.



## FEDERAL REGULATIONS ON INDIRECT (F&A) COSTS

- The rules under which the federal government reimburses universities like FSU for the costs of sponsored research are governed by 2 CFR Part 200 **“Uniform Guidance”** from the Office of Management and Budget.
- The principles apply to “grants, contracts and other agreements” and “are designed to provide that the Federal Government bear its **fair share** of total costs.” A different set of rules applies to for-profit companies.

2 CFR Part 200: <https://www.ecfr.gov/cgi-bin/text-idx?node=2:1.1.2.2.1>



## CALCULATING INDIRECT (F&A) COSTS

- Indirect costs must be calculated using the cost base defined in the organization's negotiated indirect cost rate allowance (NICRA).
- The cost base formula will result in the calculation of the modified total direct cost (MTDC) which will then be multiplied by the negotiated indirect cost rate.

$$\text{INDIRECT COSTS} = \text{DIRECT COSTS (MTDC)} * \text{NICRA}$$

$$\text{TOTAL COSTS} = \text{DIRECT} + \text{INDIRECT COSTS}$$

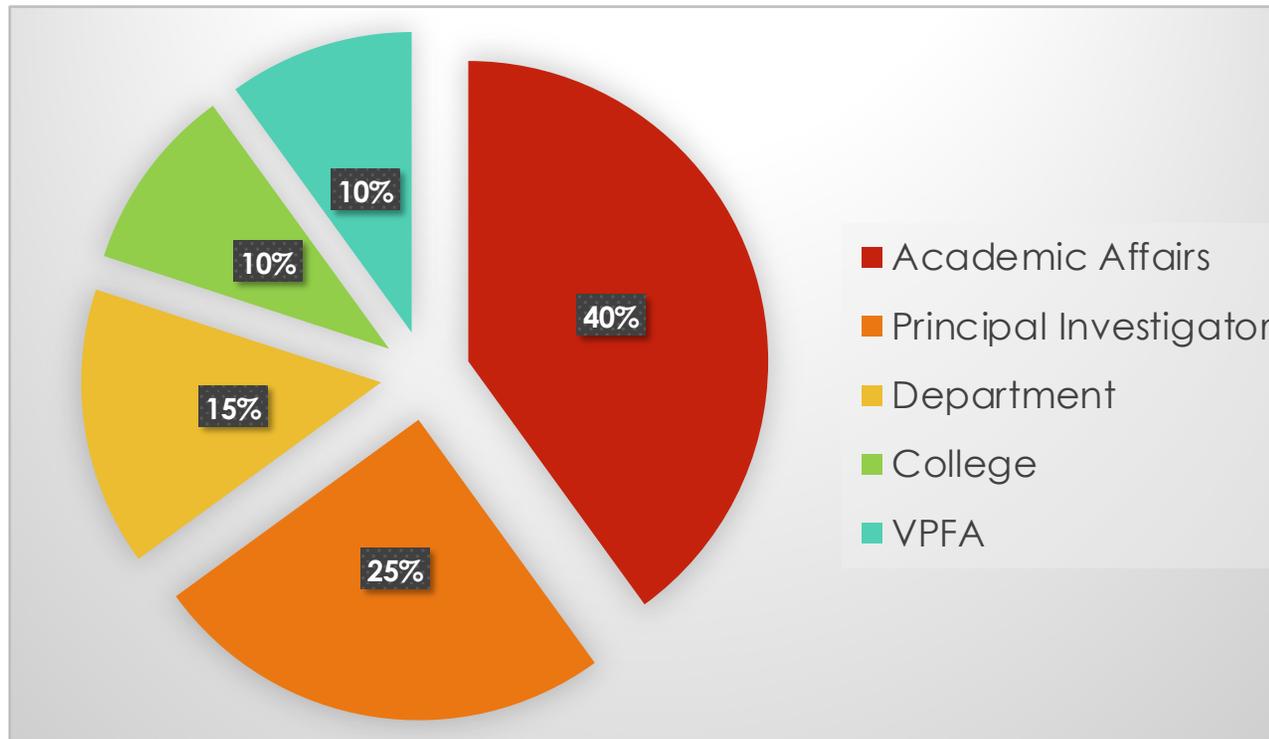
MTDC = project direct costs excluding cost items as identified in the entity's NICRA (base definition)

# EXAMPLE: CALCULATING INDIRECT (F&A) COSTS

Salaries	\$ 50,000.00
Fringe @ 20%	10,000.00
Equipment	4,250.00
Contractual	5,000.00
Supplies	500.00
Travel	250.00
Other	1,000.00
<b>Indirect (30% MTDC)</b>	<b>20,025.00</b>
<b>Total Budget</b>	<b>\$86,775.00</b>

Base	MTDC	Rate	Indirect Costs
Salaries, Fringe, Contractual, Supplies, Travel and Other	\$66,750 x	30% =	\$20,025

# ALLOCATION OF INDIRECT COST AT FSU





# ROUTING GRANT APPLICATION FOR APPROVALS (CAYUSE)

- Sequential Approvals in the “Routing Chain”:
  - Faculty / Principal Investigator
  - Department Chair
  - College Dean
  - Grant Administrator
  - Director of ORSP\*

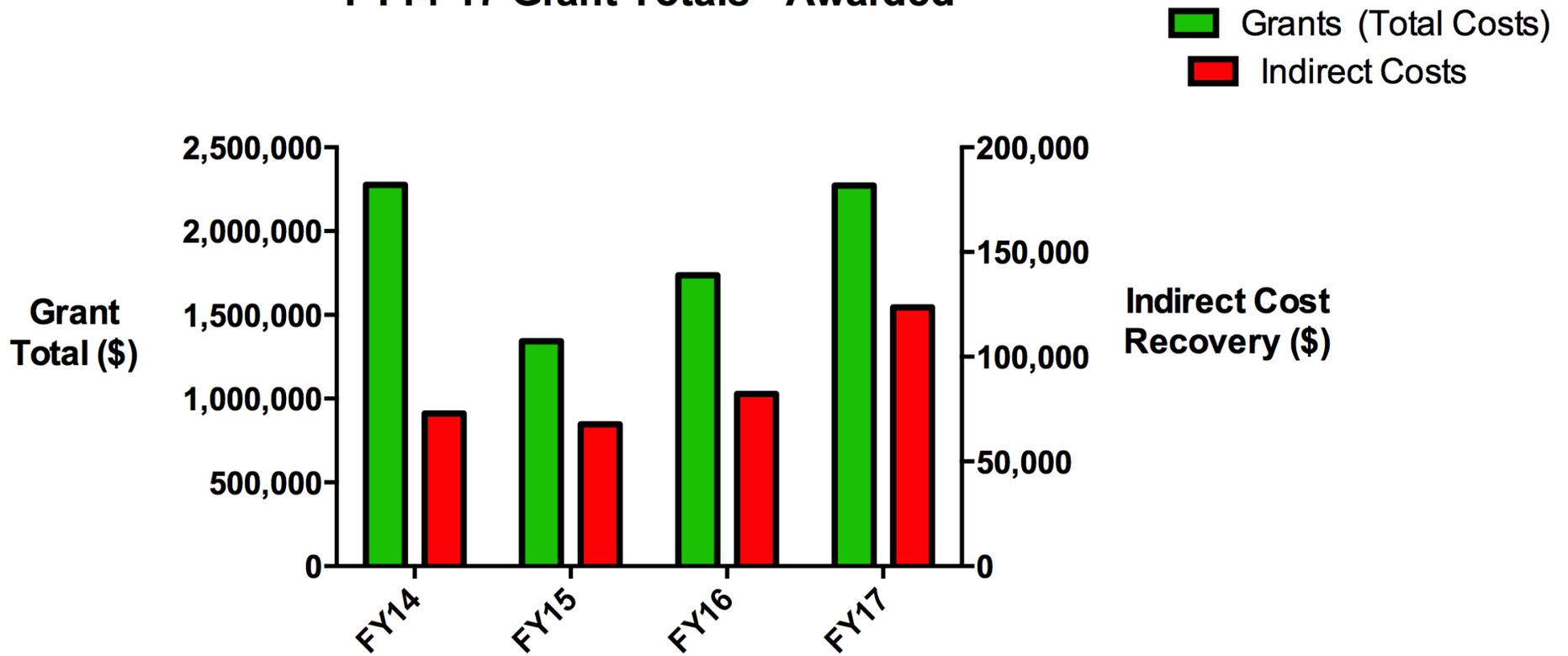
\* For grants > \$250,000, requires VPFA approval

# POST-AWARD

- We received the “Notice of Grant Award” – Now What?



### FY14-17 Grant Totals - Awarded





# PI (FACULTY/STAFF) RESPONSIBILITIES

- **Contact** ORSP Grant Administrator, Wendy Stapp
- **Conduct** the project as described in proposal and follow the regulations related to the grant
- **Submit** time and effort reports
- **Ensure** that expenditures are consistent with approved budget
  - All invoices must be prepared and sent to Laura Monahan/Accounting
- **Follow** FSU policies and procedures in the completion of the grant (i.e. purchasing, travel, conflict of interest, employment, etc.)
- **Review** grant expenditures on a monthly basis during the award period
- **Provide** status updates to Dept.Chair/Dean's Office/College Accounting



## POST-AWARD – ACCOUNTING RESPONSIBILITIES

- **Create** new FOAP for grant upon acceptance of award by VPAF
- **Submit** invoices to the Sponsor in accordance with Grant terms and conditions
- **Receive** time and effort reporting certifications
- **Receive** funds from Sponsor and deposit into grant FOAP



# RESEARCH INTEGRITY AND COMPLIANCE (HUMAN AND ANIMAL RESEARCH)

## Overall Responsibilities:

- **Ensures** research projects are conducted ethically and in accordance with Federal & State regulations
- Including:
  - Responsible Conduct of Research (RCR)
  - Disclosure of financial conflicts of interest and meeting reporting requirements
  - Ensures IRB and IACUC requirements (including CITI training)

# QUESTIONS



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