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PARK
UNIVERSITY

**DIRECTIONS FOR OBTAINING, COMPLETING AND
SUBMITTING**

PRE-PROPOSAL REVIEW FORMS

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Introduction: The Pre-Proposal Review Form

The following document will assist Park University faculty and staff in completing the *Pre-Proposal Review Form (Pre-Proposal)*. This form is a critical component of procedures currently under development by the newly established Office of Sponsored Programs (OSP). The purpose of these new procedures is to assist Park faculty and staff in the successful pursuit of external funding to support both the accomplishment of institutional objectives and the advancement of individual research and professional development agendas. In preparing this document, pains were taken to not only assist a potential grant¹ applicant to determine **what** information is being requested, but also to explain **why** it was being requested and **how** it would be used.

All Park employees interested in submitting an application for external public funding² must complete and submit a *Pre-Proposal* to the OSP. This form has four primary purposes: 1) to provide the OSP critical information to more effectively assist you in your pursuit of external funds; 2) to inform your colleagues of your intent to develop and submit a grant application/proposal; 3) to determine if the necessary institutional support and resources would be available to successfully implement your grant, if funded; and 4) to ensure that all efforts to obtain external funding support the University's Vision³, Mission⁴ and Institutional Objectives. A one-page summary of the procedures for processing grants applications at Park University and a copy of the *Pre-Proposal* may be found in Appendix A and Appendix B, respectively.

A. Obtaining a Copy of the Pre-Proposal Review Form

An electronic copy of the form is (will be) available on the OSP website (www.park.edu/osp). If the Applicant prefers, he/she may obtain a hard copy of the form in the OSP, Room 303 Science Hall.

B. Completing the Pre-Proposal Review Form: Required Information

The information provided on the *Pre-Proposal* is a good-faith estimate by the person completing the information that will be contained in the final grant application or proposal. In most instances, some of the information contained in the *Pre-Proposal* will vary from the information contained in the final grant application.

Please provide all information requested on the *Pre-Proposal Review Form*.

¹ The terms *grant(s)* and *sponsored program(s)* will be used interchangeably in this document.

² Under most circumstances, applications for private funding, e.g., corporate and foundation, will be processed through the Office of University Advancement.

³ Park University's Vision Statement: *Park University will be a renowned international leader in providing innovative educational opportunities for learners within the global society.*

⁴ Park University's Mission Statement: *The mission of Park University, an entrepreneurial institution of learning, is to provide access to academic excellence which will prepare learners to think critically, communicate effectively and engage in lifelong learning while serving a global community.*

1. Applicant's Name, Signature and Department/Office (Item # 1)

The Applicant is the person who prepares, and assumes responsibility for, the completion and submission of both the *Pre-Proposal* and the grant application. The Applicant must sign and date the *Pre-Proposal*. Provide your name, and then sign and date *Item # 1*. If the Applicant is a member of the faculty, he/she should provide the name of their academic department, e.g., English, Nursing, or Business Administration. If the Applicant is a non-faculty employee of the University, he/she should provide the name of their office or functional unit, e.g., the Office of Admissions, Human Resources, or the Professional Development Institute.

2. Name of Grant Director/Principal Investigator (Item # 2)

In most instances, the Grant Director/Principal Investigator (PI) and the Applicant will be the same person. The Grant Director is the person who assumes programmatic and fiscal responsibility for the administration of a grant, including the preparation of all grantor and university required reports. By convention, the term Principal Investigator identifies the director of a research grant. If the Grant Director/PI of the proposed grant is someone other than the Applicant, i.e., the person preparing the grant proposal and completing the *Pre-Proposal*, that individual should provide his/her name and then sign and date *Item # 2*. If the Applicant and the Grant Director/PI are the same person, leave *Item # 2* blank and proceed to *Item # 3*. If the Grant Director/PI is someone other than the Applicant, he/she should provide the name of their academic department, e.g., English, Nursing, or Business Administration. If the Grant Director/PI is a non-faculty employee of the University, he/she should provide the name of their office or their functional unit, e.g., the Office of Admissions, Human Resources, or the Professional Development Institute.

3. Funding Agency/Grantor⁵ (Item # 3)

Provide the complete name of the entity that will receive and fund the final grant application. Be as specific as possible. For example, International Education Program Services in the U.S. Department of Education's Offices of Post Secondary awards International Research and Studies Program grants.

4. Grant Name & Number (Item# 4)

Provide the official name and identification number assigned by the grantor to the grant for which you are applying, if one has been provided. All federal grants are identified by name and number in the *Catalog of Federal Domestic Assistance* (CFDA).⁶ For example, if one has been provided, the number assigned to the International Research and Studies Program

⁵ The term grantor references the entity awarding a grant. The recipient of a grant is identified as the grantee. For example, if the U.S. Department of Education awarded Park an International Research and Study Grant, Park would be the grantee, and the Department of Education would be the grantor.

⁶ The searchable version of the *Catalog of Federal Domestic Assistance* is available online at <http://12.46.245.173/cfda/cfda.html>.

Grant is 84.0174. A Request for Proposal (RFP) and application packet/instructions for most federal grants, along with grant announcements published in the *Federal Register*, use the nomenclature of the *CFDA* and provide the *CFDA* number. Both public/government and private auditors use *CFDA* numbers to identify specific grants. Non-federal grants may not have an identification number. When completing *Item # 4*, provide the grantor's official name for the grant program that would fund your grant and the identification number provided by the grantor, if provided.

5. Project Title (Item # 5)

Most grantors will ask you to provide a name, or title, that will uniquely identify your project. Although you may select any title you choose, many people prefer easily remembered names that tell something about their project. For example, *Learning Through Doing* is a possible name for a proposal to increase student retention by incorporating a service-learning component into an existing curriculum. Some individuals prefer a project title that easily lends itself to an acronym, i.e., *LTD*; however, this should not be a concern. The use of professional and/or academic jargon is strongly discouraged. Do not expend a lot of time or energy developing a project title. Although often required, it will neither win nor cost you a grant.

6. Due Date (Item # 6)

The due date is the proposal submission deadline established by the grantor. The due date for hard copy proposals will be either a delivery date or a postmark date. Most grant application packets or RFPs prominently display a submission deadline. Keep in mind that all proposals must be submitted to grantors/funding agencies by the Park University OSP and that completed proposals must be submitted by the Applicant to the Park University OSP a minimum of five (5) days prior to a grant's deadline for submission, i.e., the due date. Due dates or submission deadlines are frequently placed on the cover page of application packets.

All hard copy proposals will be submitted via registered mail, or through a commercial carrier such as FedEx, thus insuring proof of submission. For security reasons, federal agencies will not accept parcels delivered by the Postal Service. When completing *Item # 6*, provide your proposal's due date and check the appropriate square indicating whether the date is a postmark or a due date.

A. Postmark

If the grantor uses a postmark as a due date, your proposal must be sent to the funding agency on or before the due date, or submission deadline. If a postmark is used, the date when the funding agency actually receives your proposal is essentially irrelevant. Postmarks relate to the submission of hardcopy proposals only.

B. Delivery

A delivery date means that the grantor must have actually received your proposal on or before the submission deadline. Unless specified in the grantor's guidelines, assume that your proposal must arrive at the funding agency by the close of their workday. Funding agencies will use time in their time zone, e.g. grantors located in Washington, D.C, will use Eastern Standard Time, not Central.

A delivery date is more common than a Postmark. Although the OSP will do everything within reason to ensure the submission of all proposals on a timely basis, the Applicant must be conscious of the due date of their respective proposal and plan accordingly. Applicants must assume that failure to meet the grantor's submission deadline will result in the grantor's automatic rejection of their proposal.

7. Electronic Submission (Item # 7)

Essentially all Federal, and an increasing number of State, sub-state, and private funding agencies require the electronic submission of grant proposals. Many funding agencies no longer accept hard copy proposals.

As with hard copy proposals, the OSP must review, approve, and submit all electronic proposals. Depending on the system used by the funding agency, the Applicant must either send an electronic version of their completed proposal to the OSP, or authorize OSP's online access to their proposal, five (5) working days prior the proposal's submission date. This is to allow adequate time to review, modify, if necessary, and submit your proposal. The OSP will provide the Applicant confirmation of the submission of their proposal.

8. Proposal Start and End Dates (Item # 8)

Provide the dates you anticipate your grant will begin and end. Grants may range in length from one day, e.g., a grant to support the presentation of a workshop, to several years. U.S. Department of Education's Strengthening Institutions Grants, commonly known as Title III grants, are awarded for a period of five years. Federal grants frequently begin on October 1 and end on September 30, while State grants commonly begin on July 1 and end on June 30, respectively the beginning and ending dates of the federal and state fiscal years. The dates you provide are only estimates. In most instances, the official starting and ending date for your sponsored program will be established by the grantor and will be included in the award notice, i.e., the official document the University will receive from the grantor announcing that your proposal has been funded and authorizing the expenditure of grant funds. Possible starting and ending dates for a proposed three-year grant might be 10/01/06 and 09/31/09. When completing *Item # 8*, provide the dates you anticipate beginning and ending your sponsored project.

9. Grant Type / General Information (Item # 9)

Please check all boxes that apply to your proposal.

A. Federal & State

Although much of the grant funding made available by the State is federal in origin, if the funds are administered by the State and the RFP or the grant is issued by the State, the grant should be considered a State grant when completing the *Pre-Proposal*.

B. Local

Check “Local” if the grantor is any sub-state unit of government, and specifically identify the local governmental entity. Sub-state units of government include such entities as cities, counties, public community colleges, townships, and local school districts.

C. Private

Private sponsors include for-profit and not-for-profit corporations, faith and community based organizations, foundations and individuals. Under some circumstances, applications for private funding will be processed through University Advancement, while applications for public, or government, funding will be processed by OSP. If the *Pre-Proposal* identifies a private sponsor, the OSP will consult with University Advancement staff to determine which University office, i.e., Sponsored Programs or Advancement, will assist the Applicant in the development and processing of their proposal. Once a determination has been made, OSP will contact the Applicant.

D. New Submission

Check *New Submission*, if the University does not currently hold the grant you are applying for, or if you are developing a new application for a currently held grant that is scheduled to terminate.

E. Renewal/Continuation

Check *Renewal/Continuation*, if the University currently holds the grant, and you are developing a continuation application, i.e., applying for subsequent year funding for a multi-year grant. Normally, only the funding for the first year of a multi-year grant is guaranteed. Subsequent year funding is contingent on the successful completion and documentation of previous year activities and the submission of a continuation proposal. Although required for continued funding, these applications are normally not competitive.

10. Human and Animal Subjects (Item # 10)

Many grant applications will require compliance with federal, state, local, or granting agency requirements, commonly referred to as *assurances*. Most grantor-required assurances are institutional in scope and deal with such matters as a drug free workplace, lobbying, disbarment, handicapped accessibility and human/civil rights. Insuring

compliance with these assurances is the responsibility of the OSP. Other grant/project specific assurances, such as those pertaining to the protection of human and animal subjects, are the responsibility of the Grant Director/PI.

The issue of compliance is of particular concern for grant applications seeking external support for research. In most cases, the research cannot begin without such compliance assurances. Therefore, beginning the process of obtaining compliance assurances at the time you begin developing your grant application is strongly encouraged. Waiting to obtain compliance assurances may significantly delay a PI's ability to begin a sponsored research project.

A. Human Subjects

All use of human subjects, including the use of any surveys, questionnaires, and interviews, even with data previously obtained from human subjects, must receive approval from Park University's Institutional Review Board (IRB) for the use of human subjects in research, no matter the source of funding. **No research involving any use of human subjects can begin prior to IRB approval of the research protocol.**

If your proposed research will directly or indirectly involve human subjects, mark *Yes* when asked *Will your grant involve the use of human subjects*. If your proposed research will involve human subjects, and you have not already done so at the time you are completing the *Pre-Proposal*, the OSP strongly encourages you to contact the IRB as soon as possible. Dr. Dennis D. Kerkman, a member of the psychology faculty, chairs Park's IRB. Dr. Kerkman's office is located in 223 Mabee (Academic Underground). He may be contacted by telephone at 816-584-6502, or by e-mail at dennis.kerkman@park.edu. Additional information about regulations governing research involving human subjects may be found on the Park IRB website at <http://captain.park.edu/irb/>. Park's IRB is registered with the U.S. Department of Health and Human Services, Office for Human Research Protections (OHRP).

B. Animal Subjects

In order to comply with federal law, all research, testing or instructional projects involving the use of live vertebrate animals must receive approval by an Institutional Animal Care and Use Committee (IACUC). The intent of Congress is to guarantee the "humane treatment and judicious use" of vertebrate animals. Please mark *Yes*, if your proposed grant involves using live vertebrate animals. If your proposed project involves no animals, or invertebrate or non-living animals, mark *No*.

Although Park University does not currently have an approved Institutional Animal Care and Use Committee, you should still report your intent to engage in any activity involving live vertebrate animals to the OSP. Initiating any research, testing or instructional projects involving the use of live vertebrate animals without obtaining prior institutional approval could constitute a violation of federal law. Please direct any questions involving animal subjects to the OSP.

11. Total Amount of Request/Award (Item # 11)

If you are requesting funding to support a multi-year project, the *Total Amount of Request/Award* would be the sum of the funding requested for each individual year of your proposed sponsored project. Although you may receive a grant covering a period of several years, funds are normally allocated on an annual basis. Authorization to expend first year funding is normally contained in the original award notice issued by the Grantor. Authorization to expend second year funding will be dependent on the successful accomplishment of first year goals, objectives and benchmarks that you established in your proposal and the successful and appropriate expenditure of all approved funds. Grantors frequently use year-end performance reports prepared by the Grant Director/PI to verify the accomplishment of prior year programmatic goals. Most granting agencies rely on financial reports prepared by the University and reports prepared by independent auditors to verify the appropriate expenditure of funds. Subsequent year funding is dependent on the grantor's acceptance of these programmatic and fiscal reports. However, all grantors also reserve the right to conduct on-site programmatic and financial reviews at their discretion.

You will normally be required to prepare a discreet budget for each year of a multi-year grant in addition to a cumulative, or summary, budget for the entire grant period. For example, you may apply for a three-year grant worth a total of \$225,000 that includes first year funding of \$50,000, second year funding of \$75,000 and third year funding of \$100,000. This grant will probably require the preparation of four budgets, a year one budget with line items equaling \$50,000, a year two budget equaling \$75,000, year three budget equaling \$100,000, and a cumulative budget equaling \$250,000. When preparing grant budgets, the total amount requested must always equal the sum of the total amount requested for each individual year of the grant. Most grant budgets will consist of two parts, a traditional line item budget and a budget justification or narrative. The **line item budget** frequently involves filling out a form that identifies traditional cost categories, such as salaries and wages, fringe benefits, travel, equipment and supplies. The **budget narrative** mirrors the line item budget and provides you an opportunity to explain how you arrived at the figures you included in your line item budget. In other words, a budget narrative allows an opportunity to provide a rationale for your requests. This is particularly important if your request includes items out of the ordinary, e.g. a rare or unusually expensive piece of equipment. The preparation of grant budgets is a relatively simple and straightforward process, as long as you are familiar with the grantor's guidelines. The successful budget must satisfy two basic criteria. It must be technically **accurate** and **reasonable**, i.e., necessary to accomplish the goals and objectives you established in your proposal.

You need not have developed a final and detailed budget to complete and submit a *Pre-Proposal*. However, you must know the size of the awards supported by the grant program you are applying for, have a clear understanding of what you propose to do if you receive the grant, and have an informed opinion about how much it will cost. The litmus test for all grant budgets is reasonableness. The OSP will provide the necessary technical assistance to ensure the development of responsive, technically correct, and fundable budgets. If you anticipate applying for a multi-year grant, provide the amount of funding you anticipate requesting for each individual year covered by the grant and the total amount of funding

you anticipate requesting for the entire grant period in *Item # 11*. If your grant consists of only one funding period, you need only provide the *Total Amount of Request/Award*.

12. Cost Sharing or Match Requirement (*Item # 12*)

Cost sharing or matching represent costs contributed by the University or third parties to externally funded, i.e., sponsored, programs. For the purpose of this document, cost sharing and matching are synonymous. External sponsors may require the University (and/or third parties) to provide and document cost sharing in order to be eligible for funding for research, training and public service programs. Cost sharing or match may be provided as cash or in-kind contributions or a combination of the two.

The University encourages faculty and staff members to pursue external funding for research, training, and public service projects because these activities are part of the University's mission. Unfortunately, the University does not generally have funds available to provide substantial support for these activities. As a result, faculty and staff are encouraged to pursue programs and external funding opportunities that offer full recovery of project costs with a minimum of cost sharing.

The level and sources of cost sharing in proposal budgets and budget justifications must be clearly labeled. The sources of all cost sharing must also be identified on the *Pre-Proposal Review Form* and be specifically approved by the Chair and Dean or supervisor and area administrator providing the funds.

Once included in an awarded grant, match must be provided and will be held to the same accounting standards as the actual grant funds. The failure to expend and/or adequately document the provision of match will be interpreted as a failure to meet the basic terms of the grant by grantors and auditors, and may be cited as an audit exception resulting in otherwise legitimate costs being disallowed. If you include **voluntary** cost sharing in your proposal, the sponsor has the right to require that level of support when an award results from your proposal. For example, if you include \$50,000 in cost sharing as institutional match for a \$100,000 grant that has no cost-sharing requirement, you will be required to document the expenditure of \$150,000. If you fail to do so, the funding agency may require the University to pay back all or part of the original \$100,000 grant award, even though the funds may have been properly expended. Unless specifically required by the sponsor, including voluntary cost sharing in a grant proposal will not improve your chances of being funded, but it will significantly increase your administrative burden as the Grant Director/PI and expose the University to unnecessary financial risk. Therefore, **institutional match should not be included in a proposal unless specifically required by the grantor.**

The Grantor will specify the form or type of cost sharing that must be provided. Cost sharing may be provided as cash, in-kind, or a combination of the two. When completing *Items # 12*, check *Yes*, if you are requesting cost sharing. Check *No*, if your final proposal will not include cost sharing. If you are requesting cost sharing, check the appropriate box to indicate if requested cost share is required by the grantor. If you choose to include cost sharing in your proposal even though not required by the Grantor, you must attach a one-

page rational justifying your actions. If you checked *No*, i.e., you are not requesting cost sharing, you may leave the balance of the *Item # 12* blank and proceed to *Item # 13*.

A **Third Party Provider** is any entity other than Park that provides cost sharing for a University administered sponsored program. For example, if your application includes a partnership with XYZ Corporation, an area business, and they were providing the required match, XYZ would be a Third Party Provider. If your proposal includes Third Party provided match, you must obtain and provide the OSP a binding letter of commitment signed by an authorized representative of the organization providing the match. The letter must specifically identify the program/grant proposal being supported and the form and value of the commitment. These letters should be included in proposals. Third Party Providers must confirm their contributions before the University⁷ will accept a grant award. If your grant will be partially sponsored by a Third Party Provider, respond to the question *Will all or part of the match be provided by a third party* by checking *Yes* and supply the provider(s)'s name. If more than one Third Party will be providing support, i.e., match, supply the name of each. A signed letter of commitment must be obtained from each Third Party Provider. If your proposal does not contain Third Party match, check *No* and proceed to *12.A. Cash*.

A. Cash

Cash contributions can be documented by the financial records of the University. In most instances, grant funds may not be used to match grant funds. Unless specifically authorized by the funding agency, federal funds may not be used as match in a federal grant. When completing *Item 12. A. Cash*, check *Yes*, if you will be asking the University or a Third Party to provide cash match, give the total amount of cash you will be requesting, and identify its source, i.e., where the money will come from. If the grant is for a period exceeding one year, provide the amount of money you anticipate requesting for each year of the grant. The sum of the annual amounts of funding you are requesting should equal *the amount of cash requested* you provided above.

B. In-Kind

All forms of non-cash match, i.e., in-kind, must be fully documented and will be audited. Failure to adequately document in-kind match will result in an audit exception and possible disallowed costs. In-kind cost sharing is usually for volunteer services or the valuation determined by third parties for personal services, materials, supplies, copying, equipment, buildings, and land. When completing *Item 12.B. In-Kind*, check *Yes*, if you will be asking the University or a Third party to provide in-kind match, give the total value of the in-kind you will be requesting, and identify its source, i.e., where the in-kind match come from. If the grant is for a period exceeding one year, provide the value of the in-kind you anticipate requesting for each year of the grant. The sum of

⁷ Only the University may submit or receive grants. The Office of Sponsored Programs, when submitting a grant application, or accepting a grant award, is acting as the University's authorized representative. The submission of a grant proposal does not obligate the University to accept a grant award resulting from that proposal. In other words, the University may refuse to accept any grant award.

the annual amounts of in-kind you are requesting should equal *the amount of in-kind proposed* you provided above.

13. Indirect Cost (Item # 13)

Indirect costs, also known as Facilities and Administration Costs (F&A Cost), are costs an organization incurs for common or joint objectives, which cannot be readily and specifically identified with a particular grant project or other institutional activity. Typical indirect costs include the costs of operating and maintaining facilities, equipment, and grounds; depreciation or use allowances; and administrative salaries and supplies. These costs are usually charged to the grant as a percentage of some or all of the direct cost items in the applicant's budget. This percentage is called the **indirect cost rate**.

Based on Federal regulations, the University sends the Federal government detailed reports of F&A costs. This information is the basis for the rates used on externally funded projects in an effort to recover the full costs associated with grant-funded projects. Indirect costs are most frequently associated with research grants. Many non-research grants do not allow indirect costs or allow it at a fixed rate frequently in a range between 5% and 10%. For example, the indirect cost rate allowed by U.S. Department of Education for training grants is 8% of a grant's modified direct costs.⁸

Direct costs such as salaries, supplies, and equipment are relatively easy to identify, but costs associated with the use of facilities and administration are more difficult to quantify. The federal government negotiates facilities and administrative cost rates (F&A rates), with the University. Once a rate has been negotiated and approved by the federal government, it is normally accepted by other federal agencies allowing non-fixed indirect cost reimbursement.

Faculty are encouraged to request the maximum allowable amount of indirect costs. When indirect costs are not allowed, faculty are encouraged to recover institutional administrative costs in other ways such as budgeting for a portion of support necessary to ensure the proper financial management of your grant. State and local governments normally do not allow indirect costs. The OSP will assist you in developing a budget that maximizes the resources available to your project while minimizing the use of University resources to support its administration.

⁸ For purposes of calculating indirect cost for a training grant, the U.S. Education Department General Administration Regulations (EDGAR §75.562c) defines a modified total direct cost base as: *total direct costs less stipends, tuition and related fees, and capital expenditures of \$5,000 or more.* OMB Circular A-110-Section 2(1) further defines *equipment as tangible nonexpendable personal property including exempt property charged directly to the award having a useful life of more than one year and an acquisition cost of \$5,000.00 or more per unit. As described above, equipment is normally excluded from the modified cost base used to calculate indirect costs for federally funded training grants.*

When completing *Item # 13*, check *Yes* if the grantor pays indirect costs. Check *No*, if they do not. If you plan to claim the maximum allowable amount of indirect cost, check *Yes*. If you plan to claim anything less than the maximum amount allowable, check *No* and attach a one-page rationale explaining your reason. Finally, provide the total amount of indirect cost you anticipate claiming.

14. Personnel (*Item # 14*)

All personnel costs charged against a grant must be necessary, reasonable, and sustainable. Necessary means that your project cannot be successfully completed, i.e., the goals and objectives outlined in your proposal cannot be achieved, without the requested grant-supported personnel. Reasonable means that the salaries and wages received by grant-supported personnel are consistent with the salaries and wages paid to comparable positions supported with institutional funds. For example, if the University's approved salary range for an editor is \$50,000 - \$55,000; the salary paid to a grant supported editor should not be below \$50,000 or exceed \$55,000. Sustainable means that resources will be available to continue supporting the position after grant funding has ceased. Most sponsors will expect a grantee to continue the support of grant initiated activities and grant funded positions after grant funding has terminated. Many grantors will require inclusion of such assurances in your proposal.

Most sponsors also disallow supplanting. Supplanting literally means *to replace, to take the place of, or to supersede*. Most grantors prohibit grant funds from being used to supplant/replace funds otherwise available to the University. In other words, grant funds may not be requested or used to fund any position or activity normally funded by the University. If questions arise concerning supplanting, consult the OSP.

A. Release Time Requested

Only faculty may receive release time. The award of faculty release time must be supported by the respective faculty member's Chair and authorized by their respective Dean. **The Chair's and the Dean's signatures on the *Pre-Proposal Review Form* will signify support and approval of all requested release time.** *Pre-Proposals* not containing the signatures of the appropriate Chair(s) and Dean(s) will be returned to the Applicant. If the application requests release time for faculty other than the Applicant, the Chair(s) and Dean(s) of those faculty must also sign the *Pre-Proposal*, if they are different than the Applicant's Dean and/or Chair. When completing *Item 14.A.*, check *Yes*, if the final proposal will contain a request for any full-time member of the Park University faculty, and provide the requested information for each individual requesting release time. Attach additional pages to the *Pre-Proposal* as necessary, if more than three individuals are requesting release time. If your proposal does not include a request for release time, mark *No* and move on to *Item 14.B.*

B. New Staff or Faculty Position Requested

Any requests for a new full or part-time faculty or staff position(s) must be reasonable, necessary, and sustainable. The Applicant should be prepared to identify potential

sources of funding to continue support for newly created positions after grant funding has terminated. In most instances, a grantor will critically evaluate an Applicant's ability to provide continued support for positions created with grant funding. The process of transferring the cost of a grant funded activity or position to the University is frequently referred to as *institutionalizing* in grants literature. **The appropriate Chair and Dean(s) and/or supervisor and area administrator, and the Provost must approve the creation of a new position.** The employment of any individuals who will be paid on a grant/contract, whether part-time or full-time, must follow Park's normal hiring procedures.

When completing *Item 14.B.*, check *Yes*, if the final proposal will contain a request to create a new faculty or staff position(s), and provide the requested information for each position being requested. If more than three individuals are requesting release time, attach additional page(s) containing the requested information to the *Pre-Proposal*. If your proposal does not include a request to create a new position(s), mark *No* and move on to *Item 14.C.*

C. Funding for Current Position

Park encourages faculty and staff to apply for any form of extramural support (grant, contract, fellowship. . .) which would support their salary. Although the salaries and wages of faculty or staff may be fully or partially funded by external sponsors, depending on the policies of the sponsor and the University, no more than twelve months of total salary support (academic plus summer salary) will be approved in a twelve-month period. For example, for full-time faculty with academic contracts of nine months, grant funds may be used to pay for up to, but not more than, three months of summer salary. Sponsor and University policies will determine the number of months of summer salary that can be funded,⁹ e.g., some granting agencies only allow two months of summer salary support. The monthly summer salary cannot exceed the monthly academic salary. For an example of the policies of a major grant-funding agency dealing with the payment of faculty salaries, wages and fringe benefits, see Appendix C: National Science Foundation Grants Policy Manual (NSF 02-151 July 2002).

A primary source document governing the proper expenditure of federal grant funds is *Office of Management and Budget (OMB) Circular A-21 Principles for Determining Costs Applicable to Grants, Contracts, and Other Agreements with Educational Institutions*. The full text of A-21 and many other relevant OMB circulars may be found at <http://www.whitehouse.gov/omb/circulars/> .

When completing *Item 14.c.*, check *Yes*, if your final proposal will contain a request for full or partial funding of a currently existing position at Park, and provide the requested information for each position. Attach additional pages as necessary, if funding for more than three positions is being requested. If your proposal does not include a request to create a new position(s), mark *No* and move on to *Item 14.D.*

⁹ Generally, the most restrictive policy should be followed when the University and grantor policies conflict.

D. Fringe Benefits

All grant proposals requesting funding for salaries and/or wages must also request funding for fringe benefits at the currently approved rate of 35%. All sponsors who allow funds to be expended for salaries and/or wages consider fringe benefits to be legitimate and appropriate costs. The inclusion of fringe benefits in a grant proposal will not prejudice a grantor against your proposal, although the failure to include it may. The University is legally obligated to provide fringe benefits for all full and part-time employees, including those whose salary or wages are reimbursed by external sponsors. The failure to claim fringe benefits effectively transfers a legitimate obligation from the grant, i.e., the funding agency, to the University. This effectively means that the University would be subsidizing the grantor, e.g., the federal government.

15. Partners

A. Internal Partners

Grant sponsored projects may require the collaboration of two or more university employees, academic departments, schools and/or operational units. Collaboration among members of the Park family is encouraged, but it should never be assumed. If you anticipate collaborating with Park colleagues, be sure to inform them of your proposed project and obtain their consent before including them in your proposal. When completing *Item # 15.A.*, check *Yes*, if your proposal will involve internal partners and provide their names. If your proposal does not involve internal partners, check *No*.

B. External Partners

Many grants require collaboration with external partners. For example, a recent federal *Solicitation for Grant Applications (SGA)* required that at least one partner from each of the following groups collaboratively participate in the development of a proposal: higher education, K-12 education (a local educational agency), business, and community based organizations. Research grants will frequently involve collaboration between and among universities and members of their respective facilities. Park faculty may also wish to establish a relationship with an external partner, e.g., a municipality or area school district, which will provide material or subjects for their research. Collaborative grants offer unique opportunities, but they also pose a unique set of developmental and administrative problems. If collaboration is a grant requirement, copies of letters of commitment signed by authorized representatives from each partner must be included in the grant application. The OSP will be unable to submit any applications lacking required letters of commitment. When completing *Item # 15.B.*, check *Yes*, if your proposal will involve external partners and provide their names. If your proposal does not involve external partners, check *No*.

16. Required Signatures (Item # 15)

The Applicant's Chair and Dean must sign the form prior to submission. If the Applicant is not faculty, the *Pre-Proposal* must be signed by their supervisor and area administrator. If the proposed grant involves other Chairs, Deans, supervisors or area administrators (see, *Item 12, Cost Sharing or Institutional Match* and *Item 14 Personnel*) they must also sign the *Pre-Proposal*. Completion and submission of the *Pre-Proposal Review Form* does not obligate the Applicant to submit the identified grant application.

C. Completing the *Pre-Proposal Review Form*: Required Attachments

The following documents must be attached to a *Pre-Proposal* at the time of its submission to the OSP:

1. Grantor's Guidelines

A complete copy of the grantor's guidelines, e.g., the RFP (Request for Proposal) or notice published in the *Federal Register*. If guidelines are available on-line, so indicate in your one-page abstract (see #2 below) and provide the address where they may be found.

2. One-page Abstract

The Applicant must complete and attach a one-page abstract. The abstract briefly describes the activities and objective(s) of the proposed sponsored program, identifies its outcome(s), outlines the assessment process used to verify the accomplishment of those outcomes, and explains how the grant supports the University's mission and institutional objectives.

D. Submitting *Pre-Proposal Review Form* to the OSP

A completed and signed *Pre-Proposal Review Form* must be submitted to the Office of Sponsored Programs (303 Science Hall, PMB #51) at least 30 days prior to the proposed grant's submission deadline. The completion and submission of this form does not obligate the Applicant to submit the identified grant application.

E. Appendix A: Summary: Procedures for Processing Grant Applications

SUMMARY

PROCEDURES FOR PROCESSING GRANT APPLICATIONS

PHASE 1: PRE-PROPOSAL PROCEDURE:

Applicant:	1)	Completes <i>Pre-Proposal Review Form</i> and obtains required signatures of Chair, Dean, supervisor, area administrator, as appropriate
	2)	Submits completed and signed <i>Pre-Proposal Review Form</i> to the Office of Sponsored Programs (OSP) at least 30 calendar days prior to proposal's due date
OSP:	3)	Reviews <i>Pre-Proposal Review Form</i>
	4)	Consults with Applicant and other appropriate University personnel to resolve questions and concerns
	5)	Returns a copy of the <i>Pre-Proposal Review Form</i> to Applicant within five (5) working days of receipt

PHASE 2: PROPOSAL DEVELOPMENT AND SUBMISSION:

OSP:	6)	Supports Applicant's proposal development efforts
Applicant:	7)	Completes grant application and gathers all required supporting documents
	8)	Submits final proposal and supporting documents to OSP at least five (5) working days prior to the proposal's due date
OSP:	9)	Reviews completed proposal and consults with Applicant and other University personnel, as appropriate
	10)	Approves and signs proposal
	11)	Submits proposal to funding agency
	12)	Forwards copy to Applicant and other University personnel, as appropriate

Edmund Brackett, Director
Office of Sponsored Programs
303 Science Hall, PMB #51
edmund.brackett@park.edu
816.584.6588

F. Appendix B: *Pre-Proposal Review Form*



PRE-PROPOSAL REVIEW FORM

Office of Sponsored Programs

303 Science Hall, PMB# 51, 816.584.6527

osp@park.edu, <http://www.park.edu/osp>

This form has four primary purposes: 1) to provide the Office of Sponsored Programs (OSP) critical information to more effectively assist you in your pursuit of external funds; 2) to inform your colleagues of your intent to develop and submit a grant application/proposal; 3) to determine if the necessary institutional support and resources would be available to successfully implement your grant, if funded; and 4) to ensure that all efforts to obtain external funding support the University's Vision, Mission and Institutional Objectives. This form must be completed in full and submitted to the Office of Sponsored Programs at least 30 days prior to the proposed grant's submission deadline. The applicant's Chair/Program Director and Dean or supervising administrator, as appropriate, must sign the form prior to submission.

The information provided on this form is a good-faith estimate of the information that will be contained in a final grant application. The completion and submission of this form does not obligate the Applicant to submit the identified grant application. Please refer to the supporting document, *Directions for Obtaining, Completing and Submitting Pre-Proposal Review Forms* for clarification. To access the document click on the link http://www.park.edu/osp/documents/DirectionsforPRFs103106_001.pdf

1. _____
Applicant's Name: _____ Applicant's Signature: _____ Date: _____

Applicant's Department/Office: _____

2. Name of Grant Director/Principal Investigator (if someone other than the Applicant):

Director's/PI's name: _____ Director's/PI's Signature: _____ Date: _____

Grant Director's/PI's Department/Office: _____

3. Funding Agency: _____

4. Grant Name: _____

Grant Number: _____

5. Project Title: _____

6. Due Date: _____ ☐ Postmark ☐ Delivery

7. Electronic Submission: ☐ Yes ☐ No

8. Proposed Start Date: _____ Proposed End Date: _____

9. Grant Type / General Information (check all items that apply):

☐ State ☐ Federal ☐ Local - If local, specify: (e.g., Platte Co., City of Kansas City, MO)

☐ Private, Specify: (e.g., ABC Corporation, XYZ Foundation)

☐ New Submission ☐ Renewal/Continuation

10. Human and Animal Subjects:

If funded, will your grant involve research using human subjects? ☐ Yes ☐ No

If your grant involves human subjects, has the proposed research project been submitted to the University Institutional Review Board (IRB) for review and approval? ☐ Yes ☐ No

* Questions concerning research involving human subjects and IRB approval may be referred to the Office of Sponsored Programs. Individuals may also wish to consult the Park IRB website at <http://captain.park.edu/irb/> or directly contact Dr. Dennis D. Kerkman, IRB Chair, at 223 Mabee, 816-584-6502, or by e-mail at: dkerkman@park.edu

If funded, will your grant involve research using animal subjects? ☐ Yes ☐ No

11. Total Amount of Request/Award: _____

If Multi-Year Grant, proposed funding for:

Yr.1) _____ Yr.2) _____ Yr.3) _____ Yr.4) _____ Yr.5) _____

12. Cost Sharing or Match Requested? ☐ Yes ☐ No

If Yes, is it: ☐ Required by grantor/funding agency ☐ Not Required by grantor/funding agency

Will all or part of the Match be provided by a Third Party? ☐ Yes ☐ No

Identify Third Party provider(s), if applicable: _____

If provided by a Third Party, have you obtained a signed letter of commitment? ☐ Yes ☐ No

A. Cash: ☐ Yes, the amount of cash requested: _____ ☐ No

Source*: _____
(e.g., departmental budget, University Advancement Office, Third Party)

* Under most circumstances, funds from another grant may not be used as a source of institutional match

If multi-year grant, proposed cash match for:

Yr.1) _____ Yr.2) _____ Yr.3) _____ Yr.4) _____ Yr.5) _____

B. In-Kind: ☐ Yes, the amount of in-kind proposed: _____ ☐ No

Source*: _____
(e.g., University paid staff time, space costs, Third Party)

* All in-kind match must be documented and will be audited. Failure to document in-kind match will result in the loss of grant funding.

If multi-year grant, proposed in-kind match for:

Yr.1) _____ Yr.2) _____ Yr.3) _____ Yr.4) _____ Yr.5) _____

Total amount of institutional match requested (cash + in-kind): _____

13. Indirect Cost: ☐ Allowed ☐ Not Allowed

Maximum allowable amount requested? ☐ Yes ☐ No Amount of indirect cost earned: _____

14. Personnel:

A. Release Time Requested? ☐ Yes ☐ No *(Only faculty may receive release time)*

• **Person requesting release time:** _____

Number of credit hours requested per term: _____

Terms for which release time is being requested: _____
(e.g., spring and summer 2009)

Total amount of release time requested: _____

• **Person requesting release time:** _____

Number of credit hours requested per term: _____

Terms for which release time is being requested: _____
(e.g., spring and summer 2009)

Total amount of release time requested: _____

• **Person requesting release time:** _____

Number of credit hours requested per term: _____

Terms for which release time is being requested: _____
(e.g., spring and summer 2009)

Total amount of release time requested: _____

B. New Staff or Faculty Positions Created? ☐ Yes ☐ No

If the proposed grant includes the creation of new staff or faculty positions, please provide the following information for each proposed new position:

• **Position Title:** _____

Department: _____

Salary/Pay: _____

Select suitable category: ☐ Full time ☐ Part time

Select all suitable subcategories ☐ Faculty ☐ Exempt ☐ Classified ☐ Permanent ☐ Temporary

• **Position Title:** _____

Department: _____

Salary/Pay: _____

Select suitable category: ☐ Full time ☐ Part time

Select all suitable subcategories: ☐ Faculty ☐ Exempt ☐ Classified ☐ Permanent ☐ Temporary

● **Position Title:** _____

Department: _____

Salary/Pay: _____

Select suitable category: ☐ Full time ☐ Part time

Select all suitable subcategories: ☐ Faculty ☐ Exempt ☐ Classified ☐ Permanent ☐ Temporary

C. Funding for Current Positions: Requested: ☐ Yes ☐ No

● **Position Title:** _____

Department: _____ Amount: _____

● **Position Title:** _____

Department: _____ Amount: _____

● **Position Title:** _____

Department: _____ Amount: _____

D. Fringe Benefits: Requested: ☐ Yes ☐ No

Funding for fringe benefits must be included at the approved institution rate for all newly created and existing positions included in any grant proposal.

15. Partners:

A. Internal Partner(s): ☐ Yes Identify: _____ ☐ No

B. External Partner(s): ☐ Yes Identify: _____ ☐ No

16. Required Signatures: Signing this document signifies approval and authorization to proceed with development of the designated grant application.

Signature of Chair or Immediate Supervisor

Date

Signature of Dean or Appropriate Administrator

Date

Signature of Director of Sponsored Programs

Date

PLEASE ATTACH:

1) a complete copy of **the grantor's guidelines**, e.g., the RFP (Request for Proposal) or notice published in the Federal Register and 2) a **one page abstract** describing proposed grant. In addition to describing activities and outcomes, the abstract should also discuss how the proposed grant would support Park University's Mission, Vision and Institutional Objectives.

If you have any questions, contact the Office of Sponsored Programs in person in room 303 Science Hall, by telephone at (816) 584-6527, or by e-mail at osp@park.edu

G. Appendix C: National Science Foundation Grants Policy Manual

NATIONAL SCIENCE FOUNDATION: FACULTY SALARIES

The following summarizes the policies of the National Science Foundation (NSF) concerning the allowable use grant funds for the payment of faculty salaries, wages and fringe benefits. A complete electronic copy of the NSF's *Grants Policy Manual* (NSF 02-151 July 2002) may be found on the Internet at <http://www.nsf.gov/pubs/2002/nsf02151/index.jsp>.

611 Salaries, Wages and Fringe Benefits

611.1 Salaries and Wages

- a. All Grantees. All remuneration paid currently or accrued by the organization for employees working on the NSF-supported project during the grant period is allowable to the extent that:
 1. total compensation to individual employees is reasonable for the work performed and conforms to the established policy of the organization consistently applied to both government and non-government activities; and
 2. the charges for work performed directly under NSF grants and for other work allocable as indirect costs are determined and documented as provided in the applicable Federal cost principles.
- b. Colleges and Universities. Section J.8 of OMB Circular A-21 establishes special criteria for work performed on government projects by faculty members during and outside the academic year.

In summary these are:

1. Academic Year Salaries. To be based on the individual faculty member's regular compensation for the continuous period which, under the policy of the institution concerned, constitutes the basis of his/her salary. Except as provided in GPM 616.2, "Intra-University Consulting," charges to Federal grants, irrespective of the basis of computation, will not exceed the proportionate share of the base salary for that period.
2. Periods Outside the Academic Year. During the summer months or other periods not included in the period for which the base salary is paid, salary is to be paid at a monthly rate not in excess of the base salary divided by the number of months in the period for which the base salary is paid. NSF policy on funding of summer salaries (known as NSF's two-ninths rule) remains unchanged: proposal budgets submitted should not request, and NSF-approved budgets will not include, funding for an individual investigator which exceeds two-ninths of the academic year salary. This limit includes summer salary received from all NSF-funded grants.
3. Extra Compensation Above Base Salary. Requests may be included in proposals for salary payments for extra compensation only for science and engineering education projects when the particular program solicitation specifically provides that extra compensation may be requested. This extra compensation above the base salary must be approved by NSF. Generally this is done in situations such as teaching evening or weekend classes, or for administrative work done as overload prior to or following a project. Further, the extra

compensation shall be computed at a rate not in excess of the monthly rate of the base academic year salary.

4. Sabbatical Leave. Unless there are special conditions in an applicable NSF program solicitation or in the grant, charges to an NSF grant for services rendered to the project by an individual during his/her sabbatical period are allowable provided that such compensation is:
 - a. proportional to the service rendered;
 - b. in accordance with established institutional sabbatical policies regardless of source of funds (Section J.40 of OMB Circular A-21); and
 - c. at a rate which, when added to the individual's sabbatical salary rate, does not exceed the individual's base salary rate for the individual's most recent academic year or equivalent prior period.

NSF salary support during sabbatical periods is only intended to make up the difference between sabbatical rate of pay and the individual's base salary rate for periods during which the individual is performing work on an NSF-sponsored project.

611.2 Fringe Benefits

Fringe benefits are allowable as a direct cost (if not included as an indirect cost) in proportion to the salary charged to the grant, to the extent that such payments are made under formally established and consistently applied organizational policies.