



*The University of Louisiana  
at Monroe*

*Office of Sponsored Programs & Research*



*Sponsored Programs Manual*

## Foreword

The University of Louisiana at Monroe (ULM) is positioning itself to increase substantially its sponsored funding. Increased funding enables ULM to achieve its goals to improve education, opportunities, and the lives of others.

This manual is one way that the Office of Sponsored Programs and Research (OSPR) assists in the preparation of proposals and the administration of ULM's awards. The goal is to enable ULM's researchers to focus their energies on academic and technical objectives while lessening the impact of administrative requirements.

This is a comprehensive guide. Not all information will be applicable to all projects. As always, if you require further information, please contact OSPR at extension 1039.

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The Office of Sponsored Programs and Research adheres to the ethics and standards of the state of Louisiana, as well as the Society of Research Administrators, International<sup>1</sup>, which is as follows:

### **As a research administrator, I will:**

Maintain the highest level of professional and personal conduct to enhance our organization and profession in order to gain the trust and respect of our peers, employer, researchers, research-funding agencies, and the public at large.

Accept responsibility to enhance my professional competence and freely share my professional knowledge with others.

Balance the dual obligations and interests of my employer and funding agencies and seek to negotiate terms of sponsorship, which are in the best interest of all parties.

Follow the letter and the spirit of the laws, regulations, and sponsorship agreement affecting research administration responsibilities.

Inform individuals who are associated directly or indirectly and with my services of those policies, procedures, and regulations impacting conduct of research and research administration.

Avoid conflicts of interest, whether actual or perceived, and address such issues with appropriate authorities of my employer or the society when the need arises.

Ensure that I maintain fairness and due process in research administration and Society activities in which I am engaged.

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<sup>1</sup> Retrieved on January 15, 2009 from SRAI website <http://www.srainternational.org/>

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# **I. RIGHTS AND RESPONSIBILITIES IN THE CONDUCT OF RESEARCH**

## **A. RESPONSIBLE CONDUCT OF RESEARCH (RCR)**

The University of Louisiana at Monroe's (ULM) mission is to serve its students and community through teaching, research, and service. ULM pursues excellence through diligent individual and collective efforts and achieved by setting the highest goals possible.

Achieving excellence requires integrity in all interactions with people inside and outside the university. The good name and reputation of ULM and its faculty, staff and students depends upon the willingness of everyone to adhere to the highest ethical standards in all our practices. Any act that would seriously compromise the integrity of the university will be dealt with in a manner that will assure any funding source that any and all extramurally funded research activities conducted at ULM are always subject to the highest standards of professional ethics<sup>2</sup>.

In "Introduction to the Responsible Conduct of Research" by Nicholas H. Steneck, the Federal Office of Research Integrity (ORI) covers the governing regulations, institutional policies, and personal responsibility associated with this topic. The following excerpt explains what RCR is:

In general terms, responsible conduct in research is simply good citizenship applied to professional life. Researchers who report their work honestly, accurately, efficiently, and objectively are on the right road when it comes to responsible conduct. Anyone who is dishonest, knowingly reports inaccurate results, wastes funds, or allows personal bias to influence scientific findings is not. However, the specifics of good citizenship in research can be a challenge to understand and put into practice. Research is not an organized profession in the same way as law or medicine. Researchers learn best practices in a number of ways and in different settings. The norms for responsible conduct can vary from field to field. Add to this the growing body of local, state, and Federal regulations and you have a situation that can test the professional savvy of any researcher.<sup>3</sup>

If you have a question about the legality of any activity, you should seek guidance from your supervisor, director, department head, dean, or other senior administrator. If you have knowledge of a law, regulation, or institutional policy being violated, you should speak immediately to one of the aforementioned people. Alternatively, you can contact the ULM compliance hotline at (318) 342-1478 to present a compliance related question or report in good faith a suspected violation. These calls are considered confidential and all reasonable efforts will be made to protect the caller against retaliation.

Since ULM expects excellence, we must conduct our interactions and research ethically and in compliance with all governing regulations, requirements and ULM policies. If you have any questions, contact the identified departments in the manual for further guidance.

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<sup>2</sup> ULM's Faculty Handbook

<sup>3</sup> <http://ori.dhhs.gov/documents/rcrintro.pdf>

## **B. ROLES AND RESPONSIBILITIES IN RESEARCH ADMINISTRATION**

Conducting research in today's world requires integrity, expertise, understanding, and compliance. The following explains the authority and main responsibilities of the principal investigator (PI), department head, dean, OSPR, Provost, Controller's Office, and Purchasing in conducting responsible research. Even when not specifically addressed in this manual, endorsement of any ULM or OSPR form indicates that the signatory understands its contents and approves the information found within the document.

ULM is the recipient of all sponsored programs. Any changes to a project must be reviewed and approved by ULM, even if the sponsor indicates that it is 'ok' for the principal investigator to perform one of ULM's administrative task. These tasks include but are not limited to, submission, obtaining sponsor approval to change the principal investigator or Key Personnel, budget revisions, changes to the scope or project period. ULM has delegated the administrative oversight of ULM's sponsored programs to OSPR.

### **1. Principal Investigator**

Sponsored programs are awarded to ULM; however, the principal investigator bears the responsibility for the scientific, technical, and administrative aspects of the project, whether or not he/she delegates the responsibilities to others.

The principal investigator initiates the proposal, defines the scope of work, follows the process to secure all appropriate reviews and approvals (i.e. IRB, IACUC, etc), controls the conduct of research, supervises project personnel, procures supplies, certifies all project personnel's effort, completes reports and fulfills all other specified requirements.

The principal investigator is responsible for ensuring that the work conforms to the highest ethical standards as outlined by their profession, ULM and ORI. Additionally, he/she is responsible for following all ULM policies, processes, and procedures and securing the necessary administrative approvals prior to proposing the research and/or commencing the awarded project.

The principal investigator is responsible for using the proper forms. His/her signature on these documents certifies and attests that the information provided complies with ULM's policies and governing regulations. This certification assures his/her department head and dean that he/she completed the Proposal Routing and Approval Form (PRAF) correctly, identified all cost share (II.D.9), accounted for all the time and effort and obtained any necessary approvals per (II.B.4), has all the approvals from external partners, and other necessary information specific to his/her proposal. OSPR's [website](#) has the current policies and procedures for sponsored programs.

### **2. Co-Principal Investigators**

A co-principal investigator (co-PI) is an individual involved with the principal investigator in the scientific development and execution of a project. A co-PI typically devotes considerable time to the project and meets the definition of Key Personnel. The designation of a co-PI, if applicable,

does not affect nor change the principal investigator's roles and responsibilities. Simple participation in a project does not qualify as co-PI.

### **3. Key Personnel**

Participants in a proposal or an award who contribute substantively to the scientific development or execution of a project are considered Key Personnel. Key Personnel contribute a specified level of time in comparison with other significant contributors whether or not earning a salary. Key Personnel include the principal investigator as well as any consultants who meet the definition above. Any necessary change in Key Personnel requires approval of OSPR and the sponsor. Should it be necessary to change any Key Personnel, OSPR is the only authorized entity in ULM to perform the request. In order to qualify as Key Personnel, the person must meet the following criteria:

- The project would not be able to be completed without their expertise
- The expertise is difficult to readily locate
- The project may have to be terminated without his/her participation

### **4. Department Head (or School Director/Unit Head)**

The department head determines if the proposal activity is within the scope of the departmental goals. He/she must decide if personnel, space, equipment, utilities, etc. are available and adequate for the proper execution of the project should it be awarded and makes recommendations to the dean concerning the proposal. Additionally, the department head reviews the proposal to ensure that the package is complete and conforms to institutional standards prior to authorizing its release to the dean. The department head may determine that he/she will provide matching funds (if required see II.D.9 for further information) and authorize its use on the Proposal Routing and Approval Form. Should the head determine that matching funds will not be provided, he/she should have a discussion with his/her dean to determine if there are any college sources available for the request. Matching funds (cost share) is discussed in section II.D.9 and IV.L. of this manual. The department head has the authority to refuse the submission of a proposal.

### **5. Dean**

The dean determines if the proposal activity is within the goals, as well as the role and scope of the college. He/she acts upon recommendations of department head and makes recommendations concerning the proposal. Additionally, he/she will determine if the requested matching funds will be provided (if required see II.D.9 for further information). The dean may determine that he/she will provide matching funds and authorize its use on the Proposal Routing and Approval Form. Should the dean determine that matching funds will not be provided, he/she should have a discussion with OSPR to determine if there are any institutional sources available for the request. This is the rationale for the required extra lead time for proposals with cost sharing. Matching funds (cost share) is discussed in section II.D.9 and IV.L. of this manual. The dean has the authority to refuse the submission of a proposal.

## **6. Office of Sponsored Programs and Research (OSPR)**

The OSPR is responsible for ensuring sponsored projects comply with all governing regulations. They are the assigned unit to maintain the project's official record (except financial) for the institution. In addition, OSPR is responsible for submitting proposals (as delegated by ULM's President), negotiating awards, and securing approvals to execute sponsored programs. OSPR will review proposals to ensure that they: conform to the sponsor's guidelines, budget totals correctly, have all externally required documents, have all the internally required forms and approvals, does not conflict with 2 CFR Part 220<sup>4</sup>, and do not conflict with ULM policies. After determining if the proposal meets the proscribed standards, OSPR will finalize the approval process and submit the proposal.

During award acceptance, OSPR will ensure that the terms and conditions of the award are acceptable to ULM, the college, the department, and the principal investigator; negotiate the award, and then execute the agreement. Additionally, OSPR is responsible for coordinating special considerations (further discussed in section II.D.). After the award is accepted, OSPR will assist the principal investigator with completing the forms for account establishment, create the internal Notice of Award, and prepare sub-awards, and sub-contracts and/or Memoranda of Understanding/Agreements. During the execution of the project, OSPR is responsible for maintaining administrative compliance (e.g. time & effort, change in Key Personnel or PI, etc), securing approvals for extensions, and assisting the principal investigator with the award closeout procedures.

## **7. Provost and Vice President for Academic Affairs**

The Provost and Vice President for Academic Affairs has overall responsibility for all of ULM's sponsored programs and is ULM's principle signatory for the acceptance of these projects. When the Provost (or delegee) accepts the award, the institution is responsible for assuring all relevant terms, conditions and statues are included to protect ULM's interests. Therefore, ULM created the Office of Sponsored Programs and Research to review and recommend approval and/or acceptance of a project. The Provost retains the right to refuse to accept an award, change PIs, and/or to terminate an award if deemed appropriate.

## **8. Controller's Office**

ULM's Grants and Contracts Division (GCD) of the Controller's Office is responsible for overseeing the financial activities of all sponsored projects. GCD is responsible for approving the account information provided by OSPR, completing the account establishment process, coordinating with OSPR various principal investigator notifications, and ensuring expenditures conform to the federal Office of Management and Budget's Circulars A-21, A-110, and A-133, which also may be found in the Code of Federal Regulations (law). Specifically, GCD reviews expenditures to ensure that costs are appropriate, allocable, allowable, and reasonable (further explained in section IV.G.). GCD is the authorized campus unit responsible for invoicing sponsors, creating expenditure reports that conform to Generally Accepted Accounting Principles (GAAP), and managing the fiscal sponsored program audits. GCD is responsible for sponsored program accounts receivables (collections) and reviewing, approving and executing

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<sup>4</sup> Part of the Federal Code of Federal Regulations—aka OMB Circular A-21 Cost Principles for Higher Education

sponsored program expenditures corrections (cost transfers). Additionally, GCD works closely with OSPR in sponsored program extensions and closeouts.

## **9. Purchasing Department**

ULM's Purchasing Director has the sole authority to order materials and contract for services. The University assumes no obligations except on a duly authorized Purchase Order. Requesting departments may not order materials or contract for services without first contacting the Purchasing Department or the college budget officer. Purchasing coordinates the procurement of goods and services and requires certain documentation as outlined in section IV.F. of this manual.

## **C. SELECTED FEDERAL LAWS AND REGULATIONS**

This section contains a brief explanation of the most commonly referenced to federal laws and regulations applicable to sponsored programs. All institutions of higher education's financial systems and practices base their policies and procedures on the following laws and regulations.

### **1. Cost Principles for Educational Institutions (2 CFR 220)**

The federal government established guidelines on how to handle various costs in the mid 1900s, with Congress approving the Office of Management and Budget (OMB) Circulars to be placed into the US Code of Federal Regulations (CFR). The type of institution determines where one will locate these rules. The applicable regulations for institutions of higher education are found in 2 CFR part 220 and are frequently referred to as OMB Circular A-21. The regulations define costs and require that one ensure the costs are reasonable, allocable, allowable, and consistently treated. They discuss in detail direct, indirect, and unallowable costs.

To conform with these laws, ULM's administrative units must review the proposed costs and ensure that a reasonable person would agree that the cost is part of the project. The cost must be able to be specifically allocable to the project by a reasonable method, and must be allowable by the sponsor and ULM's policies. Finally, the type of cost must be treated the same regardless of funding source.

### **2. Uniform Administrative Requirements for Grants and Agreements with Institutions of Higher Education, Hospitals, and Other Non-Profit (2 CFR 215)**

As with the cost principles, the OMB Circular A-110 is now located in the CFR. These regulations set standards for consistent and uniform administration of grants and cooperative agreements. It discusses pre- and post-award administration requirements. It outlines the pre-award policies and various institutional certifications. The post-award standards discuss financial management, property, procurement, records, and various other standards including cost sharing and closeout requirements. ULM's policies and procedures exist to ensure that ULM complies with all aspects of this law.

### **3. Audits of States, Local Governments, and Non-Profit Organizations (OMB Circular A-133)**

This OMB Circular has not been codified into law but is issued pursuant to the Single Audit Act of 1984. It outlines consistent and uniform audit standards for entities expending Federal awards that exceed \$500,000. This circular describes auditor and auditee roles and responsibilities and sets the expectation of what constitutes a sound audit.

This circular explains the minimum acceptable level of documentation required for various transactions. Additionally, it contains direction on acceptable subrecipient monitoring and financial statement preparation.

### **4. Cost Accounting Standards 501 Consistency in Estimating, Accumulating, & Reporting Costs by Educational (CAS 501)**

This cost accounting standard was established to ensure that the practices used by educational institutions in estimating costs for a proposal are consistent with cost accounting practices used by the institution in accumulating and reporting other costs. It requires that like transactions are treated alike. It expects that these requirements will produce reliable cost estimates and aid in comparison with actual performance.

Thus, if ULM determines a cost is to follow X rule for expenditures on the general revenue fund, then if that type of cost is to be placed on a grant it must follow X rule too. For example, ULM must follow the state travel; therefore, any grant travel, whether federally funded or not, must comply with the State reimbursement policies.

### **5. Cost Accounting Standards 502 Consistency Allocating Costs Incurred for Same Purposes by Educational Institutions (CAS 502)**

This cost accounting standard was established to require that each type of cost be allocated only once and on only one basis to any contract or other cost objective. The criteria for determining the allocation of costs must be the same for all similar cost objectives, which will thereby prevent double counting. An example of a cost objective is a sponsored program. ULM has many sponsored programs but each one is a different cost objective because they have different goals.

Consequently, ULM is only able to allocate a dollar once. When a PI provides costshare on a project (mandatory or voluntary), the committed dollars may only be used for the approved and designated purpose. ULM now segregates those funds so we are able to prove to an auditor and the sponsor that we met the terms and conditions of these standards, which were codified in law by reference through the action that made OMB Circular A-21 part of the CFR.

### **6. Cost Accounting Standards 505 Accounting Unallowable Costs – Educational Institutions (CAS 505)**

This cost accounting standard establishes guidelines covering the identification of unallowable costs, the circumstances that render the cost unallowable, and the accounting treatment of costs identified as unallowable. The expectation is that this standard will ease the negotiation, audit,

administration, and settlement of contracts while ensuring that the costs meet the definition of allowability.

This standard provides ULM's administration the guidance for determining if a cost is unallowable on a particular account or not, and then how ULM will handle the charge should it not qualify as allowable. The time necessary to negotiate contracts on behalf of ULM is reduced because ULM affirms that it complies with the established standards, thereby eliminating the need to hold lengthy discussions as to how ULM will apply costs to the particular project.

## **7. Cost Accounting Standards 506 Cost Accounting Period (CAS 506)**

This cost accounting standard provides the criteria for the selection of the cost accounting time periods to be used for estimating, accumulating and reporting costs. It expects to reduce the effects of variations in flow within a cost accounting period, enhance objectivity, consistency and verifiability, and enhance the comparison of cost measurements. ULM's cost accounting period is our fiscal year, July 1 through June 30 each year.

## **D. FORMS**

The following section provides a brief overview of each form that is required by OSPR in order to effectively and efficiently process proposals, awards, contracts, memorandums of understanding or any other titled document that results in a sponsored program. Various other sections of this manual will provide more insight into specific portions of these forms.

### **1. Intent to Apply for a Limited Submission Program**

The Intent to Apply form notifies OSPR that one intends to apply for a limited submission program and needs to be submitted to OSPR by the established internal deadline. The sponsor imposes a limit on the total number of proposals an institution may submit. Should there be more proposals than the sponsor allows, ULM will need to determine which proposals will be allowed to move forward to the sponsor. Through the Intent to Apply Form, OSPR is apprised of the number of possible proposals. Should the number of notifications exceed the sponsor's limit, OSPR and Academic Affairs will hold an internal competition to determine which proposal will be developed and submitted.

### **2. Proposal Routing and Approval Form (PRAF)**

The Proposal Routing and Approval Form (PRAF) is used to secure approvals for a sponsored program proposal from the appropriate ULM administrators. The PRAF is a mandatory form for all sponsored program submissions. The information collected from this form provides the basis for administrative reporting performed by OSPR and provides a summary to ensure that all relevant laws, regulations, policies, and procedures are followed. All Key Personnel involved in the project must acknowledge their participation by signing the PRAF and securing approvals from their college administrators. OSPR's process and forms do not supersede any college requirements or processes. Due to various federal laws, ULM must track and certify time and effort on projects. In turn, percent effort must be listed for all Key Personnel proposed to work on the project. If additional explanation is required, please attach a page to the PRAF.

### **3. Conflict of Interest Form (COI)**

This form is a mandatory form and must be completed by all ULM Key Personnel and included in the proposal packet that is routed for approvals. It is the responsibility of the PI and any Key Personnel involved to report any perceived and actual conflict that may impact the project. Should any answer to questions on this form indicate a possible conflict of interest, OSPR will contact both the individual disclosing the matter and the PI. They will then complete a conflict of interest disclosure form and will work closely with OSPR to devise a suitable management plan, which, if successful, will then be placed on file in OSPR. Disclosure of conflict of interest includes but is not limited to:

- marital relationship of Key Personnel;
- financial gain other than through lawful university appointment;
- exploitation of position in an award to benefit and unintended beneficiary;
- ethical, professional; personal and scientific conflicts that may diminish impartiality and objectivity;
- conflict of effort; or
- lobbying.

### **4. Checklist**

OSPR created this Checklist to assist the PI with ensuring that their proposal packet contains all the mandatory and necessary forms. The five mandatory documents are the Checklist, PRAF, COI, OSPR Budget Form, and the sponsor proposal announcement/guidelines. Other possible required forms are labeled conditional forms on the checklist. By answering questions on the checklist, PIs will learn which conditional forms, if any, are needed. Finally, a series of questions about applicable export control laws and regulations must be answered.

### **5. ULM Budget Form**

OSPR created four different budget forms to assist the principal investigator with budget development. The inclusion of one of the ULM budget forms in the proposal packet is mandatory. These forms are Excel Workbooks that are updated yearly with the correct fringe benefits and indirect costs rates. The ULM Budget Form must be used by all principal investigators applying for sponsored programs that do not require a National Institutes of Health (NIH) modular budget or National Science Foundation (NSF) budgeting. The electronic version must be emailed to OSPR ([ospr@ulm.edu](mailto:ospr@ulm.edu)) and at least the composite tab must be printed and included with the proposal packet. This composite form provides the college administration a quick overview of the monetary implications of the proposed project.

### **6. ULM Modular Budget Estimator**

The ULM Modular Budget Estimator Form will be used by all Principal Investigators applying for funding that requires a NIH modular budget. The electronic version must be emailed to OSPR ([ospr@ulm.edu](mailto:ospr@ulm.edu)) and at least the composite tab must be printed and included with the

proposal packet. This composite form provides the college administration a quick overview of the monetary implications of the proposed project.

## **7. ULM NSF Budget Calculator**

The ULM NSF Budget Calculator Form will be used by all Principal Investigators applying for sponsored programs from NSF. The electronic version must be emailed to OSPR ([ospr@ulm.edu](mailto:ospr@ulm.edu)) and at least the composite tab must be printed and included with the proposal packet. This composite form provides the college administration a quick overview of the monetary implications of the proposed project.

## **8. ULM Costshare Budget Calculator Form**

The Costshare Budget Calculator Form is to assist the PI in developing the costshare portion of their budget. This form must be used when any type of costshare is committed to a project. More information regarding costshare is found in section II.D.9. The electronic version must be emailed to OSPR ([ospr@ulm.edu](mailto:ospr@ulm.edu)) and at least the composite tab must be printed and included with the proposal packet.

## **9. Facilities and Administrative Waiver Request Form**

The Facilities and Administrative Waiver Request form is used when the PI believes there is a need to waive the federally negotiated facilities and administrative rate, sponsor rate or the ULM established non-federal rate. Waiver of facilities and administrative costs means that ULM will not receive the amount needed to cover the cost of supporting the project. Since grants are only allowed to have direct charges of costs that are allocable, allowable, reasonable, and consistently treated, the government developed a method to provide institutions the ability to recover those costs that do not meet the cost allocation criteria. These costs include, but are not limited to, research space, applicable utilities costs, grants accounting, accounts payable, payroll, human resources, purchasing, OSPR, Graduate Studies, and other administration. ULM will consider waiver for exceptional cases, which must be explained in full on the waiver request form.

## **10. Internal Consortium Form**

The Internal Consortium Form is to be used when a project will have principal investigators from more than one department. This form will provide the administrators of each party the information needed to insure that the necessary department/college workload is being met and that the associated costs and benefits are understood. This is a mandatory form when the Key Personnel on the project are from more than one department.

## **11. Course Release Form**

The Course Release Form must be completed and executed by the appropriate administrators when any person on the project would like to obtain a course release with the project funds. Completion of this form insures that all approvals are in place prior to submission of the proposal and to allow the PI and the administrators' sufficient time for proper planning. It also assists in the necessary adjustments required for proper time and effort reporting. This is a mandatory

form for the proposal packet when project personnel request a course release funded by project funds.

## **12. Summer Labor Approval Form**

The Summer Labor Approval Form must be completed and executed by the appropriate administrators when any person on the project would like to earn summer compensation with the project funds. Completion of this form insures that all approvals are in place prior to submission of the proposal and to allow the PI and the administrators sufficient time for proper planning. It also assists in the necessary adjustments required for proper time and effort reporting. This becomes a mandatory form for the proposal packet when project personnel request summer compensation funded by project funds.

## **13. Additional Compensation Request Form**

The Additional Compensation Request Form must be completed and executed by the appropriate administrators when any person on the project would like to receive additional compensation for the work performed on the sponsored project. The purpose of this is to ensure that all appropriate administrators approve the workload change while adhering to the applicable policies, laws, and regulations. Prior to using this form, the PI may want to complete the Additional Compensation Questionnaire to determine if additional compensation is allowable.

## **14. Intent to Establish Consortium**

The Intent to Establish Consortium Form is used when a proposal utilizes external collaborators who will receive funds from ULM as subawardees/subcontractors. The purpose of this form is to ensure that all appropriate administrators in the external collaborator's institution are aware of the commitment and agree to the proposed collaboration. Approval provides adequate assurances that the proposed project will be able to be executed should the project become an award. This form becomes a mandatory for the proposal packet should the proposal included external collaboration. A separate form is required for each external partner.

## **15. Deadline Variance Form**

Due to the economic downturn, OSPR is understaffed. Deadlines are established to ensure that OSPR is able to review and assess institutional risk in an effective and efficient manner. PIs who comply with the deadlines (See Part II.E.3 for further information) deserve the full attention of OSPR's staff and the assurance that their proposal will be submitted by the sponsor's deadline. All others run the risk that their proposal may not meet the submission deadline. The Deadline Variance Form must be used when the PI is not able to forward the final approved proposal to OSPR five (5) business days before the published deadline

## **16. Computing Center Approval Form**

This form must be submitted to and approved by University Computing Center when proposals contain hardware, software, networking or any other components for which ULM Computing Center is responsible and includes all necessary construction, installation, and repairs. The

executed Computing Center Approved Form must be attached to the proposal package when routing for University approvals. Funded projects without this approval run the risk of not being supported by the institution.

### **17. Contract Routing Form**

The Contract Routing Form is used to route drafts of any type of agreements that bind ULM to perform tasks as outlined in such documents. ULM's President or designees are the only people with signatory authority to endorse such documents. Possible document titles include, but are not limited to: 1) contract; 2) memorandum of understanding; 3) memorandum of agreement; 4) grant acceptance form; 5) amendment report etc. For clarification, a "draft" is a document that: 1) may require negotiation of terms & conditions by OSPR; 2) may already be negotiated by OSPR; 3) may already be approved by Purchasing; or 4) may already be approved and /or issued by an external agency.

### **18. Project Master Budget (PMB)**

After contractual negotiations are successful and ULM has executed the contract, the PI will use the Project Master Budget form to outline the project's budget as proposed and approved by both OSPR and the funding agency. This form takes the proposed budget and lists the expenses by ULM expense codes. Thoughtful completion of this form enables easier project expenditure oversight throughout the life of the project. PIs are encouraged to consult with OSPR when completing this form.

### **19. Costshare Budget Transfer**

The Costshare Budget Transfer form is used when costshare or matching funds are committed to the project by ULM. The segregation of costs allows the University to account separately for any costshare/matching funds in accordance with the federal Code of Federal Regulations. The separation of budget and expenses does not reduce the originator's total budget, it is just a mechanism that provides transparency regarding the project expenditures. The net effect is that the originator will maintain the same total spending authority; but will need to add the costshare account to the general revenue accounts for affected expenditures.

### **20. Budget Revision**

The Budget Revision form is used when the PI proposes changes to the approved budget. With the exception of the individuals on file in OSPR, no employee is authorized to negotiate any changes of any portion of the approved budget with the sponsor regardless of sponsor's guidelines. Therefore, all ULM PIs must request budget revisions from OSPR since OSPR is the only authorized organizational representative. OSPR will review the request against sponsor guidelines and governing laws and regulations, then take the necessary actions to secure approval. For the purpose of this form, a change to the approved budget includes, but is not limited to, an increase or decrease in original award due to:

- reapportionment of project funds;
- supplemental or renewal funding;

- reduced appropriations;
- project continuation; or
- carry-over of funds.

## **21. No-Cost Extension Request (NCEX)**

The No-Cost Extension Request form is used when the PI determines that additional time is needed to complete a project as indicated in the project's scope of work. This determination must be timely and it is recommended that it occurs at least three months before the end date of the project. With the exception of individuals on file in OSPR, no employee is authorized to negotiate any changes of any portion of the contractual arrangement with the sponsor regardless of sponsor's guidelines. Therefore, all ULM PIs must request NCEX from OSPR. OSPR will then review the request against sponsor guidelines and governing laws and regulations, and take the necessary actions to secure approval.

## **22. Change of PI and/or Key Personnel Request**

The Change of PI and/or Key Personnel Request form must be utilized when the PI determines that any Key Personnel working on the project (or subaward) will not continue working in their currently capacity. OSPR must be immediately notified prior to re-assigning the duties for the changed person and will review the request against sponsor guidelines and applicable laws. For the purpose of this form, changes to Key Personnel include, but are not limited to:

- extended absence;
- employee termination;
- promotion or other changes in employee's university assignments; or
- inability to continue performing approved duties and tasks due to new perceived or actual conflict of interest.

## **23. Institutional Review Board (IRB) Request for Review**

The Institutional Review Board (IRB) Request for Review form needs to accompany the research protocol submission for the IRB. All research projects involving human subjects conducted by ULM faculty, students, or staff (including collaborative projects with other institutions and agencies) must be reviewed and approved by the IRB. A thoughtful, thoroughly completed IRB Request for Review form will expedite the handling of the protocol. Complete instructions are available on OSPR's website in the Research Compliance section. OSPR is available for any required assistance.

## **24. Animal Welfare Assurance Form**

The Animal Welfare Assurance form is used to submit a protocol to the Institutional Animal Care and Use Committee (IACUC). The primary function of the IACUC is to assist faculty, students and staff in upholding ULM's determination to assure the finest care and most humane utilization of our laboratory animals. To this end, every research, testing, and teaching project involving the use of a live vertebrate animal must be reviewed and approved by the IACUC prior to initiation. The IACUC, therefore, shares with the investigator the responsibility for the ethical

decisions made regarding the care and use of animals. The investigator assumes the principal responsibility for the care and use of animals that ultimately assures ULM maintains its values and the continuance of animal-based research at ULM. Further information is available through OSPR website under the Research Compliance section.

## **25. Time and Effort Forms**

The Time and Effort Forms are available for all PIs to record their and their grant personnel's time and effort on all projects. OSPR is the designated unit for collecting and verifying the information against the general ledger. In turn, OSPR makes the forms available for the convenience of PIs to assist them with tracking their total effort.

## **26. Space Utilization Forms**

The purpose of the annual space survey is to confirm the rooms used by each department, gather information on how that space is used, and verify attributes, such as room type and square footage. This information is always very important, but it is even more significant because of Facilities and Administrative (F&A) Rate negotiations. The space survey is a critical part of the F&A proposal because it determines how most of the facility costs (equipment and building depreciation, interest and operations and maintenance expenses) will be allocated to organized research. Because space has such a substantial impact on the costs allocated to the federal government, it is essential that the survey is done in accordance with the regulations and the results are accurate. In addition to the F&A proposal, the space survey is also used for rent proration, space analysis and planning, management reporting, and financial statement allocations. In turn each area will need to complete the form on a yearly basis.

## **27. Institutional Biosafety Committee Forms**

All ULM research and instructional activities that involve biohazardous materials shall be reviewed and approved by the IBC prior to the use of any such reagent. In order to capture the necessary information for compliance, yet not burden the ULM community, two reporting vehicles are available. The Department Biosafety Form captures the biosafety information for the upcoming semester and is submitted by the Department Head all entire instructional related activities. The Biosafety Protocol Form is to be used by Principal Investigators (PI) for research activities.

## **28. Invention Disclosure Form**

The Invention Disclosure Form is an important legal document and must be filed within ninety (90) days of discovery. Great care should be taken in its preparation. Information contained in this document is maintained in confidence and will not normally be disclosed to others except with the appropriate safeguards. In order to help preserve patent rights, please keep OSPR apprised of your publication plans. Submission of an Invention Disclosure Form does not insure that a patent application will be filed. ULM reserves the right in its sole discretion to determine those cases as identified in ULM's Invention Disclosure Policy upon which it will seek patent protection. Inventorship is defined under U.S. patent law. Identification of a person as an

inventor on this form does not assure he or she will qualify as an “inventor” under applicable law.

