

ELIZABETH CITY STATE UNIVERSITY
Sponsored Programs Proposal Development Policy

Preamble

As part of its teaching, research, and community outreach mission, Elizabeth City State University (ECSU) conducts scholarly, professional, and creative activities with support from external funding sources such as grants, contracts, and cooperative agreements. This policy is established to guide ECSU personnel who are engaged in sponsored programs and research activities to ensure that their development and submission, implementation and administration, as well as their fiscal management, are consistent with federal, state and institutional policies. The Office of Sponsored Programs, Contracts, and Grants (SPCG) is the administrative liaison for processing sponsored projects.

A. Proposal Development and Submission

All sponsored proposals developed by ECSU faculty and staff, as a Principal Investigator (PI), Co-PI, or as a project participant in any capacity, including those developed across disciplines, departments, schools, divisions, units, institutions, or organizations, shall be approved by the respective department chair, dean, and Provost and Vice Chancellor for Academic Affairs or appropriate division/unit head(s) in which the PI, Co-PI, or participant is employed, prior to submission to SPCG.

Electronic Proposal Routing/Approval

All proposal submissions are to be electronically routed for review and submission through ECSU's research management system, prior to submission to an external sponsor. This allows for the management of university records regarding grant submissions. This system allows department chairs, deans, and other university officials the ability to review and approve all submissions. See ECSU's Office of Sponsored Programs Procedure Manual.

1. ECSU Proposals

For purposes of this policy, all proposals (federal, state, corporate, and private) that meet any one of the criteria listed below, including proposals generated by divisions/units other than Academic Affairs, shall be defined as a sponsored program and shall be processed through SPCG to maintain compliance with UNC requirements as contained in the UNC Policy Manual 300.2.2.2.

- a. A formal proposal exists requiring the endorsement of an ECSU-authorized official as designated by the Chancellor.
- b. Progress, technical, final reports, and/or other exchanges are required. The proposed activity binds ECSU to a specific delivery of work including service to a sponsor.
- c. The activity has a specified performance period or completion date.

- d. The agreement for the activity contains compliance terms and conditions.
- e. The agreement for the project activity contains provisions for confidentiality.
- f. The testing/evaluating of proprietary products is involved.
- g. Initial pricing, expenditures, financial reporting, and/or performance may be subject to external audit.
- h. Billing, separate accounting procedures, and/or report of expenditures are required.
- i. Reimbursement/payment is contingent on completion of specified exchanges.
- j. Unexpended funds must be returned to the sponsor at the end of the activity.
- k. Cost sharing/cash matching is involved in the performance of the activity.
- l. The activity includes budgeted indirect costs.
- m. The activity involves disposition of property, whether tangible or intangible, that may result from the activity (e.g. equipment, inventions, copyrights, or rights in data).

2. ECSU Foundation Proposals

Proposals generated by the ECSU Foundation that utilize ECSU's facilities, personnel, and other resources, shall be guided by the policy and criteria outlined for ECSU proposals in Section 1(a-m). To that end, SPCG shall review all proposals written by the Foundation prior to submission to ensure compliance with federal and state regulations as well as institutional policies. When the grant is awarded, SPCG shall assist in negotiating the terms and conditions of the grant prior to the Foundation's acceptance of the award to determine their viability as well as liability to ECSU.

- 3.** In order to distinguish a sponsored program from a voluntary donation, gift, or other transfers, this policy identifies the following as what a sponsored program is not:
- a. A voluntary donation- i.e., the donation transmittal information does not include any of the conditions defining a sponsored program.
 - b. A voluntary donation of funds given irrevocably.
 - c. A voluntary donation of personal property (e.g. cash, securities, books, equipment) provided by a donor without expectation of tangible or economic (except tax) benefit.
 - d. The transfer of property with no implied responsibility on the part of ECSU or the foundation to provide the donor a product, service, technical or scientific report,

- intellectual property rights, or any other exchanges.
- e. Donations of real estate, even if initially dedicated for a specific sponsored program.
 - f. Funds received directly by a faculty member (e.g. summer fellowships or travel grants).
 - g. A project conducted as an external professional activity for pay as defined in the UNC Policy Manual, 300.2.2, Section I[R], adopted on August 12, 2005.
 - h. Honoraria-funds given directly to a faculty by agreement not requiring administrative endorsement.
 - i. Testing and service agreements processed through re-charge centers having an established fee for service.
 - j. Teaching and professional services provided by ECSU personnel to the public at large on a fee-for-service basis.
 - k. Non-technical services to external organizations (e.g. lodging and foodservice to groups on campus; meeting facilities; sporting events).
 - l. Fellowships and/or scholarships without a service component or other restrictions.

4. Principal Investigator (PI)

The Principal Investigator (PI) shall manage the awarded grant or contract in compliance with the terms, conditions, and policies of both the sponsor and ECSU. The principal investigator shall use all reasonable “best efforts” to comply with the terms, conditions and policies of both the sponsor and ECSU including the submission of all required reports. Only one principal investigator shall be named in the proposal to permit a clear line of responsibility for project management. In some instances, colleagues who assume major responsibilities in the project may be named as an assistant to the principal investigator or Co-PI.

PI Responsibilities

A principal investigator is responsible for assuming oversight of the research, training, or service project, timeline, deliverables, and overall award management. PI responsibilities include the following:

1. Maintain close communication with all project personnel, collaborators, sub awardees, Sponsored Program staff, and the Office of Contracts & Grants, which is under the Division of Business & Finance, throughout the duration of the grant.
2. Adhere to all internal and sponsor deadlines, including requests for interim and final technical and fiscal reports.

3. Initiate and process for personnel hiring and all other project expenditures in a manner that is consistent with the project's scope of work.
4. Ensure that all grant requests are reasonable, allocable and allowable.
5. In coordination with the Office of Contracts & Grants, ensure that all mandatory and voluntary committed cost share is properly documented and tracked.
6. Assist in preparing documentation for a no-cost extension request, revised budgets, and project closeout.

PI Eligibility

The principal investigator is typically a full-time faculty, senior staff, or an administrative officer at ECSU. Naming an individual as personnel in a proposal shall not commit the institution to employing this individual.

Faculty with the academic ranks listed below are eligible to serve as PI on sponsored projects:

- a. Professor
- b. Associate Professor
- c. Assistant Professor
- d. Instructor
- e. Directors or Associate Directors
- f. Project or Program Directors
- g. Adjunct Faculty with a full-time faculty member serving as a co-principal investigator.
- h. Visiting Faculty with a full-time faculty member serving as a co-principal investigator.
- i. ECSU retired faculty and emeritus faculty may serve as a co-principal investigator on a sponsored project so long as a full-time ECSU faculty member serves as principal investigator.

Students & Postdoctoral Associates

Undergraduate and graduate students and postdoctoral associates may not serve as a PI on an ECSU sponsored project. As an exception, a student and/or postdoctoral associate may be named as a PI only if the program to which they are applying requires that they assume this role as a condition for applying.

Leave of Absence

The principal investigator, who is an employee and seeks a leave of absence during project implementation, shall obtain the approval of his or her department chair, dean, and The Provost and Vice Chancellor for Academic Affairs as well as written authorization from the sponsor.

5. Individual Awards

Faculty and staff may submit proposals for individual awards and fellowships. Unless specified by the sponsor, these awards and fellowships do not require ECSU approval and the grant(s) may be made directly to the individual. Only when ECSU facilities are used and/or when faculty and staff time conflict with their commitment to ECSU, do these awards require ECSU approval. Therefore, faculty shall inform their respective department chair, dean, and The Provost and Vice Chancellor for Academic Affairs of such awards to avoid potential problems and conflicts in class scheduling, attendance, and other academic assignments. The awards generally provide remuneration for research being conducted during faculty leave, leave without pay, or in addition to regular ECSU responsibilities.

6. External Consultants

Consultants provide expertise from outside of ECSU and are hired to provide defined services on a sponsored research project for a limited period of time. University employees are not eligible to receive compensation as a “consultant” on a sponsored project. For federally sponsored projects, consultant compensation is calculated in accordance with federal guidelines. The actual daily rate allowable by a sponsor may be less than ECSU’s rate and should be determined in advance. This daily rate applies to the preparation time, time spent on specific activities, and time spent on writing reports and analyzing data. Each consultant shall sign an agreement prepared by SPCG in advance of the work performed. Additional clauses necessary for an effective agreement vary depending upon circumstances.

7. Travel

Sponsors will generally pay international or domestic airfare if such travel is necessary to the project and is so justified and approved. Travel expenses are determined by the terms and conditions of an award. For federally-sponsored projects, all international travel shall be on U.S. flag carriers unless otherwise stipulated by the sponsor. Federal travel regulations apply per the [Fly America Act](#), which stipulates that travelers use a U.S. flag air carrier for air travel related to projects supported by federal funds. In accordance with ECSU policy, food and lodging must be shown as reimbursable expenses. Also included, should be local transportation costs, such as mileage and parking. The per diem reimbursement for travel on government contracts is set by the federal government on a city-by-city basis (and published in the Federal Register). The use of these rates shall require prior ECSU approval. The requests should be made through the Office of Contracts & Grants.

8. Faculty Release Time

At the discretion of an academic chairperson, program director, or immediate supervisor, and/or with the approval of the appropriate Dean of School and the Provost and Vice Chancellor for Academic Affairs, a member of the faculty may be partially or fully released from instructional duties to carry out a special assignment. The amount of the release time on a grant shall be mutually agreed upon before submission of the proposal by the faculty, appropriate chairperson and Dean, director, or immediate supervisor and

the Provost and Vice Chancellor for Academic Affairs.

9. Cost Sharing

- A. Sponsors may require ECSU to make a contribution to a project's total budget. Cost sharing or matching costs is that portion of the project or program costs not borne by the Federal Government but rather by the institution and must have the concurrence of the department chairperson, the dean and the appropriate Provost and Vice Chancellor for Academic Affairs. The PI must provide signature of the approving party prior to submitting the proposal. All contributions, including cash and third party in-kind, shall be accepted as part of the recipient's cost sharing or matching when such contributions meet all the following criteria:
1. Are verifiable from the recipient's records.
 2. Are not included as contributions for any other federally assisted project or program.
 3. Are necessary and reasonable for proper and efficient accomplishment of project or program objectives.
 4. Are allowable under the applicable cost principles.
 5. Are not paid by the Federal Government under another award, except where authorized by Federal statute to be used for cost sharing or matching.
 6. Are provided for in the approved budget when required by the Federal awarding agency.
- B. Since cost sharing is reviewed and audited by the sponsoring organizations, the proposed budget shall specify the exact amount of anticipated contributions. The proposed budget should include the dollar value of all services, to ensure that the project receives full credit. All cost sharing or matching costs on grants will adhere to [Uniform Guidance 200.306](#).