Proposal Development

Welcome to Proposal Development. The Office of Sponsored Programs (OSP) is here to support faculty and University personnel in the pursuit and administration of externally funded grants and contracts, in compliance with the requirements established by Federal and State laws, sponsor rules and regulations and University policies and procedures.

Where can JSU faculty and staff get help with Proposal Development?

The Coordinator of Proposal Development assists faculty and staff in locating funding opportunities, developing proposals and obtaining approval within the university.

The Sponsored Programs Accountant provides budget and accounting support for all awarded grants and contracts.

The Project Manager is available to assist PI's in the development and administration of awarded program requirements.

We are here to help you in the preparation of proposals by assisting you in the pre-award, award, and post-award activities. We provide advice and assistance with identifying potential sources of funding, development of projects, budget preparation, completing applications, proposal editing and review, as well as other aspects of the proposal development process. A Checklist to assist you in the process is included in this guidebook. We serve as the facilitator to aid the principal investigator from project inception to closing of a funded grant or contract.

- All Grant/Contract/Agreement proposals for service(s) by Jacksonville State University are to be processed and approved as noted in the referenced policies.

- A copy of each approved Grant/Contract/Agreement must be filed with the Office of Sponsored Programs and the Sponsored Programs Accounting Office.

- All costs, including applicable fringe benefits, must be deducted from funds received through the Grant/Contract agreement.

Information on funding opportunities is made available through the following sources:

> *Grants.gov*
> *Catalog of Federal Domestic Assistance*
> *Federal Register*
> *Commerce Business Daily*
> *National Science Foundation Bulletin*
> *National Endowment for the Arts Guidebook*
> *National Endowment for the Humanities Guidebook*
> *NIH Guide for Grants and Contracts*
> *OIRA Website*
> Grant Sourcebook for Higher Education
> Federal Grants Management Handbook

These materials are available online and/or in the JSU Library. The Internet and library have an array of resources available to help you begin the proposal development process.

Developing the Proposal

Pre-Award Activities

Step 1. Identify the Need or Problem.

NOTE: For all proposals, a Preliminary Project Application should be completed in Cayuse 424. To go directly to Cayuse 424, click here [Cayuse 424](). This is a single sign-on system and you will use your *MyJSU* username and password.

Proposal creation instructions for new users can be found here:
[Instructions for PI/PD: Creating a New Proposal in Cayuse 424]().

If you are using a University computer, your configuration should be fine; if you are using a personal device, instructions for proper internet configuration can be found by clicking this link: [Instructions for Internet Browser Settings in Cayuse 424]().

The preliminary project application will be sent to the Coordinator of Proposal Development (CPD) for review. The Primary Investigator (PI)/Project Director (PD) should submit the form as soon as a plan has been developed to submit an externally-funded proposal. Once submitted, the CPD will contact the PI/PD with review and pre-approval information for the formal grant development process to begin and/or continue to be developed. You should have some idea about budget information at this point, however the option to fine-tune the budget is available when you submit the final proposal through the internal electronic routing and approval process prior to the proposal being submitted to the funder.

Step 2. Scope of Work:
- o Define the activity in terms of the skills, framework in which it will be developed, scope of work, and length of time for implementation.
- o Study the literature on your subject to broaden your knowledge.
- o State the objective(s) of your proposed activity and its ultimate purpose.
- o Specify the plan of operation.
- o Define the population and sampling pertaining to your activity;
- o Write a plan for evaluating the activity.

The formal proposal should respond to the grant application and may include the following components*:

• Title and Signature Page	• Plan of Operation
• Abstract	• Evaluation Plan
• Introduction	• Budget
• Table of Contents	• Resume(s)
• Statement of Problem	• Bibliography
• Objectives	• Other pertinent information

* This list is simply a suggestion - Be sure to follow the required guidelines of the grant application as they vary by grantor.

Step 3. When the times comes to enter the final budget in Cayuse 424, be sure to include all anticipated costs. The Indirect Costs, if applicable, will be calculated for you, based on the rate you select, as part of the total amount of funds requested. For assistance with Indirect Costs, contact the Office of Sponsored Programs at (256) 782-5108 or anewton@jsu.edu.

The requirements of the grantor budget form(s) can be found within the RFP/application information for the applicable grantor.

Common Proposal Data

➢ **Organizational Type:** Public, state supported, institution of higher education (IHE). Jacksonville State University is not a land-grant university or a historically black college/university (HBCU).

➢ **Congressional District:** AL-003

➢ **State Legislative Districts:** House / District 40   Senate / District 12

➢ **County:** Calhoun

DUNS Number: 079107165	
Cage Code # (Federal Agreements): 1CA33	**OPE#:** 001020
Data Universal Number System (DUNS #): 079107165	**FIPS Code:** 01015
Employer ID # / Federal ID # / Tax ID #: 636001099	**JSU Entity Description:** Code of AL, Section 16-52
U.S. Department of Education Federal Entity ID#: 00102000	**E-Verify ID #:** 482869
State of Alabama Vendor Code (STAARS): VC000137236	
NSF Institutional/Organization Code: 0010207000 If you would like to be added to the NSF Fastlane system as a PI/CO-PI, please contact Allison L. Newton at Ext. 5108 or anewton@jsu.edu	
SSPOC: Alabama does not participate in the intergovernmental review process. Therefore, Alabama does not have a SPOC. Send application directly to Federal agency.	

Federal Lobbying Registrant:
Cornerstone Government Affairs
Dr. Marty Fuller
828 West Briar Lake Drive, Starkville, MS 39759

Authorized Signatory for Jacksonville State University:
James B. Brigham, Vice President for Finance and Administration
Jacksonville State University
226 Bibb Graves Hall, 700 Pelham Road North, Jacksonville, AL 36265
Phone: (256) 782-5820   Fax: (256) 782-5288
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Jacksonville, AL 36265-1602
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Financial Points to Consider in Proposal:

- Award Amount
- Method of payment from sponsor
- Period of Performance
- Program Revenue Generated
- Cash and/or In-Kind Matching including sources of funds and budget number. *Should there be a match requirement, prior approval by the appropriate department/division VP is required before a proposal is fully developed.*

Indirect Cost Rate

Indirect cost rate is also called "overhead" and "F&A." Indirect costs are those that have been incurred for purposes common to a number of activities of the University but which cannot be identified and charged directly to the project. Examples include costs such as administrative support, accounting, personnel payroll, heating, lighting, air-conditioning, library services, lab space, janitorial services, etc. These are real costs for JSU and it is important that these costs be recovered by proposed activities for research, training, and service projects. The indirect cost rates for JSU are negotiated regularly and can also vary depending on the agency, scope of work and location of the project. JSU's negotiated indirect cost rate will not apply when grant sponsors specify a maximum indirect cost rate or, in some cases, allow no indirect costs. In these situations, the principal investigator, department head, and college dean must decide whether they can absorb the overhead costs so that JSU can afford to apply for the grant.

JSU currently has a federally negotiated Indirect Rate with the U.S. Department of Health & Human Services for **35.1% of total modified direct project costs**. Visit www.jsu.edu/sp for more information and a copy of the agreement. Most State of Alabama grants/contracts limit the indirect cost rate to 8%. Other funders may also limit, or preclude, indirect rates from the project.

Salaries and Fringe Benefits

The Office of Sponsored Programs can help you obtain the salary and fringe benefit information, as well as prepare project budgets and narratives.

All personnel who are paid salaries or wages from a sponsored project account must be paid in accordance with University guidelines. Salary and wage categories and job classifications on sponsored project accounts are the same as those established for all other university employees. Salary rates must adhere to the regulations applied to all other university employees, and all sponsored project faculty or staff members must be paid in accordance with normal University salary rates.

A statement that JSU reserves the right to adjust spending on the contract as required for changes in fringe benefit rates should be included in all budget justifications that request funds to pay for personnel.

JSU Approval Form for Sponsored Projects

The Principal Investigator will process the proposed grant/contract agreement between Jacksonville State University and the agency using Cayuse 424.Intructions for Internet Browser Settings and Proposal Submission can be found using the links provided. Some agencies are not supported by Cayuse 424; those proposals will be submitted by the funder guidelines.

Is my proposal missing anything?

Additional considerations that may be relevant to your proposal include the following:

Protection of Human and Animal Subjects: Jacksonville State University will not submit a proposal in which human or animal subjects are involved unless it has been reviewed carefully to guarantee compliance with established policy. JSU's Human and Animal Subject Review Boards will provide information regarding protection of human subjects. The Associate Vice President for Academic Affairs will submit the proposal to the Institutional Review Board, if prior approval has not been received. For additional information regarding IRB policy and procedure contact the Associate Provost, Joe Walsh, at ejwalsh@jsu.edu or the Office of Sponsored Programs at (256) 782-5108 or anewton@jsu.edu.

Civil Rights: Jacksonville State University is an equal opportunity institution and therefore complies with the intent and letter of the law regarding employment, admissions, etc. The Director of Diversity and Inclusion and is the designated Equal Opportunity Employment/Affirmative Action Officer who ensures full compliance with all regulations pertaining to Civil Rights. For additional information contact Kandace Hamilton at (256) 782-8565 or krhamilton@jsu.edu.

Patent and Copyright Policies: Jacksonville State University has developed a policy pertaining to patents and copyrights. This policy, Intellectual Property and Fair Use Policy, may be found in the *Policy and Procedures Manual* – II. Academic Affairs / II:05-03.

Cost Sharing: Certain granting agencies require the University to share in costs for the project. It is the University's policy to review proposals for projects that require cost sharing with the view that the direct benefit will outweigh the anticipated cash cost. Prior approval for cost sharing by the appropriate Vice President, Dean and/or Department Chair highly recommended before development of the proposal begins.

Indirect Costs: Indirect costs are those that have been incurred for purposes common to a number of activities of the University but which cannot be identified and charged directly to the project. Examples include such items as heating, lighting, air-conditioning, accounting, library services, janitorial services, etc. These are real costs for this University and it is important that these costs be recovered by proposed activities for research, training and service projects. The indirect cost rates are negotiated each year and may vary depending on the agency, the scope of the project and location of the project.

JSU currently has a federally negotiated Indirect Rate with the U.S. Department of Health & Human Services for ***35.1% of total direct project costs***. Visit www.jsu.edu/sp for more information and a copy of the agreement.

Review, Internal Approval and Submission of the Proposal

After the initial approval of the proposal concept and tentative budget by the Coordinator of Proposal Development – the proposal can then be fully developed into a formal proposal. The formal proposal should be approved by the department head, appropriate dean and vice president and submitted to the Office of Sponsored Programs via Cayuse 424. This internal electronic routing and approval process must be completed before a proposal is submitted to a funding agency. The formal proposal should respond to the RFP/grant application and may include the following components*:

- Title and Signature Page
- Abstract
- Table of Contents
- Introduction
- Statement of Problem
- Objectives

- Plan of Operation
- Evaluation Plan
- Budget
- Resume(s)
- Bibliography
- Other pertinent information

* This list is simply a suggestion - Be sure to follow the required guidelines of the RFP/grant application as they vary by grantor. All new proposals require pre-approval from the Coordinator of Proposal Development (CPD). The primary investigator/project director should submit a Notification of Grant Proposal Development via Cayuse 424 to the CPD. Once approved, the proposal can then be fully developed.

Internal Routing and Approval Electronic Signatures:

Step 1: PI sets up the Routing and Approval Chain.
Principal Investigator: The Principal Investigator (PI) and Co-PI(s) assumes the responsibility required by the Grantor and University Policy and Procedures and agrees to comply. All PI's and Co-PI's should be included in the routing and approval chain. Once all PI's and Co-PI's have approved the project, an email is sent to the next authorizer(s) - Department Head(s).

Step 2:
Department Head(s): The Department Head(s) is the person in the best position to judge the merits of the proposal in terms of departmental objectives and support. Department Head review is necessary to ensure adequate support in human resources, space and equipment for the project. The Department Head assumes co-responsibility with the Principal Investigator/Co-PI for budget and reporting. Department Chairs for all PI's and Co-PI's must be included in the routing and approval chain. Once the Department Chair(s) have approved the project, an email is sent to the next authorizer(s) - Dean(s).

Step 3:
Dean(s): After review and approval by the Department Head(s), an email will be sent to the appropriate Dean(s) or immediate supervisor(s) for review and approval. This procedure is necessary because many projects require the commitment of various University resources (personnel, equipment, facilities and match funds) by the granting agency.

Step4:
Coordinator of Proposal Development: Coordinates submission of grants. Upon receipt, the Coordinator of Proposal Development will review and approve; if there are errors or any edits need to be made, the proposal will be sent back to the PI(s) and Co-PI(s) for correction. If no corrections are needed, an email will be sent to the appropriate VP(s) or President of the PI(s) and Co-PI(s) for review and approval.

Step 5:
Appropriate Vice President or President: Review and Approval indicates commitment of divisional resources and match funds and advances the mission, goals and objectives of the university.

Step 6:
Sponsored Programs Accountant: Review and approval indicates the proposal complies with University Policy and recommends approval by the University's authorizing official.

Step 7:
JSU Authorized Official: The President has the responsibility for giving final clearance for submission of proposals to funding agencies. The President or the Vice President for Finance and Administration is the "authorized official" to sign all grant proposals for the University. In his absence he will designate a substitute "authorized official." It is important to realize that before a proposal is signed all aspects of the proposal must be reviewed by the various agencies on campus and there must be concurrence that it is ready for approval. Upon review and approval by the President or the VP of Finance and Administration, an email will be sent to the Coordinator of Proposal Development.

Step 7:
Office of Sponsored Programs: The Coordinator of Proposal Development will be notified that the proposal is ready for submission. Depending on the submission type, the proposal is authorized for submission.

May I negotiate directly with the awarding agency?

Funding agencies generally will contact the project director to clarify, alter or determine conditions prior to awarding a grant. For minor administrative or budget changes (unless restricted by grantor), the project director should consult with the department head. When major alterations or changes become necessary, written revisions may be needed and will normally require review by University counsel and signatures of the project director, department head, dean and vice president.