

Policy for Government Relations and Research/Sponsored Programs Office

Responsible Administrator: Vice Provost for Research

Responsible office: Government Relations and Research/Sponsored Programs Office

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POLICY STATEMENT

The office of Sponsored Programs (SPO) and Government Relations and Research aims to assist faculty and others in pursuit of special efforts that can enrich the University's education, research and service endeavors. The primary responsibility is to assist in securing financial support, usually in the form of grant or contracts, thereby enabling the University to undertake new projects or expand or improve upon ongoing activities. The SPO serves as a liaison for Government, Foundation and Corporate sponsored programs activities. Additionally, SPO provides a wide range of support services from assistance in the protection of intellectual properties to compliance with governmental regulations and award conditions, all to assure excellence in research and all other professional and scholarly pursuits.

STATEMENT of PURPOSE

The office of Sponsored Programs (SPO) and Government Relations and Research supports and advances the University mission by furthering the overall mission of teaching, research and service. The SPO provides pre- and post-award management support for sponsored projects.

APPLICABILITY

This policy is applicable to all employees and students of Claflin University

PROCEDURES:

Pre-Award Management

- **Funding Opportunities, Solicitations and Requests for Proposals (RFPs)**
Access to research opportunities, requests for proposals and other solicitation documents is facilitated by the SPO. Funding opportunity newsletters and announcements are disseminated. Faculty and staff may also find their own RFPs.
- **Pre-Proposal Consultations**
After deciding to pursue an opportunity, proposal authors **MUST** complete and email the Proposal Intent and Response Form to SPO. Proposal teams can request a Pre-proposal Consultations (PPCs) with SPO to review application requirements.
- **Internal Proposal Submission Process**
Before a proposal is submitted to a funding agency, it must first be internally reviewed **five (5) working days** prior to the application closing date.

No Proposals can be submitted without SPO approval

- **Proposal Submission Deadlines**

Editable versions of complete proposals **MUST** be ready for final SPO review five (5) working days prior to application closing dates for submission by SPO to the Sponsor two (2) days prior to closing dates. This includes time for revisions required to meet proposal and university standards. PIs/PDs will complete all forms, insert all attachments and prepare application packages.

SPO is not obligated to submit proposals that do not comply with these deadlines

- **Budget Preparation and Review**

Budget formats requirements will vary by individual sponsors. Proposal budgets should be fully justified using institutional rates with all needed support documents and details.

All costs included in the budget must be allowable, reasonable and allocable for the proposed activities. These and other important regulations are defined in and governed by the Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards (commonly called “Uniform Guidance”) in 2 CFR 200 (Uniform Guidance) – Code of Federal Regulations.

Post-Award Management

- **Account Create**

If your proposal has been funded, it is important to note that **the sponsor awards the funds to Claflin University** not to the Principal Investigator/Project Director or the department.

When the SPO receives an award document from a sponsor, the document is sent to the PI/PD with a congratulatory letter. The PI/PD should examine: the statement of work, budget (indirect costs, cost share, release time, etc.), budget restrictions, reporting requirements, required sponsor prior approvals, patent and copyright terms, submission dates for continuation or renewal proposals and other terms and conditions. The PI/PD should immediately communicate any objections or questions to the SPO, who will handle all discussions and negotiations with the sponsor.

A Post-Award Account Create conference with the Grants Accountant, the PI/PD and the SPO will be conducted to set up the grant account internally. PIs/PDs will be made aware of and asked if they agree to carry out their responsibilities to Claflin University and to the sponsor while participating in sponsored activities.

No post-award requests or responses to Sponsors are to be submitted by PIs/PDs

- **Budget Revisions**

Award terms and sponsor agency guidelines must be consulted when revisions are contemplated. To the extent possible, budget revisions should reflect all necessary reallocations of resources projected through the end of the budget period. Requests for budget revisions are completed by the PI and submitted to the SPO for submission to the agency. **PIs and PDs should not contact the sponsoring agency to negotiate budget revisions, award terms or changes.**

- **Assignment or Change of PI/PD**

When changes in PD/PI and sometimes co-PDs/PIs on a project become necessary, or effort is significantly changed, sponsor approval or notification may be required. **Requests to change a PI/PD should be routed to SPO from the Department/School for processing.** The request should include the name of the replacement, along with a current biographical sketch in the format specified by the particular agency and a full justification for the requested change.

- **Changes in Scope of Work**

A change in an award or contract's Scope of Work is any change that significantly alters the goals and objectives outlined in the approved proposal, usually requires prior sponsor approval. The PI/PD must contact SPO to request and justify the proposed changes. **PIs/PDs are not authorized to change the scope of work without the approval of the University.**

- **No Cost Extensions**

A no-cost extension gives the PI/PD extra time to complete the scope and objectives of the project without additional funds provided by the sponsor.

However, requests may not be made for the sole purpose of spending remaining funds. **No-cost extensions must be requested through SPO.**

- **Reports/Deliverables/Milestones**

Technical reports and deliverables should be completed in compliance with sponsor guidelines. **All reports, milestones and deliverables must be submitted to SPO for approval and submission to the agency.** When the PI/PD is required to submit reports online, reports are to be forwarded to SPO for review and approval before PI submission to the agency. **Financial Reports must be prepared and submitted by the Office of Fiscal Affairs.** Financial data required for technical or program reports must be prepared and authorized by the Office of Fiscal Affairs.

An extended policies and procedure manual is currently being edited to align with eCFRs.