



Lake Superior State University

Office of Sponsored Programs

External Funding Procedures Manual

(Grants & Contracts)

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External Funding Procedures Manual
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I. Introduction

The LSSU Office of Sponsored Programs (OSP) works to enhance and facilitate the ability of LSSU faculty and staff to seek and secure external funding through grants and contracts that will strengthen the quality of the University's academic programs and expand student and faculty support services. The LSSU Office of Sponsored Programs has prepared the *External Funding Procedures Manual* to support external funding proposal development, proposal submission and award management best practices. It should be noted that all funding opportunities are different, and a unique review of requirements and guidelines from the Sponsor (funding organization/agency) must be completed with each proposal and subsequent award.

The *External Funding Procedures Manual* is designed for faculty and staff to use as a reference for University procedures and guidelines throughout the life of grant activity. Additional support on potential funding sources, proposal-writing guides, sample proposals, editing services, budget preparation and University information pertinent to grant work can be provided by the Office of Sponsored programs.

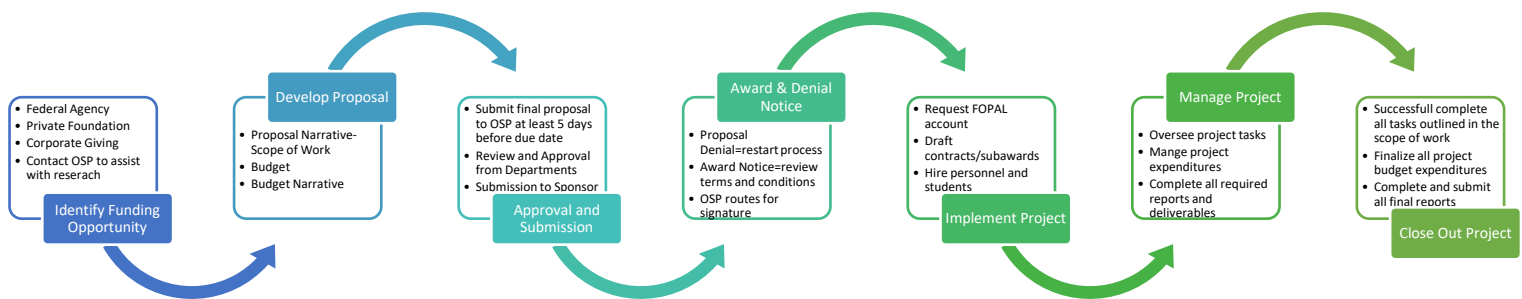
II. Purpose:

The purpose of this manual is to clarify and enhance the University external funding process from grant proposal development through award close out. As outlined in the LSSU External Funding Policy, faculty and staff are encouraged to apply for external grant funding that will enhance the mission and goals of the institution (Appendix A: [LSSU External Funding Policy](#)). Providing clear guidelines and resources throughout the phases of a grant award is intended to:

- Utilize external grant funding opportunities to support the mission and vision of Lake Superior State University through student-centered program enhancements, faculty development and growth that capitalizes on the unique location of LSSU and the desire to be responsible stewards of the environment;
- Create and enhance a systemic approach to partnerships and community building;
- Offer students hands-on, research and workforce opportunities to build skills and experiences;
- Promote and maintain program quality and relevant curricula to support economic and social development;

- Offer opportunities for faculty and staff growth through professional development experiences;
- Foster collaboration across the LSSU campus, community partners and among other educational institutions state and nationwide;
- Enhance diversity opportunities to celebrate and promote differences;
- Ensure accountability through open communication, evaluation, analysis, adjustment and fiscal integrity.

Typical External Funding Cycle:



III. External Funding Proposal Development

An external grant proposal can include any request for funding or application for fiscal support from an outside entity, and can be submitted to a federal agency, state department, corporation, private foundation and others. The proposal can support a new project, enhance an existing agenda or supplement the budget of an ongoing program.

Aligned with the LSSU [External Funding Proposal Application Procedure](#) (Appendix B), the following guidelines apply to external funding proposal development:

- External funding proposals must be developed to align with the mission of the University.
- External funding proposals will be primarily developed by the Principal Investigator (PI) or designated Program Director (PD) with support provided from the PI/PD's department, the Office of Sponsored Programs, Business Office and Human Resources, as appropriate.
- Once a funding opportunity is identified, the PI/PD must initiate the [External Funding Approval Form](#) (Appendix C). The External Funding Approval Form can

be located on the Sponsored Programs website (<https://www.lssu.edu/office-of-sponsored-programs/>), or by contacting the Office of Sponsored Programs. The PI/PD should discuss the proposal idea with the Chair of the PI's School, as well as, the appropriate Dean/Supervisor. The Office of Sponsored Programs should be alerted as soon as the External Funding Proposal Approval Form has been initiated, and Part I (Notice of Intent to Apply) of the form should be sent to the Office of Sponsored Programs upon completion. The School's Chair/Department Head must approve moving forward with the development of an external proposal. Part II (Approval) of the form must be completed and submitted to the Office of Sponsored Programs with the final proposal package; excluding the final approval signatures. The Office of Sponsored Programs will route the final proposal package for approval signatures.

- d. Contact the Office of Sponsored Programs to discuss the details of the identified solicitation (posted funding opportunity) as soon as possible. A funding opportunity can be posted in multiple formats such as a Request for Proposal (RFP), Notice of Funding Opportunity (NOFO), Notice of Funding Availability (NOFA), Notice of Availability (NOA) or other posted announcement. The Office of Sponsored Programs can assist in the review of the opportunity guidelines, and help determine a proposal development plan coordinated between the PI/PD and other partners, as appropriate. The Office of Sponsored Programs can assist with:
 - i. Assembling a proposal development team;
 - ii. Identifying proposal requirements;
 - iii. Creating an appropriate proposal development timeline;
 - iv. Identifying and securing pertinent University policies, assurances, documents, Board of Trustee motions, and others;
 - v. Requesting and coordinating Letters of Support and Letters of Commitment;
 - vi. Creating and maintaining University accounts in Sponsored Programs online databases, and more.
- e. Are you developing a research proposal including human subjects? If so, you may need the approval of the LSSU Institutional Review Board (IRB). Reach out to the Office of Sponsored Program and the LSSU Institutional Review Board to discuss your proposed research project and to begin the IRB application steps. The requirements outlined by the Sponsor will vary; some may require IRB approval

at the time of proposal submission, while others may require this approval later in the award process. Remember to identify and begin this process early in the proposal development phase. Additional information and IRB documents and forms can be accessed from the [LSSU IRB website](#).

Contact: Ron Hutchins, IRB Chair

Dean, Division of Health and Safety

IRB - Research Integrity Officer (RIO) for Research Misconduct

(906) 635-2446

rhutchins@lssu.edu

Are you developing a research proposal that will incorporate animal testing on vertebrates? If so, you will also need University approval to conduct such research. Contact the LSSU Laboratory Manager to discuss this process.

Contact: Ben Southwell

LSSU Laboratory Manager

(906) 635-2076

bsouthwell@lssu.edu

- f. The PI/PD, in collaboration with the proposal development team are primarily responsible for drafting and organizing all required pieces of the proposal package, including the project budget and budget narrative. Remember:
 - i. The full cost of the proposed project should be projected and accounted for before the submission of any proposal.
 - ii. All project budgets should include both direct and indirect expenditures, as allowable. Direct expenditures to support the proposed scope of work that may include, but are not limited to, salaries, supplies, facilities fees, consultants, equipment and travel. Indirect costs, also referred to as, Facilities and Administrative costs (F&A) must be included in the project budget at the University's federally negotiated rate (Appendix D: [Indirect Costs for External Funding Policy](#)). The F&A percentage can be adjusted if the funding Sponsor stipulates specific F&A percentages or does not allow indirect expenses.
 - iii. Fringe Benefits associated with budgeted salaries expenditures should be calculated using the fringe benefit allocation guidelines included below (g.-ii.).

- iv. The PI/PD should discuss any match or cost sharing requirement with their respective Chair/Department Head, the Office of Sponsored Programs and the Business Office, as necessary.
- v. External funding proposal budgets must include adequate staff and faculty time, facilities, supplies and additional project expenditures to cover the entire projected project.
- vi. Additional assistance with the proposal budget can be provided by:

Office of Sponsored Programs

Erica Newland

(906)635-2272

enewland@lssu.edu

Grants Accountant, Business Office

Juliana Cox

(906)635-2591

jcox@lssu.edu

- g. The external funding proposal budget should align with the proposal narrative to capture all projected expenses of the proposed project. The most common budget line items include, but are not limited to:
 - i. Personnel costs: Who will perform work associated with the proposed project (PI, Program Director, staff support, student workers, etc.)? Will work be completed during the academic year or the summer months? Will work require faculty buy out time?
 - ii. Fringe Benefits: All personnel costs should have the appropriate fringe rate calculated based upon the total personnel costs and categorization. The calculated percentages below can be used as a general guideline and may be adjusted when necessary. Fringe rates must be reviewed for each proposal budget to account for adjustments.

Personnel Classification	% Fringe Amount
Faculty	48%
AP Exempt (salaried)	48%
AP Hourly	42%
Support	64%
Adjunct/Temp	37%

- iii. Consultant Services: Will you need to hire content experts, speakers, presenters or laboratory work? Does the RFP mandate a project evaluator? Often times, Sponsors will require a project evaluation of the overall project. Project evaluation can be conducted by an internal or an external (consultant) evaluator depending on the requirements of the Sponsor, and can be up to 10% of the project budget. It is helpful to incorporate the project evaluator into planning and implementation activities, as well as, through the life of the project.
- iv. Travel: Will the project require travel? Travel costs can include local travel expenses, as well as, conference and meeting travel. Often times, Sponsors will require funded projects to participate in an annual meeting; such travel expenses should be included in the proposal budget. Review the solicitation closely to identify required expenses.
- v. Equipment: Equipment to carry out the tasks of the proposed project vary depending on the type of proposal; some proposals may not include equipment expenses. Generally, expenses for computers, laptops and software will fall under the materials and supplies category, not major equipment.
- vi. Meeting Space & Audio Visual (A/V): Will you need to rent meeting space and A/V equipment, either on campus or off campus, to carry out tasks included in your proposal?
- vii. Insurance: Will the proposal include equipment or activities that will require insurance coverage outside of the University's standard policies? Are there additional safety or risk concerns with project tasks that may require expense allocation in the budget?
- viii. Materials and Supplies: Materials and supplies generally includes standard office supplies and minor equipment such as computers and software.
- ix. Printing and Publications: Will the project need to produce printed materials and/or publication documents?
- x. Subawards: Will the project make subawards to another entity to carry a portion of the proposed project? Oftentimes subawardees are subject to the same guidelines as the awardee (i.e., total project budget, F&A rates, expense restrictions, etc.).
- xi. Indirect Costs: As mentioned above, all budgets should include indirect, or Facilities and Administrative (F&A) costs at the University's federally negotiated rate. It is the policy of LSSU to include an amount for indirect overhead costs in all budgets for grants and contracts unless expressly

prohibited by the Sponsor or unless the President or Vice President waives recovery of indirect costs. In some instances, the Sponsor will cap the total amount of indirect costs allowed to be charged to the budget. Read the solicitation thoroughly to avoid major budget discrepancies.

LSSU Negotiated Indirect Cost Rate:	
On-campus projects:	56% (applied to total salaries and fringe)
Off-campus projects:	23% (applied to total salaries and fringe)

- h. Most solicitations will include specific proposal due dates; however, there are Sponsors that have an open submission process (primarily foundations). To ensure adequate time to develop your proposal, obtain the required approvals and have the proposal approved, establishing a proposal development timeline is highly recommended during the initial development phase. Additional timeline considerations:
 - i. University department approvals, as outlined in the External Funding Approval Form, must be obtained before final submission. Each signatory, as appropriate for the proposal, must have a realistic amount of time to review the proposal and budget---structure this time into the proposal development timeline.
 - ii. The complete proposal and application package must be submitted to the Office of Sponsored programs **at least 5 days before the due date** to allow for review, additional edits and formatting, approval and upload into the Sponsor's online submission system or copied and mailed as a hardcopy.

IV. External Funding Proposal Submission

- a. Who has to approve the proposal before it is submitted?
 - i. Grant proposals vary from small supply requests to multi-million dollar research projects. Required approvals will also vary. All external funding proposals must be signed by:
 - 1. The PI/PD
 - 2. Department Chair/Department Head
 - 3. Dean
 - 4. Office of Sponsored Programs

All proposals over \$10,000 and those including matching funds, significant institution obligation and those checking any item below (as

identified in the External Funding Proposal Approval form-page 3), must be reviewed and approved by additional departments, as appropriate.

1. Does this project involve or require any of the following? Check all that apply.

- | | | |
|---|--|---|
| <input type="checkbox"/> animal research | <input type="checkbox"/> additional space | <input type="checkbox"/> hiring students |
| <input type="checkbox"/> safety concerns | <input type="checkbox"/> recombinant DNA | <input type="checkbox"/> patents or copyrights |
| <input type="checkbox"/> equipment purchase | <input type="checkbox"/> radiation hazards | <input type="checkbox"/> biohazards |
| <input type="checkbox"/> humans as subjects | <input type="checkbox"/> remodeling space | <input type="checkbox"/> hiring additional personnel |
| <input type="checkbox"/> chemical hazards | <input type="checkbox"/> blood borne pathogens | <input type="checkbox"/> confidential/proprietary agrmts. |

The Office of Sponsored Programs will determine additional required approval signatures, as appropriate. Approvals may be necessary from:

5. Purchasing Manager
6. Director of Risk Management
7. Director of Information Technology
8. Director of Human Resources
9. Vice President of Finance
10. Provost
11. President

- b. It is the responsibility of the PI to identify the submission process outlined in the Request for Proposal (RFP), Notice of Funding Opportunity (NOFO), Notice of Funding Availability (NOFA), Notice of Availability (NOA) or other posted announcement. Some Sponsor's submission process will include an institutional approval process, such as the Board of Trustees, that will require coordination with the Office of Sponsored Programs.

It is imperative that submission requirement details be identified and organized early in the proposal development process. The Office of Sponsored Programs can assist in determining the most appropriate submission process and ensure all authorized signatories are on notice and available for proposal submissions.

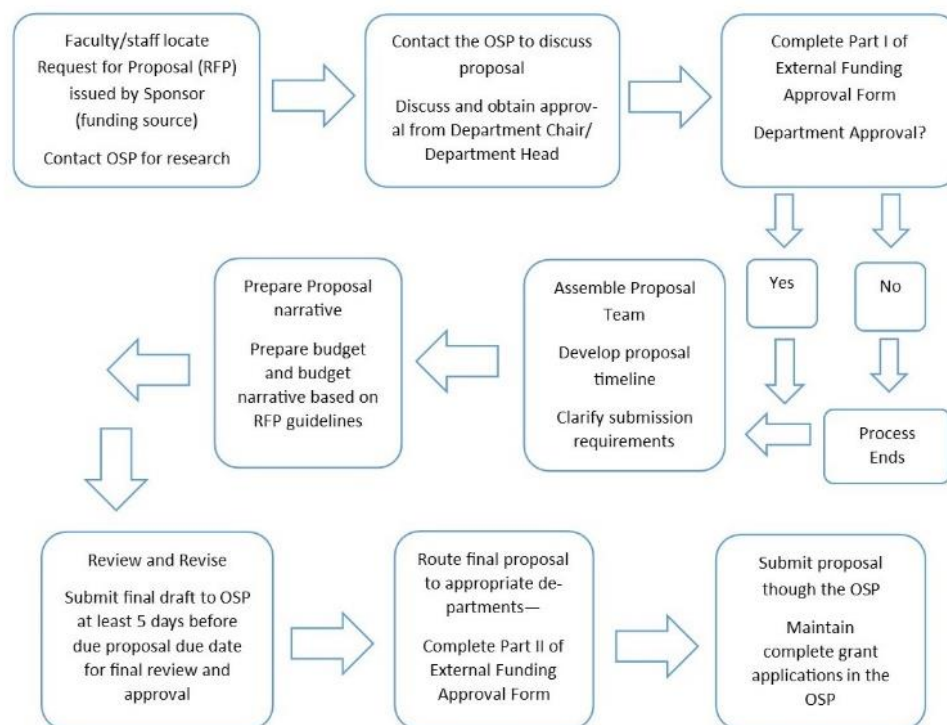
- c. Proposals that require submission by an Authorized Organization Representative are usually submitted by the Office of Sponsored Programs in conjunction with the PI/PD. Proposals that do not have requirements for who submits the proposal can be submitted by the PI/PD contingent upon all required approval signatures.

The Office of Sponsored programs will always submit external funding proposals **at least one day before the due date of the proposal** and encourages all PI/PD's

to continue this practice. Submitting a proposal early provides time to address technical difficulties during the submission process and/or missing application package materials. All online submission platforms are different; many will perform an automated check to ensure all pieces of the application package are included and will allow additional materials to be uploaded if flagged as missing; however, not all submission processes will identify missing materials. If the proposal is not submitted early, time to address such issues decreases and there is a higher risk the proposal will not be accepted or scored.

- d. If a proposal is submitted by the PI/PD, the full application package and proof of submission must be sent to the Office of Sponsored Programs at the time of submission.

External Funding Proposal Development and Submission Chart:



V. Managing an External Award

- a. Official notice of awards are received in different formats and from different offices. The timeline the award is announced also significantly varies between Sponsors. Award notices are usually received by the Office of Sponsored Programs or the PI/PD. In some instances, the award notice will be sent to the

University President or other administrative official. Communication between all involved parties is key to ensure a timely response to the awarding Sponsor and to move forward with project implementation.

When a notice of award is received by the Office of Sponsored Programs, the office will:

- i. Forward the award notice and documents to the PI, business office and other relevant departments, as appropriate;
- ii. Save all documents in the centralized grant files within the Office of Sponsored Programs; review the terms and conditions of the award and ask the PI/PD to review the terms and conditions to identify and discuss the need for further clarification or areas of potential concern;
- iii. Coordinate with PI/PD and other departments on additional requested information from the Sponsor, as necessary;
- iv. Initiate the approval and signature process. After initial review by the PI/PD and the Office of Sponsored Programs, the award agreement will be routed for review and approval, as appropriate. The Office of Sponsored Programs will determine the appropriate signatures and initiate the Grant Agreement Approval Form (Appendix E);
- v. Draft/coordinate press releases, as appropriate.

When a notice of award is received by the PI/PD, the PI/PD will:

- i. Coordinate with the Office of Sponsored Programs on additional requested information, as necessary;
- ii. Review the terms and conditions of the award and discuss the need for further clarification or areas of potential concern with the Office of Sponsored Programs.
- iii. Forward the notice and all documents to the Office of Sponsored Programs, Department Chair and other relevant departments. The Office of Sponsored Programs will begin signature process.

If the award notice is received by a different University Office, the notice and all documents will be forwarded to the Office of Sponsored Programs to be disseminated as outlined above.

- b. A thorough review of award terms and conditions must be completed by the PI/PD, Office of Sponsored Programs, as well as, routed through additional LSSU departments such as finance, human resources, purchasing and safety and risk management, as appropriate. Review of the terms and conditions of the

agreement is intended to identify potentially problematic terms and conditions for the University. As outlined in the [LSSU Contract Policy](#) (Appendix F), all agreements between LSSU and another party must be approved and executed by the cabinet member of the division in which the contract originates. After review by the PI/PD and the Office of Sponsored Programs, the award agreement will be routed for review and approval, as appropriate. The Office of Sponsored Programs will determine the appropriate signatures, initiate the Grant Agreement Approval Form and route the agreement for execution.

Agreement execution process:



- c. Once the award agreement is signed, the original document will be on file Office of Sponsored Programs; copies will be sent to the PI, Purchasing Department and Business Office. The Office of Sponsored Programs will return the fully-executed agreement to the Sponsor, as appropriate.
- d. FOAPAL Request: With the receipt of the award documents, the PI/PD must complete the [Request to Add New FOAPAL form](#) (Appendix G). The FOAPAL request will create a new account and assign a unique accounting code to track project expenses and activity throughout the project period. Return the completed FOAPAL request to:

Juliana Cox, Grants Accountant
Business Office
123 Fletcher Center
(906)635-2591
jcox@lssu.edu

- e. If part of the awarded project includes a subaward to another entity to complete specific aspects of the project design, the project PI/PD will initiate the draft of the subaward agreement using the LSSU subaward template (Appendix H). The PI/PD must include detailed information of tasks to be provided by the subawardee including reporting requirements and a pay structure that is within

the approved budget, as well as, required information from the original funding agreement as outlined in the Office of Management (OMB) Circulars (for federal awards).

A final draft of the subaward agreement should be sent to the Office of Sponsored Programs to be routed for approval and signature before sending to the subawardee. A copy of the fully executed agreement will be on file in the Office and Sponsored Programs; copies will be sent the PI/PD, Business Office and the subawardee.

- f. **Project Implementation:** The PI/PD is responsible for the implementation of the project as outlined in the executed agreement. Changes in project implementation and timeline should be communicated with the Sponsor and additional project partners, as appropriate.
- g. **Deliverables and Reporting:** The PI/PD is primarily responsible for all project deliverables and reports as outlined in the award agreement. Ongoing communication with the Business Office will be necessary for the accurate completion of financial reports. The Office of Sponsored Programs can assist with project completion and submission of project support, as necessary.
- h. **No-Cost Extensions:** In some instances, it may be necessary to extend the project period to complete project deliverables. Each funding sponsor has a different request process and timeline. Discuss early with the Office of Sponsored Programs and the Program Officer to determine the appropriate request process.
- i. **Budget Management:** The PI/PD is responsible for the overall management of the project budget throughout the project period. Financial reports are available to assist with ongoing review and management. Project expenses must align with the approved budget and funds must be expensed within the budget period. It may be necessary to reallocate funds in the project budget during the project timeline. The approval process for reallocating budget line items varies by the Sponsor. Contact the Office of Sponsored Programs with any questions about this process.
- j. **Project Closeout:** All grant funded projects will eventually come to an end. The closeout process will vary across projects. Communication with the Office of

Sponsored Programs and the Business Office is important to ensure that all project expenses are accounted for and all closeout reports and deliverables are successfully completed.

This manual is designed to provide a general guide to externally funded projects along the grant continuum; however, as noted, each grant award has a unique set of requirements. Please contact the Office of Sponsored Programs with specific questions.

Questions: LSSU Office of Sponsored Programs
Erica Newland
209 Administration Building
906-635-2272
enewland@lssu.edu

Appendix A:

LSSU External Funding Policy

Section: General Administration

Section Number: 1.4

Subject: External Funding (Grants & Contracts)

Date of Present Issue: 04/01/2013

Date of Previous Issues:
7/87

POLICY:

Faculty and staff of Lake Superior State University are encouraged to apply for external funding that will enhance the mission and goals of the institution.

External funding includes Federal, State or Local Agency grants, Foundation grants, Corporate grants, and Contracts, Subcontracts, Subawards, Memorandums of Understanding, and other formal agreements wherein the University receives compensation and assumes legal obligations with the funding source.

Applications for external funding are processed through the LSSU Office of Sponsored Programs.

REVISION HISTORY:

Revision Date	Revision Summary	Revision Made By	Title/Dept.
04/01/2013	Grammatical corrections. Updated to reflect current University structure. All forms revised.	K. Hemming, M. Walworth, Academic Policies and Procedures Committee.	Director of Sponsored Programs, Provost, Shared Governance.

Appendix B:

External Funding Proposal Application Procedure Policy

Section: General Administration

Section Number: 1.4.1

Subject: Grant Proposal

Date of Present Issue: 10/02/96

Date of Previous Issues:
08/82, 07/87, 01/88

External Funding Proposal Application Procedure

Faculty and staff members are encouraged to apply for external funds that will support the University's mission and enhance services to students and to the region.

Procedures:

WHO

Project Director

School Chair, Dean, Director of Sponsored Programs, Risk Manager, IT Director, Director of Human Resources, Appropriate Cabinet Member, VP Finance, and Provost or President
Director of Sponsored Programs

Project Director

Director of Sponsored Programs

ACTION

Prior to submission of the proposal, completes and submits to the Office of Sponsored Programs the ***Proposal Form for External Funding (Grants & Contracts)*** (see attachment)

Reviews and signs the ***Proposal Form for External Funding (Grants & Contracts)*** indicating approval/disapproval

Receives a copy of completed proposal form and notifies Project Director

Submits a copy of the full proposal to the Office of Sponsored Programs.

Submits to the Office of Sponsored Programs a copy of the budget once it is approved by the funding source

Distributes copies of the approved budget to the Business Office.

Application: The primary responsibility for the preparation of a specific, formal application for external funding (grants & contracts) rests with the individual faculty or staff member, or with the department originating the request. Information and assistance with preparation of the proposal is available through the Office of Sponsored Programs. References are available for use at the Administration Building and at the Kenneth J. Shouldice Library.

Signatures: All proposal forms will be signed by the appropriate individuals with final approval by the Provost or President and are not to be submitted to an external agency until the pre-proposal process has been completed.

Awards and Approvals: Copies of award letters and other approval documents for external funding shall be sent to the Office of Sponsored Programs.

Submission of Reports: Timely submission of all reports to the funding source shall be the responsibility of the Project Director with the assistance of the Grants & Contracts Accountant.

The Internal Proposal Form, as revised, is now available in **pdf form** on the LSSU website at "Quick Links A to Z", "G - Grants and Contracts", "Internal Proposal Form" (left margin menu), "[**Download the LSSU Proposal Form for Grants and Funded Projects**](#) (pdf)".

REVISION HISTORY:

Revision Date	Revision Summary	Revision Made By	Title/Dept.
04/01/2013	Grammatical corrections. Updated to reflect current University structure. All forms revised.	K. Hemming, M. Walworth, Academic Policies and Procedures Committee.	Director of Sponsored Programs, Provost, Shared Governance.

Appendix C:

External Funding Approval Form



LAKE SUPERIOR STATE UNIVERSITY

Office of Sponsored Programs External Funding Proposal Approval Form (Grants & Contracts)

PART I: NOTICE OF INTENT TO APPLY

After a funding opportunity has been identified, discuss the proposal idea with your program chair. Complete Part I of the External Funding Proposal Approval Form and obtain department chair preliminary approval to move forward with the development of a proposal. Part II is to be completed after you have begun writing your proposal and **PRIOR** to submission to the Sponsor (external funding source).

BASIC INFORMATION

Proposal Title: _____

Funding Agency: _____

Principal Investigator/Project Director: _____

Department/Unit: _____

VALUE OF THIS PROPOSAL TO LSSU

1. Check all that apply:

- ☐ Curriculum Development or Enhancement
- ☐ Student Support
- ☐ Professional Development
- ☐ Other (e.g., non-academic): _____

2. Builds collaborative activities with:

- ☐ K-12
- ☐ Colleges/Universities
- ☐ Industry
- ☐ Government
- ☐ Other (e.g., community): _____

3. Is cost-sharing required? ☐ Yes ☐ No

Amount: _____ Source: _____

4. Are there any additional University obligations (explain)?

Financial: _____

Personnel: _____

Equipment: _____

Facility: _____

SIGNATURES

PI/Project Director: _____ Date: _____

Chair/Dept. Head: _____ Date: _____

RETURN COMPLETED FORM TO ERICA NEWLAND, OFFICE OF SPONSORED PROGRAMS

650 W. Easterday Ave., Sault Ste. Marie, MI 49783; Telephone: 906-635-2272 · Fax: 906-635-6671



LAKE SUPERIOR STATE UNIVERSITY

External Funding Proposal Approval Form (Grants & Contracts)

PART II: APPROVAL FORM

Please begin completing this form as soon as possible after you start writing your proposal. All approval signatures must be obtained **PRIOR** to submission to an external source. The final proposal, budget and budget narrative must be submitted to the Office of Sponsored Programs **at least 5 days before the proposal due date** to ensure adequate time to route, review and make adjustments, as necessary. The Office of Sponsored Programs will assist in obtaining the final approval signatures necessary prior to submission.

Proposal Title: _____

Principal Investigator/Project Director: _____

Proposal to be Submitted By: ☐ PI/PD ☐ Office of Sponsored Programs

Department/Unit: _____

Funding Source: _____

Proposal Due Date: _____ Projected Start Date: _____ Duration: _____

BUDGET INFORMATION

Budget Information	Amount
Total Amount Requested:	
Total Direct Costs:	
Total Indirect Costs:	
Does the budget require a match? <input type="checkbox"/> Yes <input type="checkbox"/> No If so, identify the amount included in budget	
Cash Match:	
In-Kind Match:	
Third Party Match:	
Total Project Costs (requested + match)	
Indicate Source(s) of matching funds if cost sharing is required: Match, Cash:	
Match, In-Kind:	
Match, Third Party:	
Does this proposal require an institutional obligation beyond the project period? If so, please explain:	

*The federally-approved indirect rate is **56%** for projects on campus and **23%** for projects off campus and is applied to salaries/wages/fringes. The University indirect rate must be included in the proposal budget unless indirect costs is capped or not allowed by the Sponsor.



LAKE SUPERIOR STATE UNIVERSITY

OTHER INFORMATION

1. Does this project involve or require any of the following? Check all that apply.

- | | | |
|---|--|--|
| <input type="checkbox"/> animal research | <input type="checkbox"/> additional space | <input type="checkbox"/> hiring students |
| <input type="checkbox"/> safety concerns | <input type="checkbox"/> recombinant DNA | <input type="checkbox"/> patents or copyrights |
| <input type="checkbox"/> equipment purchase | <input type="checkbox"/> radiation hazards | <input type="checkbox"/> biohazards |
| <input type="checkbox"/> humans as subjects | <input type="checkbox"/> remodeling space | <input type="checkbox"/> hiring additional personnel |
| <input type="checkbox"/> chemical hazards | <input type="checkbox"/> blood borne pathogens | <input type="checkbox"/> confidential/proprietary agreements |

2. If human subjects are involved, has the Institutional Review Board Committee approved the project for compliance requirements?

- ☐ Yes ☐ Pending ☐ Human subjects not included

3. If animals are involved, has the Institutional Animal Care and Usage Committee approved the project for compliance requirements?

- ☐ Yes ☐ Pending ☐ Animal subjects not included

SIGNATURES

By signing and submitting this proposal, I hereby certify that statements made herein are true and complete to the best of my knowledge, and I agree to accept the obligation to comply with award terms and conditions if an award is made as a result of this application.

Name:	Date:	Notes:
-------	-------	--------

PI/Project Director: _____		
----------------------------	--	--

Signatures below indicate the proposal is in accord with the capabilities and policies of the department, school, and/or institution and complies with sponsoring agency regulations. The University reserves the right to review awards before final acceptance of funding.

Required Signatures for all Proposals:

Chair/Dept. Head: _____		
-------------------------	--	--

Dean: _____		
-------------	--	--

Office of Sponsored Programs: _____		
-------------------------------------	--	--

All proposals over \$10,000 and those including matching funds, a significant institution obligation and identifying any of the above checked responses, must be reviewed and approved by the following individuals, as appropriate. The Office of Sponsored Programs will determine additional required signatures.

Director of Purchasing: _____		
-------------------------------	--	--

Director of Risk Management: _____		
------------------------------------	--	--

Director of Human Resources: _____		
------------------------------------	--	--

V.P. of Finance: _____		
------------------------	--	--

Other: _____		
--------------	--	--

Other: _____		
--------------	--	--

Provost: _____		
----------------	--	--

President: _____		
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RETURN COMPLETED FORM TO ERICA NEWLAND, OFFICE OF SPONSORED PROGRAMS

650 W. Easterday Ave., Sault Ste. Marie, MI 49783; Telephone: 906-635-2272 · Fax: 906-635-6671

Appendix D:

Indirect Costs for External Funding Policy

Section: General Administration

Section Number: 1.4.2

Subject: Indirect Costs for External Funding (Grants & Contracts)

Date of Present Issue: 01/22/2014

Date of Previous Issues:
08/82, 07/87, 01/88, 08/00, 07/01, 07/10, 7/11, 4/13

POLICY:

It is the policy of Lake Superior State University to include an amount for indirect overhead costs in all budgets for grants and contracts unless expressly prohibited by the grantor agency or unless the President or appropriate Vice President waives recovery of the indirect costs.

The federally-negotiated indirect cost rates for the University are:

1. On-campus projects: 56 percent
2. Off-campus projects: 23 percent

These rates are in effect until amended. When a change in rates is negotiated, the Director of Sponsored Programs shall notify interested parties of the new rate.

Any indirect costs recovered shall be used first to cover any cash matching requirements of the General Fund and then distributed as follows:

10% Provost (to establish a grant incentive and development fund)

15% Principal Investigator or Project Director (to be used for professional development/university activity)

25% College or Administrative Unit

50% University General Fund (to recover costs, including the Sponsored Programs Office)

This policy is exclusive to Academic Instruction and Research Grants and Contracts. Indirect cost from Upward Bound, KCP and similar support or public service grants will go to the University General Fund.

Allocation will not occur until the indirect cost is earned and available and will be distributed on a quarterly basis. In the case of co-principal investigators or multiple college or administrative units, proration will be mutually agreed upon prior to grant submission.

All existing policies regarding professional development funds will apply including, but not limited to, those specified in the Faculty Agreement.

REVISION HISTORY:

Revision Date	Revision Summary	Revision Made By	Title/Dept.
07/01/11	Updated <i>On-campus projects</i> from 51 percent to 53 percent. Updated position title from Director of Grants and Contracts to Director of Sponsored Programs. Replaced specific Faculty agreement language regarding professional development with a general statement that referencing the Faculty Agreement.	S. Brooks	VP for Finance/ Business Office
04/01/2013	Grammatical corrections. Updated to reflect current University structure.	K. Hemming, M. Walworth, Academic Policies and Procedures Committee.	Director of Grants and Contracts, Provost, Shared Governance.
01/22/2014	Updated <i>On Campus Projects</i> from 53 percent to 56 percent and <i>Off Campus Projects</i> from 22 percent to 23 percent.	K. Hemming, M. Walworth	Director of Grants and Contracts, Provost

Appendix E:

LSSU Grant Agreement
Approval Form



LAKE SUPERIOR STATE UNIVERSITY

LSSU Grant Agreement APPROVAL FORM

Please review the attached agreement. Once reviewed and approved, sign and forward to the next signature line as indicated below. Please contact the Office of Sponsored Programs with any questions.

**Awarding Entity
(Sponsor):** _____

PI/PD: _____

Amount: _____

Date

Requested: _____

Title/Description: _____

Fully Executed Agreement Submittal:

☐ By Department ☐ By Office of Sponsored Programs ☐ By Purchasing

Agreement Notes:

SIGNATURES:

By signing below, you certify that you have read this agreement, that you know and understand the meaning and intent of this agreement and that you approve entering this agreement knowingly and voluntarily.

Name:	Date:	Notes:
PI/Project Director: _____	_____	_____
Office of Sponsored Programs: _____	_____	_____
Chair/Dept. Head: _____	_____	_____
Dean: _____	_____	_____
Director of Purchasing: _____	_____	_____
Director of Risk Management: _____	_____	_____
Director of Human Resources: _____	_____	_____
V.P. of Finance: _____	_____	_____
Other: _____	_____	_____
Other: _____	_____	_____
Provost: _____	_____	_____
President (if over \$50,000): _____	_____	_____

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Appendix F:

LSSU Contract Policy

Section: Business and Support Operations

Section Number: 3.20.8

Subject: Contract Policy

Date of Present Issue: 07/27/11

Date of Previous Issues:
08/00

POLICY:

All contracts between the University and another party must be approved and executed by the cabinet member of the division in which the contract originates. The original copy of all division contracts shall be provided to the Purchasing Department. For purposes of this policy, cabinet members currently include the President, Provost, Vice President for Finance, Vice President for Enrollment Services, Vice President of Student Affairs, Director of Athletics, Executive Director of the Foundation and Director of Human Resources.

A contract is any agreement with any external party, which is legally enforceable whether or not it is titled "contract." Other terms for "contract" are agreement, purchase order, invoice, letter of agreement, license, memorandum of understanding, release, bill of sale, lease, etc.

All contracts must be in the name of Lake Superior State University, not an individual's or department's name.

Any contract exceeding \$50,000 in value must be approved and executed by the President after the appropriate cabinet member has approved.

A cabinet member may delegate in writing the authority to approve and execute contracts to a member of his or her staff. Without such delegated authority, no University faculty, staff member, or student has the authority to commit the University to any contract. A copy of any delegation of authority shall be furnished to the Purchasing Department.

The Purchasing Manager will execute a contract approval form to be distributed to various individuals for their approval based on the contract contents and delegation of authority notices on file. A copy of the approval form is attached.

Original copies of invoices and purchase orders shall continue to be retained, in accordance with applicable retention policies, by Business Operations and Purchasing offices, respectively.

Any contract **may** be referred to legal counsel for review. For maximum usefulness, legal counsel should be consulted before a final agreement has been reached between the parties. Legal counsel must review a contract if any of the following apply:

- the contract will last more than two years and has no provision for cancellation without penalty;
- there are indemnification, warranty or guaranty provisions which the person executing the contract does not thoroughly understand;
- there are unusual provisions or language which the person executing the contract does not thoroughly understand.

The Purchasing Manager and Risk Manager will review all contracts and may refer some or all contracts to the Vice President for Finance for coordination of legal review.

Upon request, legal counsel will assist in drafting agreements.

Appendix G:

Request to Add New FOAPAL Form

Lake Superior State University

REQUEST TO ADD NEW FOAPAL

Fill in all information above dashed line except signatures. Print form and sign as appropriate.
Attach any additional documentation that may be applicable and then return to Business Office.

1. Suggested title: _____

2. Describe the event that requires a new FOAPAL element (if restricted grant or contract, attach copy of award document and proposal or signed contract); for Federal Grants indicate (CFDA) Catalog of Federal Domestic Assistance Number.

3. Estimated total project dollar volume of activity/organization \$ _____

4. Attach budget.

5. Budget Office Approval: _____
(Required if Revenue Source is General Fund, Tuit/Fees, Sales/Serv, Aux Fund, or Gift)

6. List Fund/Org from which any deficit will be funded: _____

7. Identify the FOAPAL element being requested:

____ Fund
____ Organization
____ Account (Object Code)
____ Program
____ Activity
____ Location

9. Identify the source of revenue:

____ GF Operating Funds
____ Tuition/Fees
____ Federal Appropriation
____ State Appropriation
____ Federal Grant
____ State Grant
____ Other Grant
____ Gift
____ From:
____ Endowment Income
____ Sales/Services -- Departmental
____ Auxiliary Funds
____ Agency Funds
____ Other _____

10: Identify the expenditure purpose:

____ Instruction
____ Research
____ Public Service
____ Academic Support
____ Student Services
____ Institutional Support
____ Scholarships/Fellowships
____ Auxiliary Enterprises
____ Plant Operation & Maintenance
____ Plant Funds
____ Agency Funds
____ Insurance & Benefits Funds
____ Other _____

8. Identify duration:

Project Start Date _____
Project End Date _____
if not ongoing: _____

11. Name of responsible person/authorized signer:

print name

signature/date

12. Additional authorized signers:

print name

signature/date

13. Approved by _____
signature/date of supervisor of authorized signer

Title (35 max): _____ 0
Number (6 max): _____ 0

Appendix H:

LSSU Subaward Template

SubContract/Subaward Agreement

Parties to agreement:	
University Name Lake Superior State University Address 650 W. Easterday Ave. Sault Ste. Marie, MI 49783	Collaborator Name Address
EIN 38-1880022	EIN (Business Number)
Originating source of Funds or Interested Parties	Awarding Entity
University Award Number	Entity Award Number
Subcontract/Subaward amount (in kind) N/A	Subcontract/Subaward amount (US funds) \$xxxx
Subcontract/Subaward Period of Performance	
Project Title	
Attachments: 1 Statement of Work 2 Budget 3 Contact Information	
Terms and Conditions 1 The University hereby awards or contracts with the Collaborator to complete the work described in the statement of work attached for the cost indicated in the budget. The Collaborator shall be an independent entity and not an employee or agent of the University. 2 The University will reimburse the Collaborator for all allowable costs not more than monthly not less than annually. Invoices may utilize the Collaborator's standard format and will be for costs associated with xxxxxxx. A final invoice, labeled FINAL must be submitted not later than 30 days after the end of the award period accompanied by an annual programmatic report of activities. 3 All collaborators and partners will provide a report of direct costs and contributed match or inkind values at the end of the season or by September 30th, 20xx. 4 The Collaborator shall retain all financial records available for audit for at least 3 years after the conclusion of the final ending of the project. All reimbursements are subject to adjustment if a negative audit finding should arise.	
Terms and Conditions Continued 5 Any changes to the terms and conditions or scope of work or budget shall be mutually agreed upon and may be effected by the appropriate PI generating a letter which is approved by both party's authorizing official.	

Subaward Agreement Template

- 6 This contract may be terminated by either party by a notice of 30 days to the PI and authorizing Official. In such event, reimbursement will be based upon the work completed at the date of termination. In the event of any wrongful or illegal act, either party may terminate the agreement without notice.
- 7 Each party shall be responsible for its own acts, negligence, omissions and/or injuries of and to and by its own employees or property or research sites. Each party shall be responsible for the purchase of insurance at a level appropriate to the risks inherent in the work being performed and the information published. Each party must be willing to provide proof of insurance upon request at any time during the project period or after if any question of liability or suit should arise.
- 8 The Subaward or Subcontract is subject to all the terms and conditions of the prime award and any changes that the awarding entity may make over the period of performance. It is the responsibility of the University PI to communicate any applicable changes to the subrecipient PI.
- 9 The issue of a no-cost extension to the University does not constitute an extension of this agreement. It is expected that an extension of this agreement would follow the process indicated in provision 4.
- 10 The Collaborator will complete the work or submit the deliverables according to the statement of work. In the event of any problems or delays, real or perceived, the Collaborator will contact the University PI and work out an appropriate solution or adjustment to the statement of work.
- 11 It is understood by all parties that summary information and reports created under this agreement shall be in the public domain.
- 12 By signing below, the Collaborator agrees to the terms and conditions listed above and in any of the attachments also listed.

Authorized Official for University Title Interim Provost/VP for Acad. Affairs	Authorized Official for Collaborator Title Vice President of Academic Research
Signature _____ Date _____	Signature _____ Date _____

Subaward Agreement Template

Contact Information

Attachment 3

University

Project Director or PI

Name

Address

Lake Superior State University

650 W Easterday Ave

Sault Ste Marie, MI 49783

Telephone 906-635-2471

Fax 906-635-2266

Email un@lssu.edu

Collaborator

Project Director or PI

Name

Address

Telephone

Fax

Email

Financial Contact

Name Juliana L. Cox

Address Business Office

Lake Superior State University

650 W Easterday Ave

Sault Ste Marie, MI 49783

Telephone 906-635-2591

Fax 906-635-6669

Email jcox@lssu.edu

Financial Contact

Name

Address

Telephone

Fax

Email

Authorized Official

Name David R. Finley

Address Interim Provost and Vice President for
Academic Affairs

Lake Superior State University

650 W Easterday Ave

Sault Ste Marie, MI 49783

Telephone 906-635-2211

Fax 906-635-6671

Email dfinley@lssu.edu

Authorized Official

Name

Address

Telephone

Fax

Email