



Research and Sponsored Programs Process Handbook

Faculty and Staff

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1. Introduction

The University mission statement reads, ***“Minnesota State University, Mankato promotes learning through effective undergraduate and graduate teaching, scholarship, and research in service to the state, the region and the global community.”*** The mission of the College of Graduate Studies and Research is to promote, support, and advance an inclusive community of scholars and learners who participate in high quality graduate programs. The College's functional units work with faculty and staff from across the university to create the highest quality academic programs and foster innovative efforts in the areas of discovery, creativity, and scholarship. The College is committed to serving students through responsive, student–centered support programs and advocating for excellence in all graduate degree and certificate programs. To this end the College will be responsive and inventive in developing policies, procedures, and activities that support graduate education and research at Minnesota State University, Mankato.

The mission of Office of Research and Sponsored Programs (RASP) is to ***“promote learning through encouraging and assisting faculty and staff in their pursuit of external funding for research, scholarship, service and creative endeavors.”*** RASP is committed to encouraging faculty to obtain external funding for their interests and areas of expertise. The staff is responsible for the supervision, along with the Office of Finance and Administration, of the grant and contract proposal process and for the many administrative functions associated with award of grants, contracts, and sponsored faculty activities. Work conducted under University supervision is accompanied by an important public and personal responsibility for careful management. To fulfill this responsibility, the College of Graduate Studies and Research publishes this manual. It describes general procedures, policies, and services available regarding research and sponsored programs at Minnesota State Mankato. All members of the University community—faculty, academic professionals, staff, and students—who wish to conduct externally funded projects using University facilities, personnel, or other resources need to comply with the appropriate policies and procedures detailed in this handbook.

2. Using this Handbook

The material in this handbook provides an overview of applicable policies and procedures. The information receives periodic updates to reflect changes in organization, programs, policies, and procedures. Suggestions for improvements to this guide may be directed to the Office of Research and Sponsored Programs.

In many cases, the contents of this guide refer to policies or procedures found in other Minnesota State Mankato publications. These publications are available in departmental offices, Human Resources, Office of Research and Sponsored Programs, and the University library:

- Human Resources Policies/Procedures Manual
- Policy Manual for Externally Funded Grants and Contracts
- Graduate Studies Bulletin
- Classified, IFO and MSUAASF contracts

3. Research and Sponsored Programs at Minnesota State Mankato

Most grants, contracts, and other agreements from external sources are commonly referred to as sponsored projects. Projects that meet any of the following criteria are considered sponsored projects:

- The proposed project binds the University to a specific scope of work.
- Progress, technical, final reports or other deliverables are required.
- Billing, separate accounting procedures, or report of expenditures are required.
- Unexpended funds must be returned to the sponsor at the end of the project period or requested and carried forward.
- The project involves disposition of property, whether tangible or intangible, that may result from the project (e.g., equipment, records, inventions, copyrights, or rights in data).
- The project has a specified performance period or completion date.

Donations to the University for the University's ownership and/or use, if they do not include any of the above conditions, are generally considered to be gifts. Gift solicitation and receipt should be coordinated with the University's Advancement Office. When there is a question regarding whether external funding is classified as a sponsored project, contact Research and Sponsored Programs.

3.1 Administration of Sponsored Programs at Minnesota State Mankato

The Principal Investigator

Sponsored projects are undertaken using University resources. The *principal investigator* and the University together shoulder responsibility for accepting funds and carrying out the sponsored project according to the sponsor's guidelines. Sponsored project awards most often result from the principal investigator's professional expertise and, therefore, are most effectively conducted by the principal investigator. The principal investigator is responsible for implementing the sponsored project in accordance with sponsor guidelines – setting up approved budget (Request for New Grant Account and Budget Form, attached) using Minnesota State Mankato's budget codes, hiring staff (filling out UPD's, attached), expending project funds, and conducting the project as described in the proposal and agreed to in the award.

College of Graduate Studies and Research

The *College of Graduate Studies and Research* is responsible for the research programs and other sponsored activities of the University. This office provides leadership in the development of programs, policies and procedures that promote the research mission while protecting the programs and interests of the University. This office reports to the Provost and Vice President of Academic and Student Affairs. Within the scope of research, the Associate Vice President for Research and Dean of Graduate Studies is responsible for the Office of Research and Sponsored Programs, the Institutional Review Board, the Institutional

Animal Care and Use Committee and several internally funded programs. Together with Finance and Administration, the office negotiates the indirect cost rate, prepares management information reports on proposals and awards, and distributes indirect cost recovery as specified in Minnesota State Mankato Facilities and Administration Costs Policy.

Office of Research and Sponsored Programs

The *Office of Research and Sponsored Programs (RASP)* assists the efforts of the University to seek and secure external support for instructional, research, public service, and scholarly and creative activities. This office also assists in budget and proposal development and submission, acting as a liaison between faculty and sponsors. The office can also provide advice on sponsor stipulations and any special conditions that must be addressed during project performance, along with obtaining sponsor-required prior approvals at the request of the principal investigator. The office is the primary contact for issues related to sources of funding and applications for external funding. Additionally, the office subscribes to searchable databases that contain information on funding. The office's web page has additional links to agency websites and helpful grant writing sites. This office also provides services after an award has been made. These services include assistance in interpreting grant agreements, contract terms, and regulations for awards, assistance and advice for changing aspects of a project, budget interpretation and support for faculty and staff, and assistance with initiation and closure of awards.

Grants and Contracts Accounting

Located in Business Services, *Grants and Contracts Accounting* is responsible for compliance with financial sponsor requirements, such as financial reporting and cash management account closeout procedures. This office also responds to requests for audits of sponsored agreements.

3.2 Special Committees Relating to Research and Creative Activities

Faculty Research and Faculty Improvement Grants

The Committee, for each type of grant, reviews, develops, and recommends policies dealing with the enhancement and implementation of research and creative activity at the University and is responsible for the review and policies of their designated program. RASP is a non-voting member of the Faculty Research Grant committee and administers the Faculty Research Grants while the Academic Affairs Office administers the Faculty Research Grants.

Institutional Review Board (IRB)

The role of the IRB is to protect the rights and welfare of individuals who serve as subjects in research studies conducted by or under the direction of Minnesota State Mankato faculty, staff, or students in connection with the university's responsibilities and/or in research studies conducted using university facilities.

The IRB operates to assure the U.S. Department of Health and Human Services that human subjects will be protected and that Minnesota State Mankato will comply with both HHS Regulations for the Protection of Human Research Subjects and the ethical principles described in the Belmont Report. Copies of both documents are available from the IRB administrator. University policy requires that all research involving human subjects be reviewed by the IRB. Research involving human subjects is not permitted to begin until the IRB has reviewed and approved the research protocol. The IRB website is located on the Research link of the College of Graduate Studies and Research homepage; it offers an in-depth description of policies, procedures, operations and responsibilities.

Institutional Animal Care and Use Committee (IACUC)

IACUC is responsible for the oversight of Minnesota State Mankato's animal welfare program, facilities, and procedures. The primary function of IACUC is to ensure the appropriate care and treatment of live, vertebrate animals through compliance with the Public Health Service Policy on Humane Care and Use of Laboratory Animals. The use of any vertebrate animals in research, research training, experimentation, biological testing, and/or teaching without prior approval of the Institutional Animal Care and Use Committee is a violation of University policies and procedures. The IACUC website is located on the Research link of the College of Graduate Studies and Research homepage; it accesses the *Animal Welfare Assurance* which contains a full description of operations and responsibilities. The Minnesota State Mankato IACUC committee meets semi-annually to review protocols and ensure compliance.

Research Integrity Office

The Associate Vice President of Research serves as the University's Research Integrity Officer (RIO). Faculty, staff, administrators or students who learn of an allegation of scientific misconduct are strongly encouraged to report the allegation to the RIO for appropriate action. The RIO will assess the allegation and respond according to the guidelines of the U.S. Department of Health and Human Services' "RIO Handbook for Institutional Research Integrity Officers."

4. Proposal information

A proposal is a request by a university member for funds to support scholarship or research. In general, a proposal includes:

Institutional forms – (attached), an internal form which asks for proposal information and requires institutional signatures.

Agency forms – this information varies with funding sources, but usually includes institutional information, proposal abstract, a project narrative, a detailed budget, bio sketches and disclosure of other funding.

Text specific to the funding agency – this information again varies, for example scientific proposals often requires sections such as specific aims, introduction, preliminary data, methodology, a data management plan, and appropriate citation.

4.1 Types of Proposals

4.1.1 Formal Proposals

Solicited proposals

Solicited proposals are submitted in response to a request by a sponsor for research or training in a specific subject. All program guidelines should be followed. Deadlines (receipt or postmark) may recur annually or several times a year. Examples of solicited proposals are the National Institutes of Health Research Investigator Awards (NIH R01) and National Science Foundation's IUSE awards. Solicited proposals also may be collaborative or group proposals.

Response to a Request for Proposals (RFP) or a Request for Applications (RFA)

The proposed project responds to the specific area of interest of the sponsor and meets the research requirements. Most RFPs and RFAs have a stated deadline and are one-time solicitations for specific needs.

Unsolicited proposals

The principal investigator develops an idea and proposes a formal request to a sponsor for support. Depending upon the sponsor, some unsolicited proposals may also be required to be written to specific program guidelines. Many organizations and foundations consider unsolicited proposals, as well as some federal agencies. Please contact the Office of Research for assistance with this type of application.

4.1.2 Informal Proposals

Letters of Intent or Pre-Proposals

Sponsors often solicit a two to three page Letter of Intent or require a short Pre-Proposal as the initial approach for funding. This is done in order to gauge the projects appropriateness. Projects met with approval are then invited to develop a formal proposal. The Letters of Intent or Pre-Proposals should briefly describe your project, budget, institution, and the project's contributions or broader impacts. You should directly link your project to the sponsors funding interests. This brief document does not officially obligate University resources.

Renewal and Continuation Proposals

A competing renewal is a request for continued project funding at the end of the grant cycle. Competing renewals are internally routed and approved in the same manner as new applications.

Non-competing continuation proposals (Progress Reports) request the next year's funding within a multi-year grant. This usually consists of a progress report, budget, and other relevant materials such as research results, reprints, and curriculum vitae for new personnel. They may include a report of expenditures, including the residual balance and any carryover from the previous year. If the sponsor requires a proposal (not just a progress report) for the non-competing continuation, the proposal must be routed and approved in the same manner as new applications. This is to assure that the appropriate University officials are informed of the current status and any changes from the original proposal so that institutional endorsement is ensured.

Resubmission

A resubmission is an effort to secure funding for a proposal which has been revised in response to comments from reviewers when it was previously submitted. Some sponsors limit the number of resubmissions permitted.

5. Proposal Approval

The MnSCU Board of Trustees is responsible for the performance and proper administration of an award through the University. Therefore, several internal approvals and authorizations are necessary for submitting a proposal.

5.1 Approvals Required on All Proposals

- 1.** All Principal Investigators (PI's) must complete and sign the Campus Approval for Externally Funded Projects (CAEFP) form prior to external submission. PI's are also responsible for obtaining the required signatures of the appropriate individuals listed in items two, three, and four below.
- 2.** Chairs, directors, or supervisors are also required to sign the CAEFP. These signatures verify review for substance and academic appropriateness, consistency with department priorities, and commitment by the department of personnel, space, facilities and equipment. For proposals involving more than one department, all affected administrators must review and approve the proposal. Departments share responsibility with the investigators for performance of the work, compliance with sponsor and University requirements, and verification of cost sharing obligations.
- 3.** After the department chair has approved and signed, the CAEFP and proposal are submitted to the dean(s) of the appropriate college(s) for review and signatures. A signature verifies that all costs are provided for and that proposed matching funds are available and can be satisfactorily documented.
- 4.** The CAEFP should then be brought to the RASP office to route for the remaining signatures. The signatures of the Director of Research and Sponsored Programs, the Vice President of Finance and Administration, and the Associate Vice

President for Research and Dean of Graduate Studies are required for review and approval of University commitments. Proposals which require University match, in-kind contributions, or reallocation of existing resources must be discussed and approved by the appropriate Vice President prior to sending the grant through the formal approval process. To ensure the appropriate Vice President is able to consider University contributions to projects, Principle Investigators need to meet with a RASP representative at least **two weeks** or ten business days prior to deadlines.

5.2 Conflict of Interest and Investigator Significant Financial Interest Disclosure

There is a heightened awareness of conflict of interest issues concerning research performed at institutions of higher education. Most sponsors have policies regarding conflict of interest. Minnesota State Mankato faculty and staff engaged in outside employment or activities should be familiar with the University's policy regarding conflict of interest. Principal Investigators should keep their chair, dean, or supervisor fully informed of potential conflict of interest situations.

5.3 Representations and Certifications

Some federal sponsors may require applicants to provide assurances or sign certifications of compliance with a variety of federal regulations whether or not they may be applicable to the proposed project. Examples include regulations regarding civil rights, confidentiality, lobbying, drug-free workplace, debarment and suspension, and procurement integrity. When such forms are needed, notify RASP and allow time for staff to complete the forms and obtain the authorized University signatures.

5.4 Regulatory and Safety Issues

Projects that involve any of the issues listed below are subject to special review processes to assure compliance with federal, state, and/or University regulations and to ensure the health and safety of those involved in the project. Principal Investigators are responsible for obtaining the appropriate approvals (e.g. IRB and IACUC forms):

Human Subjects

All research involving human subjects must be submitted to the Institutional Review Board (IRB). Contact the IRB Coordinator well in advance of the sponsor deadline for guidance and assistance. Allow at least six weeks before proposal due dates during the academic year and at least eight weeks in the summer. Further information can be found at: <http://grad.mnsu.edu/irb/process.html>

Laboratory and Other Research Involving Animals

All research or teaching activities involving the use of vertebrate animals must be reviewed and approved by the Institutional Animal Care and Use Committee (IACUC)

prior to use of the animals. No animal may be procured or accepted unless the activity has been approved by the IACUC. Principal Investigators should carefully consider if animal use is necessary and whether alternatives exist to animal use. Contact the Research Compliance Coordinator to obtain approval forms at least six weeks in advance of the sponsor deadline. The Research Compliance Coordinator can also provide information about the application procedure and animal care. The latest forms and regulatory information can be found at:

<http://grad.mnsu.edu/research/iacuc/>

Environmental and Occupational Safety

Principal investigators are individually responsible for ensuring that all personnel involved with a project understand both health and safety hazards, as well as the proper handling of chemical materials to be used in research and teaching activities. They must ensure that the facilities in which chemical materials will be stored and handled are adequately designed for the hazards of such materials. Assistance with training, equipment, and environmental health and safety regulations, along with collection and disposal of all hazardous chemical wastes, can be obtained through the Environmental Health and Safety Risk Management Director.

6. Awards

The principal investigator, Business Office, and the Authorizing Official receive written notification of the sponsor's decision regarding the proposal. If faculty members receive the award letter, they should immediately forward it to the Office of Research and Sponsored Programs. A "Request for New Grant Account and Budget Form" should be completed, signed by the investigator and their dean, and returned to RASP to facilitate the award's cost center setup.

6.1 Award Information

Awards are usually made in the form of grants, cooperative agreements, or contracts. A grant is the transfer of funds, property, services, or anything of value from a sponsor to an institution, in order to assist the grantee in reaching a public goal. If there is substantial involvement by the sponsor, a cooperative agreement may be issued rather than a grant. A contract is an agreement for procurement of a particular service or product for the direct benefit of the sponsor.

Award Acceptance

An authorized University official signs award documents, which require signature for acceptance. Only those persons specifically authorized by the Minnesota State Mankato Board of Trustees may legally sign agreements for the Board, acting for and on behalf of the University. In consultation with the principal investigator, RASP will review the budget, terms, and conditions of the award before obtaining authorization from Finance and Administration.

6.2 Policies Applicable to Contracts

Awards made by contractual agreements are usually more complicated than awards made by grants. The Office of Research and Sponsored Programs, along with the Finance and Administration Office, is responsible for preparing and negotiating contracts with industry, agencies of state and federal government, local municipalities and nonprofit organizations. Cooperative efforts are encouraged with private and public partners to support research and creative activities that support the University's research, teaching, and public service missions. General policies applicable to agreements between the Minnesota State Mankato Board of Trustees and industrial and commercial organizations are stated below. Many of these policies apply to federal, state, local governments, and nonprofit organizations.

University Review and Administration

Initial discussions between sponsor representatives and faculty or staff are encouraged since this confirms mutual interest. However, sponsored projects can be formally established at Minnesota State Mankato only after a proposal has been submitted and approved through internal review procedures, and an acceptable agreement is negotiated and signed by the authorized representatives of the organizations involved.

Publication Policy

Minnesota State Mankato's sponsored activities are conducted as an integral part of the total educational program, and these activities often form the basis for articles in professional journals, seminar reports, presentations at professional meetings, and student theses. Copyrights and publication rights belong to this university and/or the author. Minnesota State Mankato may allow the sponsor to retain ownership of information, as long as both sign an agreement acknowledging such.

Confidentiality

Any proprietary information disclosed by a sponsor to a Minnesota State Mankato employee shall be governed by individual nondisclosure agreements between the sponsor and the individual(s) performing the work.

Compensation and Payments

Contracts with for-profit sponsors are performed on a full cost recovery basis. Project budgets should include both direct costs and full indirect costs at Minnesota State Mankato's federally negotiated rate, corporate and foundation rate, or the maximal allowable rate of the funding agency. The schedule of payments is negotiable depending on type and scope of project, length of project period and anticipated pace and pattern of actual expenditures.

Use of the University's Name

Minnesota State Mankato requires that its name not be used in connection with any advertisement, press release, or other forms of business promotion or publicity, without prior written approval.

Liability and Risk

Standard agreement stipulates that the sponsor indemnify, save, and hold Minnesota State Mankato, its representatives and employees, harmless from any and all claims or causes of action, including attorney's fees incurred by the university, arising from the performance of the contract by the sponsor or the sponsor's employees. Minnesota State Mankato cannot legally agree to indemnify the sponsor. Other language may be negotiated with a sponsor. Please contact the Finance and Administration Office for assistance.

National and State-required Clauses

Minnesota State Mankato, as a state-supported entity, has constitutional and statutory requirements to insert in all contracts certain clauses dealing with nondiscrimination, conflict of interest, non-appropriations, and arbitration. For further information, contact the Finance and Administration Office.

Termination of the Agreement

In the event the sponsor for any reason terminates a funding agreement, the sponsor will be expected to reimburse the university for all costs incurred to the date of termination and for all non-cancelable obligations. Expenditures for which Minnesota State Mankato does not receive reimbursement are the responsibility of principal investigators and their departments.

7. Project Administration

The Principal Investigator has primary responsibility for execution of the project, while complying with financial and administrative policies and regulations. For administrative matters, consult RASP staff for many actions such as re-budgeting, prior approvals, and no-cost time extensions.

7.1 Pre-award Costs

Sometimes the Program Officer at the sponsoring agency will inform Minnesota State Mankato that a project has been recommended for funding. If it is important to order equipment or begin a personnel-recruiting process prior to official notification from the sponsoring agency, there are procedures that may allow an account to be established. There is always an element of risk in starting project work prior to formal award notification; contact RASP before you make any financial commitments to determine what pre-award approval process is available.

7.2 Account Setup

When Research and Sponsored Programs receives the final, fully executed award document, a unique cost center will be assigned to the project. The Grants and Contracts Accountant will email the award notice (outlining the funding amount, project period, and other pertinent accounting information) to the principal investigator and department or college. Questions about the sponsor's policies on financial and administrative management should be discussed with RASP.

7.3 Personnel

University policy applies to all personnel actions, including those funded by external sponsors. Human Resources can assist with personnel actions.

Hiring

The principal investigator or designee is responsible for initiating all hiring and payroll actions, as well as supervision of sponsored project personnel. All personnel must be paid in accordance with University guidelines. Salary rates, job classifications, and regulations for personnel employed on sponsored projects are the same as those established for all other employees of the University.

Salaries and Wages

Payroll costs for employees working on a sponsored project should be reflected on the project's account code at the level of effort actually performed. This provides the most accurate financial information and documents the project's allowable costs. Any salary adjustment must be consistent with institutional procedures. If a university wide salary increase is not authorized, employees working on sponsored projects will not receive a pay increase even though funds may have been budgeted to cover the additional costs.

Fringe Benefits

Personnel paid from a sponsored project account are subject to the same benefit policies as personnel paid from other University funds. Contact the Benefits Representative in Human Resources for information on policies and procedures, or refer to the Human Resources Policies/Procedures Manual. Only actual costs are charged to the account; however, variances from budgeted amounts sometimes occur depending on projected vs. actual benefit increases.

Annual and Sick Leave Accruals

All benefits-eligible staff employed on sponsored projects accrue annual and sick leave time.

Supplemental Pay

Federal sponsor regulations generally restrict payment of supplemental pay for full-time faculty. Additional information is provided by the IFO and MSUAASF contracts.

Time and Effort Reporting

The federal government requires effort certification. Compliance is necessary to assure continued federal funding. Principal investigators will receive Time and Effort Reports for certification. These reports reflect the percentage of pay received from the sponsored project, as well as pay from all other University sources. The employee can agree with or correct the percent of time to reflect the actual level of effort. All persons who receive pay from a sponsored project must certify that they spent the time proportionate to the amount paid. It is the principal investigator's responsibility to make sure the actual level of effort corresponds to the reported level of effort, whether paid or contributed.

7.4 Purchasing

Purchase of goods and services for sponsored projects must comply with both the overall intent and specific detail of the sponsor's regulations, as well as with University policies. It is important to become familiar with the terms and conditions governing expenditures to ensure that all expenditures are allowable and are adequately documented to demonstrate how expenditures benefit the project. The University is audited regularly. Therefore, it should be evident to an outside reviewer that any purchases advance the project goals and are allowable expenditures.

7.4.1 Purchasing Procedures

Procedures for purchasing on sponsored projects are the same as for other University projects. Departments may already have someone who handles purchasing; if not, contact the Purchasing Department or refer to the Purchasing Department Policies and Procedures Manual for assistance. Some issues specifically related to purchasing on sponsored accounts include:

Outside Expertise

Subcontracts are the purchase of services or program-related tasks. In order to subcontract a portion of the work on a sponsored project to another organization or individual, provision must have been stated in the funded proposal or in subsequent written approval from the sponsor. Contact RASP and Finance and Administration for assistance before any discussions with a potential subcontractor. The offices will assist in the preparation and negotiation of the subcontract, utilizing a scope of work and budget developed by the principal investigator. Once an agreement is negotiated and signed by the University's authorizing official, subcontractors submit invoices directly to the Business Office.

Consultants are independent contractors (individuals or organizations) who are non-State employees who provide services for the University. Many sponsors may require specific prior approval for each consultant or may limit the daily rate or number of days for consultant services.

Equipment

Ideally, all equipment purchases are itemized and approved in the original proposal. Prior approval may be needed from the sponsor to buy equipment not previously authorized. This approval may take several weeks. Some federal sponsors have delegated this prior approval authority to Minnesota State Mankato for their grants. Other sponsors require specific prior approval of certain types of equipment, e.g., automated data processing equipment, and/or formal screening for equipment availability prior to purchase even if the equipment is listed in the approved budget. The principal investigator is responsible for obtaining that approval in writing prior to submitting any purchasing or payment requests.

Purchases near Project Termination Date

Items not received during the project period are not considered by an agency to be of benefit to the project and may be disallowed. Therefore, orders for supplies and equipment should be placed well in advance of the account expiration date to ensure delivery and use before the project terminates.

7.5 Travel

University travel policies and procedures apply to travel on sponsored accounts unless the sponsor's regulations are more restrictive. Travel may be limited in terms of dollars or specific trips or both. To be allowable, travel must directly benefit the project rather than enhance the reputation of the University. Overspending the travel budget category (including domestic and international travel) often requires prior approval from the sponsor. University travel rates are used for reimbursement of costs associated with travel.

International travel usually requires specific prior approval. Most sponsors require written approval for each international trip, sometimes even if the travel was itemized in the proposal and included in the award budget. Many federal sponsors require 60 to 90 days advance notice. The following link provides more information on the Fly America Act: <https://www.gsa.gov/policy-regulations/policy/travel-management-policy/fly-america-act>

7.6 Financial Management

Principal Investigator's Responsibilities

The principal investigator is ultimately responsible for accomplishing the goals of the project and also for fiscal management in accordance with all sponsor and University regulations. The Business Office and RASP provide advice, assistance, and training to facilitate compliance with the regulations.

Principal investigator's fiscal responsibilities include:

- Understanding the sponsor's general policies and specific terms and conditions covering the agreement;
- Authorizing only those expenditures that are reasonable and necessary to accomplish the project goals and are consistent with the sponsor's terms and conditions;
- Spending no more than the amount authorized by the sponsor for the project period;
- Adhering to sponsor limitations on the amount of money that may be spent in any single budget category;
- Incurring costs only for goods or services that will be used or received during the project period;
- Charging project costs directly to the appropriate project account;
- Avoiding cost transfers because they are highly suspect during audit;
- Documenting cost share commitments.

Rebudgeting

Sponsors have different budget flexibility policies. RASP can help determine whether the award agreement and sponsor permit reallocation among budget categories. A written request to the sponsor may be required. Any rebudgeting request to the sponsor must detail how this request will assist in accomplishing project design and goals.

Expenditure Corrections

Occasionally expenditures might be charged to the wrong account. Review budget account statements regularly and notify Business Services regarding errors.

Deficits

If the project's expenditures exceed the sponsor's award and/or payment upon completion of the project, the guarantor cost center (as identified on the Request for New Grant Account and Budget form) will cover the cost overrun or uncollected accounts receivable.

7.7 Invoicing and Reporting

Financial Status

Monthly financial reports are generated and distributed from the University's accounting system. The principal investigator is responsible for reviewing the reports to verify that the expenditures and commitments are correct and charged to the right account. The reports also can be used to do projections based on intended spending.

Invoicing and Financial Reporting

The Business Office will prepare and submit **ALL** financial reports and invoices to the sponsor. The office also operates in an accounts receivable capacity and pursues prompt payment of sponsor commitments.

Project Reports

The principal investigator is responsible for project reports. One copy of each project report should be provided to RASP for the official files. The principal investigator should make every effort possible to submit the progress report in a timely manner.

Overdue Project Reports

The procedure in place for overdue reports is as follows:

The funding agency emails RASP and the Principal Investigator notification of an overdue report. RASP responds directly to the PI, cc'ing the Associate Vice President of Research and Dean of Graduate Studies with the following statement:

Per agency guidelines, failure to submit timely reports may delay review and processing of pending proposals for all identified PIs and coPIs on the award. It may also delay processing of administrative actions including, but not limited to, no cost extensions. In the case of continuing grants, failure to submit timely reports may delay processing of funding increments.

If you are in need of assistance with submitting your report, please contact Research and Sponsored Programs at 389-5275. Further action regarding overdue reports is at the discretion of the Associate Vice President of Research and Dean of Graduate Studies.

7.8 Indirect Costs

Indirect costs are costs incurred by the University that cannot be readily identified or associated with a single sponsored project or institutional function. Examples are utilities, public safety, building and equipment use and maintenance, libraries, student administrative services, personnel, payroll, academic and sponsored administration, and purchasing.

Determination

The U.S. Office of Management and Budget has established procedures for institutions of higher education to determine universities' indirect costs. Ratios are developed that relate these indirect costs to the direct costs of the primary functions of the institution, such as instruction, organized research, and other activities. The resulting rates are then reviewed by Minnesota State Mankato's federal cognizant agency (Department of Health and Human Services), final rates are negotiated, and a formal rate agreement is signed. The established rates then apply

to all agreements with Minnesota State Mankato unless other mandatory stipulations apply.

Calculation

The applicable indirect cost rate classification and percentage for an agreement is identified in the award process. Indirect cost is charged to the account each month based on the agreed upon rate. Indirect costs on Federal grants are charged at the negotiated rate of 38.10% on salary and fringe for project or research conducted on campus and 10.6% for projects or research conducted off campus. Indirect costs on local, state, corporate, or foundation awards and subcontracts are charged at 12% of the total direct cost. Any grant or contract involving Minnesota State Mankato resources which does not include a line for indirect cost recovery (or which specifically waived indirect costs as part of the initial budget approval process signed by the Dean, Research Director, Graduate Dean, Senior Vice President, and Finance and Administration Vice President) will have indirect costs charged to the budget of the grant or contract at the rate of 12% on all costs for a non-Federal grant or the negotiated indirect rate of 38.10% of salaries and benefits for a Federal Grant.

Distribution of Recovered Indirect Costs

Indirect cost recovery partially reimburses the University for costs incurred by conducting sponsored projects. The recovered indirects are distributed to the following: the division or college generating the activity; the Office of Research and Sponsored Programs to provide administrative support for research; to Library Services for research support and resources; and to Finance & Administration for post-award support.

7.9 Property Management

Acquisition of Property for Sponsored Projects

Property is considered capital equipment if the unit cost is \$5,000 and has a life expectancy of more than one year. Any planned property purchases on a sponsored project should be itemized in the proposal budget and agreement. However, some sponsors and agreements still require specific prior approval on certain types of property even if listed in the approved budget.

Management of Sponsored Property

Sponsors require property purchased with their funds to be used only for the reason for which it was intended during the project period. Some sponsored property will remain the property of the sponsor and should not be integrated with Minnesota State Mankato property if it will lose its identity. Sponsor-owned property must be managed with strict control. The Division of Finance and Administration is responsible for the property system, inventory, and audit at Minnesota State Mankato. This office maintains a two-year perpetual physical inventory cycle, tags University and sponsored property, and maintains inventory records.

7.10 Ethical Conduct in Research

Minnesota State Mankato is committed to maintaining integrity and truthfulness in research and scholarship through the responsible and ethical conduct of its faculty, staff, and students. Consistency of rule interpretation, application, and appropriateness of any proposed corrective action are ensured through consultations among the Dean of Graduate Studies and Research and the appropriate deans and chairs.

Conflict of Interest

Minnesota State Mankato faculty and staff engaging in outside employment or activities should be familiar with University policy and state law regarding conflict of interest. Principal investigators should keep their chair and dean or supervisors fully informed of potential conflict of interest situations.

7.11 Intellectual Property

For any potentially patentable or marketable invention or discovery, contact the Associate Vice President of Research and Dean of Graduate Studies. If at any time during the course of a sponsored project it is determined that there may be a potentially patentable invention or discovery, it is important to contact RASP. Many sponsored program agreements require submission of an invention disclosure report within a relatively short, defined time frame, as well as a patent and inventions report annually and/or at the close of the program.

7.12 Project Extension and Termination

No-cost Time Extensions

If it is necessary to extend the project period (without requesting additional funds) in order to complete the project, such requests must occur prior to the termination date. Procedures for requesting an extension vary according to the type of award and sponsor. Many federal agencies allow one no-cost time extension per project to be approved internally through RASP. To request additional time, contact the office and describe why the additional time is needed to accomplish project goals. If an extension is needed and cannot be granted internally, RASP will request approval from the sponsor jointly with the principal investigator. The principal investigator needs to write a letter to the sponsor and forward it to the office. The letter needs to request the extension, describe why additional time is needed, how much time is needed, and how the remaining funds will be spent. Additional information may be necessary depending on sponsor requirements. Extension requests should be sent to the sponsor at least 30 days prior to the scheduled termination date (time period may vary depending on the sponsor's requirements).

Project Termination

The principal investigator should arrange to move personnel paid on the project to an alternate funding source or advise them of pending layoff at least two weeks before the project ends. The principal investigator may also need to terminate maintenance agreements, remove telephones or change billing instructions, return leased equipment, or take other action. Final progress reports are usually due up to 90 days after termination.

Disposition of Property

Contact RASP for procedures for disposal of inoperable or unwanted property. In some cases, prior approval from the sponsor may be necessary. Never trade or dispose of property purchased with sponsored funds without approval from RASP and Finance and Administration.

8. Internal Support and Programs

The commitment of the University towards developing our research, scholarly and creative activity mission is reflected in the establishment of strong internal programs to support our faculty and staff. The Minnesota State Mankato Inter-Faculty Organization (IFO) agreement provides eligibility for all bargaining unit members in the Faculty Research Grants.

Faculty Research Grants (FRG)

The FRG program encourages excellence among Minnesota State Mankato faculty engaged in research, scholarship and creative activities. Funds are available through a competitive evaluation for fall and spring semester cycles. The Provost and Vice President for Academic and Student Affairs make awards based on the recommendations of the Faculty Research Committee's review.

Key Committees and Personnel

Each of these programs is administered by the collaborative efforts of the Faculty Research Committee and the College of Graduate Studies and Research. Their dedication to these responsibilities make it possible for new faculty to obtain seed funds, established faculty to explore new directions, selected faculty to allocate more of their workload towards research and scholarly activities and form excellent teams of graduate students and faculty. The current list of members on the Faculty Research Grant Committee can be found on Faculty Research Grants link on the Research and Sponsored Programs home page.

8.1 Contract Information

In an effort to assist departments in creating a contract, the following Contract Resource Guide has been developed for your reference:

Per MnSCU Board Procedure 5.14.2

<http://www.minnstate.edu/board/procedure/514p2.html> Minnesota State

University, Mankato is required to prepare contracts for all companies and individuals who will be paid to perform a task or service – *no matter what the dollar amount is*. Examples of contracts would include, but are not limited to speakers, entertainers and consultants. All accounts, including student organizations, activity accounts, grants, foundation, etc., are required to use MnSCU approved contracts.

How to Initiate a Contract:

Step 1: Process a PCS Electronic Purchase Order

- A vendor number is necessary in order to prepare a purchase order. If the company or individual has worked on campus before, they may already have a vendor number. If not, you will need to request a new vendor number. Here is the link to the “Vendor Number Request Form”: <http://www.mnsu.edu/busoff/purch/vendorrequest/index.html>.
- Processing a PCS Electronic Purchase Order **does not** initiate a contract. Please fill out the Contract Form located at <http://www.mnsu.edu/finadm/contracts/>.
- For assistance in processing a PCS electronic purchase order, please contact the Purchasing Clerk in Business Services at 389-5017.

Step 2: Request a Contract

- To request a contract, complete the online Contract Form at http://www.mnsu.edu/finadm/contracts/contract_form.pdf and submit to the Contracts Coordinator in WA238. The Contract Form must be completed to initiate a contract. You can also use this form when requesting other types of contracts, agreements, leases, etc.
- MnSCU has **not** approved electronic signatures. To ensure the contract is fully signed before work begins, submit the Contract Form at least 4-6 weeks prior to work beginning.
- Contracts must be fully signed before any work or services begin. If work begins prior to a contract being fully signed, you are in violation of this Statute and a 16A.15 Form will be sent to you for completion. *16A violation forms are kept on file and are subject to review by internal and legislative audits.*
- Funds must be encumbered prior to making an obligation to certify that the Accounting System shows sufficient encumbrance in the account to comply with Minnesota Statutes 16A.15.
- For assistance to initiate a contract, please contact the Contracts Coordinator, Office of Finance & Administration, at 389-6623 or email fiscal-affairs@mnsu.edu.

Things to Keep in Mind:

- Only authorized personnel with an approved Delegation of Authority (on file with the Finance & Administration Office) may sign contracts obligating Minnesota State University, Mankato. Currently, Richard Straka, Vice President of Finance & Administration, is authorized to sign contractual obligations up to \$99,000.00. Richard Davenport, President, signs obligations of \$100,000.00 and above along with an authorized approval from the Office of the Chancellor (the Contracts Office will obtain).

- Agreements/contracts that are not on MnSCU templates must be submitted to the Contracts Coordinator in WA238 for review and signature.
- Amendments/Addendums will not be initiated if an invoice is submitted for more than the contracted amount. Please calculate contracted dollar amounts carefully. To initiate an amendment/addendum, please email the Contracts Coordinator.
- If you would like to hire a State employee, please contact the Human Resources Office.
- If you would like to hire a student who is enrolled in six (6) or more credits, please contact the Student Payroll Office.
- Submit one Contract Form for services needed through a fiscal year for a company or individual.
- For more information on contracts, please go to the Contracts website at <http://www.mnsu.edu/finadm/contracts/>

Step 3: Complete the payment process

- For individuals or companies who do not normally provide their own invoice, a CS1441 should be completed. This form can be found at the following website: https://www.mnsu.edu/busoff/acctspay/forms/pdfs/cs1441_march2015.pdf. Upon completion of services, the form must be signed by both the person authorized to sign for the department and the company or individual. Please forward the completed form to Accounts Payable, Business Services (WA236).
- All invoices should include a purchase order number, the dates of service and a summary of services provided.
- Checks will be mailed to the company or individual after work is completed. No check will be processed for pickup unless it is a **requirement** of the company or individual.
- For assistance in processing payments, please contact Accounts Payable in Business Services at 389-2369.

The Contract Resource Guide is available at <http://www.mnsu.edu/finadm/contracts/> and will serve as a helpful tool to complete the contract process.

For more information, please contact the Contracts Coordinator in the Office of Finance & Administration at 389-6623.

8.2 Requesting Government Documents through FOIA

This document details the proper way to request a grant proposal that was funded under a government announcement. You must submit a request through the Freedom of Information Act (FOIA).

Start with finding as much information on the proposal as there is available. You should be able to find the following information (Example):

Organization: Regents of the University of Minnesota
Funding Announcement: Comprehensive Geriatric Education Program
Grant Number: D62HP15053
Name of Recipient: Christine Mueller
Amount Awarded: \$143,179.00

There is no fee to make the initial request, and the FOIA allows each person who accesses the system two hours of free search time and 100 pages of free copying. Once those limits are exceeded, the charges for additional pages are \$0.10 per page. The charges for additional search time by an employee are:

Less than 8 hours	\$23
9-14 hours	\$46
15 hours or more	\$83

It's important to find as much information as possible BEFORE submitting your request!

Fee Waivers

You may request a fee waiver for preprocessing fees. Note: this is only for situations where you can show that the disclosure of information you are requesting is in public interest because it will “contribute significantly to public understanding of the operations and activities of the government and is not primarily in the commercial interest of the requester (HHS.gov, 2012).

Once you are ready to fill out the request form, go to this website: <https://requests.foiaexpress.hhs.gov/palMain.aspx> and fill out the page, providing as much information as possible.

The screenshot on the next page should help make sure you're on the right track!

Expect to receive an email and/or a letter in the mail to acknowledge receipt of your request. From there, processing time depends entirely on what documents you requested and is variable.

HHS Home > FOIA (Freedom of Information Act) > Submit a FOIA Request

- FOIA (Freedom of Information Act)
- Submit a FOIA Request
- FOIA Fees
- FOIA Appeals
- Electronic FOIA Reading Room
- Annual Reports
- Privacy Act
- Reference Materials
- Contacts
- FAQs

Submit a FOIA Request

Please thoroughly research your topic before submitting a request. HHS Information is available on the internet. You can access and search electronically available HHS information on the [HHS Homepage](#) and in the [Electronic Reading Room](#).

Submission Instructions

You may complete the online form below or to make a request by mail or fax, please contact the relevant [FOIA Office](#). If you are unable to determine which Freedom Of Information Service Center has the information you are seeking you may submit your request to the HHS Headquarters Office.

* all fields marked with an asterisk are required and must be completed for submission.

[National Survey of Adolescents and Their Parents - Project No. 60005 - Final Report](#)

Online Request Form

Title:

* First name:

Middle initial:

* Last name:

* Organization/Affiliation:

* Address 1:

Address 2:

* City:

* State:

* Zip code:

* Daytime phone number:

Fax number:

* Email address:

the documents will be helpful to the agency in deciding where to search and in determining which records respond to your request, saving you and the government time and money. Please identify the HHS Operating/Staff Division(s) from whom you are seeking documents.

Operating Division(s):

Choose an operating Division

- Administration for Children and Families (ACF)
- Administration on Aging (AoA)
- Agency for Healthcare Research and Quality (AHRQ)
- Agency for Toxic Substances and Disease Registry (ATSDR)
- Centers for Disease Control and Prevention (CDC)
- Centers for Medicare & Medicaid Services (CMS)
- Food and Drug Administration (FDA)
- Health Resources and Services Administration (HRSA)
- Indian Health Service (IHS)

Staff Division(s):

Choose a Staff Division

- Assistant Secretary for Administration and Management (ASAM)
- Assistant Secretary for Resources and Technology (ASRT)
- Assistant Secretary for Health (ASH)
- Assistant Secretary for Legislation (ASL)
- Assistant Secretary for Planning and Evaluation (ASPE)
- Assistant Secretary for Public Affairs (ASPA)
- Assistant Secretary for Preparedness and Response (ASPR)
- Departmental Appeals Board (DAB)
- Immediate Office of the Secretary (IOS)

Please list, as clearly as possible, the name of the document(s), the type of document(s), and any other specifics you may have that will identify the documents you seek:

Identify the date range of the documents: Start date: End date:

Expedited Processing

Designate only if your request meets one of these categories.

- An imminent threat to the life or physical safety of an individual exists.
- An urgency to inform the public concerning actual or alleged Federal Government activity exists (this option available ONLY for requestors primarily engaged in disseminating information).

Please describe your justification for expedited processing:

FOIA Requester Service Centers

Each major organizational component in HHS has a FOIA Requester Service Center that processes relevant FOIA requests.

- [AoA](#) - Administration on Aging
- [ACF](#) - Administration for Children and Families
- [AHRQ](#) - Agency for Healthcare Research and Quality
- [CDC](#) - Centers for Disease Control and Prevention
- [CMS](#) - Centers for Medicare & Medicaid Services
- [FDA](#) - Food and Drug Administration
- [HRSA](#) - Health Resources and Services Administration
- [IHS](#) - Indian Health Service
- [NIH](#) - National Institutes of Health
- [OIG](#) - Office of Inspector General
- [PSC](#) - Program Support Center
- [PHS](#) - Public Health Service
- [SAMHSA](#) - Substance Abuse and Mental Health Services Administration

8.3 Dictionary of Commonly Used Acronyms

AFOSR	Air Force Office of Scientific Research
ARO	Army Office of Research
AY	Academic Year
CAS	Cost Accounting Standards
CAEFP	Campus Approval for Externally Funded Projects
COI	Conflict of Interest Statement of Disclosure
Co-PI	Co-Principal Investigator
DOE	U.S. Department of Energy
EDGAR	Education Department General Administrative Regulations
FAR	Federal Acquisition Regulations
FFP	Firm Fixed-Price
FY	Fiscal Year
G&C	Grants and Contracts
GSR	College of Graduate Studies and Research
HHS	U.S. Department of Health and Human Services
IACUC	Animal Care and Use Committee
IDC	Indirect Costs
IPA	Intergovernmental Personnel Agreement
IRB	Institutional Review Board
NASA	National Aeronautics and Space Administration
NIH	National Institutes of Health
NSF	National Science Foundation
OMB	Office of Management and Budget
ONR	Office of Naval Research
PHS	Public Health Service
PI/PD	Principal Investigator/Project Director
RASP	Research and Sponsored Programs
RFA	Request for Applications (grants)
RFP	Request for Proposals (contracts)
USDA	U.S. Department of Agriculture

8.4 Glossary of Commonly Used Terms

A-21

A circular issued by the Office of Management and Budget (OMB) that establishes principles for determining costs applicable to grants, contracts, and other agreements with educational institutions.

A-110

This Circular sets forth standards for obtaining consistency and uniformity among Federal agencies in the administration of grants to and agreements with institutions of higher education, hospitals, and other non-profit organizations.

A-133

A circular issued by OMB that establishes audit requirements for institutions of higher education and other nonprofit organizations receiving federal awards.

Allowable Costs

OMB Circular A-21 defines allowable costs as those that are:

1. reasonable
2. allocable to the project
3. given consistent treatment by use of generally accepted accounting principles
4. in conformance with any limitations or exclusions set forth by the sponsored agreement or OMB Circular A-21.

Contact the appropriate project fiscal analyst for advice on questions regarding the allowability of expenditures.

Assurances

Agreements or contracts between the institution and the federal Office of Protection from Research Risks (OPRR) stipulating the policies and procedures by which the institution will protect the welfare of human and animal research subjects in accordance with the applicable regulations. Proof of assurance may be a condition for receipt of federal research funding.

Animal Welfare Assurance: A standing agreement on file with OPRR that is approved for five-year intervals. This document assures the institutional compliance with the Animal Welfare Act and other Federal statutes and regulations relating to animals and establishes and empowers the IACUC as the local review body responsible for the regulatory compliance of animal research.

Multiple Project Assurance (MPA): A standing agreement on file with OPRR that is approved for five-year intervals. This document assures the institutional compliance with Department of Health and Human Services human subjects' regulations and establishes and empowers the HSIRB as the local review body responsible for the regulatory compliance of human subject research. An MPA is designed for institutions that are engaged in a particular amount of health-related research (i.e., institutions that usually have several federally-funded research projects under way at any given time).

Single Project Assurance (SPA): An agreement covering a single research project involving human subjects. An SPA is often used for institutions that do not have an MPA on file with OPRR. The institution upon request by a federal sponsor will prepare an SPA.

Award

Funds or equipment, both original and supplemental, provided by an external sponsor for support of a project at Minnesota State Mankato.

Agency Broad Announcement

An announcement that is general in nature and that identifies areas of research interest, including criteria for selecting proposals, and solicits the participation of all offers capable of satisfying the government's needs. Broad agency announcements may be found on the Commerce Business Daily's website.

Budget

The line items indicate how funds in a proposal or an award will be allocated to cover various costs. These may differ but usually include salary and wages, student support, fringe benefits, supplies, computer costs, travel, participant support, equipment, consultants, sub-awards or subcontracts, publication costs, and miscellaneous costs.

Certification

A document attesting to the truth of a certain act, such as the following:

Certificate of Confidentiality: A certification from the appropriate federal agency that protects research data and the identity of the human research subjects from subpoena or other legal process. A principal investigator should seek a Certificate of Confidentiality if information to be obtained from or about the human research subject might interest law enforcement or other government agencies to the extent that the agency might demand personally identifiable information.

Conflicts of Interest (Significant Financial Interest Disclosure): A disclosure of any significant financial interest that may present a conflict of interest in relationship to externally funded projects. A question relating to this topic is on the proposal approval form. If the answer to the question is "yes," then a completed Significant Financial Interest Disclosure form and supporting documentation must be submitted to RASP along with the proposal and the proposal approval form.

Debarment and Suspension: A certification assuring the federal agency that the research personnel and the institution are not presently declared ineligible for receiving federal support; have not been convicted of fraud or a criminal offense in the performance of a federal award; are not in violation of federal or state statutes; are not presently indicted for criminal or civil charges; and have not within a three-year period preceding the application had one or more federal, state, or local transactions terminated for cause or default.

Delinquent Federal Debt: A certification provided to the federal agency that the applicant organization is not delinquent on the repayment of any federal debt.

Drug-free Workplace: A certification assuring the federal agency that the institution does and will continue to provide a drug-free workplace as required by the Drug-free Workplace Act of 1988.

Lobbying: A certification assuring the federal agency that no federally appropriated funds or any other nonfederal funds have been paid or will be paid to influence a federal official or employee in connection with the awarding of any contract, grant, or agreement.

Misconduct in Science: A certification that the institution has established administrative policies dealing with and reporting possible misconduct in science and that it will comply with the policies and requirements as published in the federal agency's regulations.

Classified Research

Research sponsored by a federal government entity that involves restrictions imposed by agreement or otherwise on the distribution or publication of research findings or results following completion, for a specified period or for indefinite duration.

Cognizant Audit Agency

The office or staff that is designated to perform audits on behalf of the federal government for sponsored projects at a university. The cognizant audit agency for Minnesota State Mankato is the U.S. Department of Health and Human Services.

Consortium

Two or more institutions working on the same research project either funded directly by the supporting agency or by a prime institution subcontracting out the funds to other members of the consortium.

Consultant

An individual whose expertise is required by the Principal Investigator (PI) to perform the research. A consultant may be a paid or unpaid contributor. A Minnesota State Mankato employee cannot be a consultant on university projects.

Contract

An agreement for procurement of a particular service, (e.g., evaluating the effectiveness of a project) or product (a report at the end of a research project), in which an institution is paid primarily to benefit the sponsor or to help the sponsor reach a particular goal. A contract will have various terms and conditions to which both the sponsor and institution must agree before work can begin. For an award to be considered a contract, it generally must specify: (1) detailed financial and legal

requirements; (2) work to be performed; (3) deliverables and reports to be submitted to the sponsor; (4) separate accounting procedures; (5) legally binding contract clauses; and (6) benefits that accrue to the sponsor, the institution, and the nation.

Types of Contracts:

Cost Reimbursable – payment is based on actual allowable costs incurred in performance of the work.

Firm Fixed-Price – payment is based on a mutually agreed upon price regardless of actual expenditures.

Contributed Effort

Effort expended on a sponsored project for which the sponsor does not compensate; a form of cost sharing.

Cooperative Agreement

An award instrument used when the principal purpose of the project is to accomplish a public goal and substantial involvement is expected between the awarding agency and the recipient.

Co-Principal Investigator

A person that shares responsibility for the direction of a research program with the PI. National Institutes of Health does not recognize the concept of co-principal investigator. Students are not recognized as co-principal investigators on applications for external programs unless the program so specifies.

Cost Accounting Standards

Federally mandated accounting standards intended to ensure uniformity in budgeting and spending funds.

Cost Center

An account that identifies each award within the university financial system. Also known as an account number, the nine digit series combines the fund and cost center.

Cost Share

A contribution to a sponsored project that supplements agency funding as required by the sponsor. In most cases, either the University or a nonfederal sponsor may provide the contribution.

Debarment and Suspension Certification

See Certification.

Delinquent Federal Debt Certification

See Certification.

Direct Costs

Expenses incurred during the course of a research project that can be directly attributed to that specific project. Examples are salary, equipment, and supplies.

Drug-free Workplace Certification

See Certification.

Effort

The amount of time, usually expressed as a percentage of the total that a faculty member or other employee spends on a project. Effort is certified and documented through the Time and Effort Report system.

Equipment

An article of non-expendable tangible personal property having a useful life of more than one year and an acquisition cost which equals or exceeds \$5,000.

Types of Equipment:

General Purpose – equipment that is not limited to use for research, medical, scientific, or other technical activities. Examples include: office equipment and furnishings, air conditioners, photocopiers, motor vehicles, and computers.

Special Purpose – equipment that is used only for research, medical, scientific, or other technical activities.

Expanded Authorities

See University Prior Approval System.

Fabrication

Equipment that is constructed by combining or assembling modular components and/or materials into one identifiable unit. Procurement of the components and/or materials may preclude open competition and will require the cooperation of the principal investigator, Grants and Contracts, and Purchasing.

Formal Proposal

Any proposal submitted by a University employee to an outside entity that may directly lead to an award. All formal proposals must be routed through the CAEFP process prior to submission and will require institutional endorsement by an official authorized to commit University resources.

Gift

A donation of money, property, or anything of value to Minnesota State Mankato for the University's use and ownership. Gifts are processed through the Development Office rather than through RASP. Coordination with the Development Office is important at

the proposal stage when the potential sponsor is a corporation or foundation in order to avoid problems with multiple contacts at a single sponsor.

Grant

The transfer of funds, property, services, or anything of value from a sponsor to an institution in order to assist the grantee in reaching a public goal. Grants are distinguished from gifts in that grants generally have: a requirement for specific certifications and representations; an award document; a restriction on usage to a specific scope of work in the public interest; a requirement for reports of a technical nature or other deliverables; an obligation to separately account for expenditures; a commitment of University facilities, personnel, or other resources; a specific performance period or completion date; instructions for disposition of unexpended funds; requirements for record retention and audit.

Grantee

The recipient of a grant. The University becomes the grantee when it accepts a grant award on behalf of an individual.

Human Subject

A living individual about whom a researcher obtains data through intervention or interaction with the individual or identifiable private information.

IACUC

The Institutional Animal Care and Use Committee (IACUC) ensures the safe and ethical treatment of animals in laboratory and research settings.

Indirect Costs

Expenses that are clearly costs incurred when conducting a project yet cannot be specifically identified with a particular research project. These costs fall within the broad categories of facilities and administration. Facilities include depreciation and use allowances on buildings and equipment, operation and maintenance expense, and the cost of the library. Administration includes general, departmental sponsored projects and student administration and support services. Finance and Administration calculates and negotiates the indirect cost rate with the Department of Health and Human Services, Minnesota State Mankato's cognizant agency. Indirect costs are recovered by applying the appropriate rate(s) to the portion of the project's direct costs subject to overhead. Overhead or indirect costs are real, auditable costs incurred by the University on each award for a sponsored activity. Other University resources must be used to subsidize indirect costs if reimbursement of the full indirect cost rate is not attained on the grant or contract.

Indirect Cost Rates

The rates used to recover the indirect costs of a sponsored project. Negotiated with and approved by the U.S. Department of Health and Human Services, the rates are to be

used for all agreements with the federal government and other sponsored projects, as allowable. Information on current indirect cost rates is available from RASP.

Informal Proposal

A brief document (generally 2 to 5 pages) that describes a proposed project but that does not officially or formally obligate University resources or commit those resources by means of a signature on behalf of the University. An informal proposal may include a cost estimate but does not include a formal budget and is not expected to result directly in an award. The purpose of an informal proposal is usually to inform and interest the potential sponsor enough to request a more detailed formal proposal. This is also called a letter proposal, mini-proposal, preliminary proposal, pre-application, concept paper, or white paper.

In-kind Contribution

A University commitment, other than cash (such as contributed effort or supplies), that shares the costs of a sponsored program.

Institutional Authorizing Officials

Individuals authorized by the Board of Trustees to sign grants, contracts, and agreements on behalf of Minnesota State Mankato, binding the University to terms and conditions therein.

Institutional Review Board

A group of qualified individuals convened at the University to provide institutional review of research for ethical concerns such as care of laboratory animals or use of human subjects. Minnesota State Mankato institutional review boards include: Institutional Review Board and the Institutional Animal Care and Use Committee.

Intergovernmental Personnel Agreement

An award instrument issued by the U.S. Office of Personnel Management whereby an individual receives a temporary assignment to perform a specific service on behalf of the federal government. Another federal agency is a party to the agreement and is the source of funds.

International Travel

International travel includes travel outside of the United States and its territories and possessions (Guam, American Samoa, Puerto Rico, the Virgin Islands, and the Canal Zone) and Canada. A trip is considered international travel for all legs of the itinerary if the traveler does not return to his or her post prior to departure for an international destination.

Invitation to Bid

Written documents soliciting pricing and/or technical proposals to supply goods or services as specified in the requesting document. Correct use of Requests for Proposals constitutes full and open competition. See also Request for Proposals.

Key Personnel

Professional individuals who participate in the scientific development or execution of the project. Typically, key personnel have a doctoral degree but may also include individuals at the master's or baccalaureate levels, provided they contribute in a substantive way to the research.

Letter of Inquiry

A letter of inquiry is initiated by an applicant to determine if a proposed project is within a private agency's fundable program areas and to request agency policy and program information, as well as instructions and forms.

Letter of Intent

A letter of intent advises a funding agency that an application will be submitted in response to its solicitation. The letter may contain general program information; unofficial cost estimates; the name and address of the applicant organization; the name, telephone number and other relevant contact information of the person to be contacted on matters involving the application; the specific solicitation to which the applicant will apply.

Lobbying Certification

See Certification.

Matching Funds

A cash commitment to share the costs of a sponsored program.

Misconduct in Science Certification

See Certification.

Modification

Any change made to an existing sponsored agreement.

No-cost Time Extension

A revision that provides an additional performance period to a project so as to accomplish all goals; there is no increase in funds.

Peer Review

A process used by some federal and private agencies, whereby committees of research investigators in the same area of research or with the necessary expertise (from other institutions) review and recommend applications to the funding agency.

Prime Sponsor

The initial awarding agency. For example: Minnesota State Mankato might conduct the evaluation component of a grant with the City of Mankato. The city's source of funds is the State of Minnesota. The state's source of funds is the federal government. The prime sponsor would then be the federal government, in which case federal rules and regulations are applied and the award must be included on the schedule of federal awards in compliance with OMB Circular A-133.

Principal Investigator

A faculty or staff member whose proposal is funded by an external sponsor. The principal investigator or has primary responsibility for technical compliance, completion of programmatic work, and fiscal stewardship of sponsor funds.

Procurement

The purchase of supplies, equipment, and services.

Program Income

Program income is gross income earned by a research grant recipient from the activities, part or all of which are borne as a direct cost by the grant. Examples are fees for services performed under the grant, rental or usage fees charged for use of equipment purchased with grant funds, third-party patient reimbursements for hospital or medical services paid from the grant, funds generated by the sale of such commodities as cell lines or research animals developed from or paid for from the grant, and patent or copyright royalties.

Project Director

See Principal Investigator.

Property Ownership

Federally owned – property furnished by the federal government for use on a project. Title remains vested in the federal government.

Exempt – property acquired with federal funds. The federal awarding agency has the option to vest title in the recipient without further obligation to the federal government.

Donated – property given by an outside party or governmental unit. Title is transferred to the University.

Loaned – property provided by an outside party for use on a project. Title remains with the owner.

Proprietary Research

Research sponsored by nongovernmental entity or individual that involves restrictions on the distribution or publication of the research findings or results following completion, for a specified period or for indefinite duration.

Purchase Order

A procurement document that has two definitions that apply to sponsored projects. The first relates to purchasing goods or services from a vendor. Once the purchasing department receives a purchase requisition, requests for quotations will be sent to selected vendors when appropriate. A purchase order will be issued to the successful vendor, thereby placing the order. The second usage is as an award instrument. A second party may engage the services of the University and send a purchase order stating the services to be performed, time frame, and any other pertinent information.

Rebudgeting

Process by which funds available for spending are reallocated between budget categories to allow best use of funds to accomplish project goals.

Research and Related Activities

All formal investigative efforts (whether funded or unfunded) by faculty, students, and staff that are designed to develop or contribute to generalized knowledge, including analyses of secondary data.

Responsible Conduct of Research (RCR)

Responsible conduct of research is defined as the practice of scientific investigation with integrity. It involves the awareness and application of established professional norms and ethical principles in the performance of all activities related to scientific research. RASP recommends that all student and faculty researchers obtain RCR training to ensure responsible and ethical research practices.

Request for Applications (RFA)

A solicitation for application to a specific program. Any resulting awards would normally be funded by a grant. RFA instructions include information necessary to complete the application and mailing instructions.

Request for Proposals (RFP)

A solicitation for proposals for a specific project. The RFP contains the detailed information that must be supplied in the proposal. The proposal procedure is often complex and must satisfy very specific requirements. Any resulting award(s) would normally be funded by a contract. See also Invitation to Bid.

Site Visit

An agency-initiated review of a proposed project conducted at the applicant's institution. The College of Graduate Studies and Research also conducts technical site visits, which are initiated by the institution.

Sole Source Acquisition

A procurement that does not provide full and open competition and is effected because only one source is available. A letter of explanation and justification must accompany the purchase requisition.

Sponsor

An external funding source which enters into an agreement with the University to support research, instruction, public service, or other sponsored activities. Sponsors include private businesses, corporations, foundations and other not-for-profit organizations; other universities; and federal, state and local governments.

Subcontract

A contract issued under a prime contract, agreement, purchase order, or grant for the procurement of services or program-related tasks. Purchase orders for the procurement of goods and supplies do not qualify as subcontracts and fall under the purview of the Purchasing Department. Issuance of subcontracts under federal prime awards is subject to compliance with federal law and all subcontracts are subject to the terms and conditions of the prime award.

Attachments

1. [CAEFP](#)
2. [Policies A to Z:](#)
3. [Conflicts of Significant Financial Interests as Related to Grants and Sponsored Projects](#)
4. [Contracts](#)
5. [Equipment/Property](#)
6. [Graduate Assistantship](#)
7. [Intellectual Property and Copyright Protection](#)
8. [Protection of Human Subjects in Research](#)
9. [Responding to Issues of Research Misconduct](#)
10. [Pre-Award Flow Chart](#)
11. [Post-Award Flow Chart](#)