TABLE OF CONTENTS

OFFICE MISSION STATEMENT 2
LINCOLN MEMORIAL UNIVERSITY MISSION STATEMENT 2
POLICY STATEMENT 3
OVERVIEW: PROCEDURES AND RESPONSIBILITIES 3
GENERAL INFORMATION AND STAFF DIRECTORY 3
PROPOSAL PREPARATION FACT SHEET 4
ORGSP KEY FUNCTIONS 5
LIFE CYCLE OF A SPONSORED PROJECT 5
APPLICATION ROUTING AND APPROVAL PROCESS 6
ASSURANCES of PROTECTION FROM RESEARCH RISK 6
GRANT PROPOSAL COMPONENTS 6
AWARD TYPES 12
ASSURANCES AND CERTIFICATIONS 13
GRANT POST-AWARD PROCESS 15
GLOSSARY of COMMON TERMS 19
Academic Release Time 19
Acknowledgement of Funding Sources 18
Authorizing Official 19
Certifications 19
Contracts 19
Cooperative Agreements 20
Cost Sharing 20
External Support 20
F&A Costs 22
Fringe Benefits 21
Gifts 21
Grants 21
Human Subjects 22
Institutional Animal Care and Use Committee (IACUC) 22
Indirect Costs 23
Internal Approval of Projects 23
Legal Entity 23
Letters of Inquiry (LOI) 21
Management of Sponsored Projects 21
Reporting Requirements 21
Principal Investigator/Project Director 22
Reporting Requirements 22
Salaries and Wages 23
Summer Salary for Faculty 23

LINCOLN MEMORIAL UNIVERSITY
OFFICE OF RESEARCH, GRANTS AND SPONSORED PROGRAMS

OFFICE MISSION STATEMENT

The Office of Research, Grants and Sponsored Programs (ORGSP) is dedicated to providing the supportive infrastructure needed to increase the overall number and types of externally funded grants and ensure the proper management and oversight of new and established awards that fully represent the mission statement and historical integrity of Lincoln Memorial University.

LINCOLN MEMORIAL UNIVERSITY MISSION STATEMENT

Lincoln Memorial University is a comprehensive values-based learning community dedicated to providing quality educational experiences at the undergraduate, graduate, and professional levels. The University strives to give students a foundation for a more productive life by upholding the principles of Abraham Lincoln's life: a dedication to individual liberty, responsibility, and improvement; a respect for citizenship; recognition of the intrinsic value of high moral and ethical standards; and a belief in a personal God.

While primarily committed to teaching, the University supports research and service. The University's curriculum and commitment to quality instruction at every level are based on the beliefs that graduates must be able to communicate clearly and effectively in an era of rapidly and continuously expanding communication technology, must have an appreciable depth of learning in a field of knowledge, must appreciate and understand the various ways by which we come to know ourselves and the world around us, and must be able to exercise informed judgments.

The University believes that one of the major cornerstones of meaningful existence is service to humanity. By making educational, service, and research opportunities available to students, Lincoln Memorial University seeks to improve life for the students it serves. While serving students from throughout the state, nation, and many other countries, the University retains a commitment to enrich the lives of people and communities in the Appalachian region.

Revised December 8, 2017; approved by Board of Trustees, November 10, 2017.

ABOUT THIS HANDBOOK

This handbook has been prepared to assist faculty and staff members interested in proposal development. Tips on writing the proposal, completing the application package, and preparing the budgets are included. It provides the tools to use in thinking through the proposal development process and offers practical guidelines for structuring and submitting a proposal, ***from start to finish***. This handbook presents a structured approach to minimize potential problems associated with grant proposal submission and award management. Also included in this handbook are a listing of the various budgetary rates, DUNS number and other pertinent numbers, and basic steps in preparing the proposal.

GENERAL ADMINISTRATION

POLICY STATEMENT

The Office of Research, Grants and Sponsored Programs, under the auspices of the Vice President for Academic Affairs, is formally charged with providing services to faculty and staff for securing and managing external support from federal, state, and other sources.

OVERVIEW of PROCEDURES AND RESPONSIBILITIES

The ORGSP will assist faculty and staff in identifying, preparing, and managing research, educational, and service grants and other funding opportunities. All proposals which use the name and resources of Lincoln Memorial University and which may result in an award to the University or an award to an individual functioning in a university capacity involving restricted funds must adhere to University policies and procedures for submitting a proposal, accepting an award and administering the project. The President is the authorizing official to commit the University in all related matters involving grants and sponsored programs.

GENERAL INFORMATION AND STAFF DIRECTORY

Physical Location
Grant Lee

Mailing Address
Lincoln Memorial University
Office of Research, Grants and Sponsored Programs
6965 Cumberland Gap Parkway
Harrogate, TN 37752

Office Hours
8:00 a.m. to 4:30 p.m. (Monday - Friday)

Staff Contact Information
Carolyn Gulley, Executive Director
(423) 869-6291
carolyn.gulley@lmunet.edu

Melissa Miracle, Post-Award Grants Manager
(423) 869-6834
melissa.miracle02@lmunet.edu

Fax Number
(423) 869-6258

PROPOSAL PREPARATION FACT SHEET

The following information can be used in the preparation of proposal cover sheets, budgets, certifications, and other forms. If you have any questions, contact the ORGSP using the contact information listed above.

Application Organization
Lincoln Memorial University
6965 Cumberland Gap Parkway
Harrogate, TN 37752

Type of Organization
Private
Educational Institution
Non-profit Institution

Official authorized signatory for applicant organization:
Dr. E. Clayton Hess, President
Lincoln Memorial University

Name of person to be notified if award is made:
Carolyn Gulley, Executive Director
Office of Research, Grants and Sponsored Programs

Tax ID (TIN)
The tax payer identification number is the number companies use for income tax purposes. It is also known as Employer Identification Number (EIN) and Federal Identification Number (FIN).
62-0479542

DUNS Number
049467251

Facilities and Administrative Costs (F&A or Indirect Costs)
Facilities and Administrative Cost are incurred while providing facilities and support services to many or all of the University's sponsored programs. LMU's Indirect Cost Rate Agreement was negotiated with the Department of Health and Human Services and is 27.58% on campus and 13.87% off campus. The rate is effective from 07/01/2019 to 06/30/2023.

Institutional Review Board (IRB), Dr. Kay Paris, Chair

- **Federal-Wide Assurance Number**
  FWA00012543
- **Institutional Organization Research Group (IORG)**
  IORG0005225
- **Office of Human Research Protections (OHRP) and Biomedical Social Science IRB**
  IRB00006284

2019

Institutional Animal Care and Use Committee (IACUC), Dr. Charles Faulkner, Chair

- Assurance Number
  63-R-0019-2006

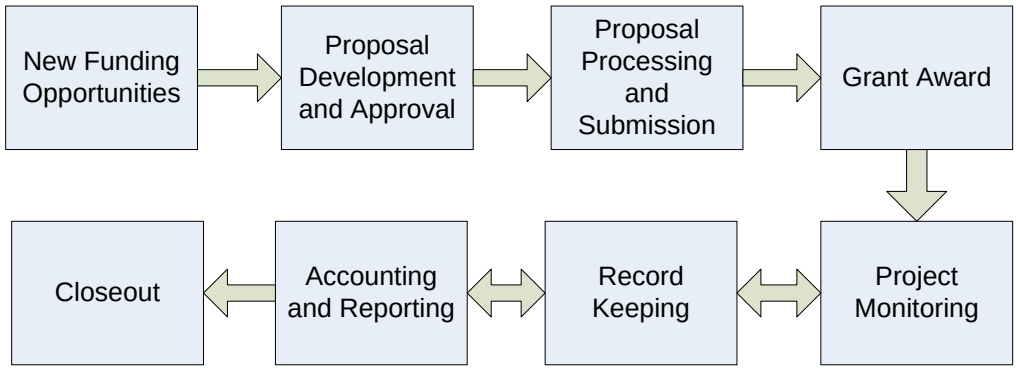
ORGSP KEY FUNCTIONS

- Provide faculty and staff with timely information about funding opportunities.
- Assist faculty and staff with identification of potential funding sources for specific projects, proposal and budget development, proposal writing and submission to meet sponsor requirements.
- Assist faculty and staff in utilizing the electronic proposal submission systems.
- Assist faculty and staff with internal routing and review of proposals prior to submission to ensure accuracy of costs, compliance with internal and external legal requirements, and relevancy to departmental and institutional strategic plans.
- Track and report external funding received, proposed and under development.
- Oversee the administrative and financial management of sponsored programs for the University.
- Provide liaison between faculty/staff, Finance Office and grantor.
- Promote growth of research and scholarly activity and grantsmanship by providing grantsmanship training on campus, and developing university policies and procedures that promote scholarly activity/research and grantsmanship.

The relationships of these roles to the life cycle of an award are shown in figure 1.

LIFE CYCLE OF A SPONSORED PROJECT

Figure 1. Life Cycle of a Grant Award



GRANT APPLICATION ROUTING AND APPROVAL PROCESS

The first step in the grant submission process involves the completion of an **intent to apply form** by the PI/PD. This form is available on the forms and tools page of the ORGSP Website.

Once the PI/PD completes the form, the dean must also sign, certifying that the application is within the scope and mission of the school and that the school has adequate resources for the project. When the grant is ready to submit an **internal routing form** is submitted with the completed grant with signatures from the PI/PD, the dean, finance (in the case of matching funds/cost sharing) and the vice president for academic affairs.

All proposals seeking sponsored funding should be submitted to the ORGSP five (5) days before the application deadline in order to allow for additional signatures if needed and proper budget review**.**

Unofficial Proposals

Any proposal not submitted as stipulated in the ORGSP Handbook will be subject to forfeiture. The PI/PD should ensure that every effort is made to follow the stated guidelines. Proposals submitted without the proper University authorization will not be signed after the fact, even if funding is awarded later.

ASSURANCE OF PROTECTION FROM RESEARCH RISK

Regardless of funding source, all activities performed by LMU faculty or students that involve human subjects, animal subjects, the use of recombinant DNA, or the use of biohazards must be reviewed by the appropriate University review board and/or committee. It is the responsibility of the PI/PD to ensure this step in the application process. If a grant application involves one or more of these requirements, the ORGSP will request proof of application status before the grant can be submitted. Some federal agencies will allow a grant to be submitted when an approval from the appropriate review board/committee is pending. In these cases, the grant may allowed to proceed.

- **Institutional Review Board (IRB)**
  All proposals that involve research to be performed by LMU faculty or students that will in any way involve human subjects must be reviewed by the IRB. The IRB's primary responsibility is to assure LMU researchers operate within the provisions of the Federalwide Assurance of Compliance filed with the U.S. Department of Health and Human Services (DHHS) Office for Human Research Protections (OHRP) at 45 CFR 46.

- **Institutional Animal Care and Use Committee (IACUC)**
  All animal care and use is under the oversight of the IACUC. The IACUC conforms to the general public health service guidelines (PHS policy at IV.A.3.B) concerning membership. IACUC responsibilities include the inspection of the animal facilities as well as all laboratories that use animals. The IACUC must approve all protocols before animals may be used and must certify that all individuals are appropriately trained.

GRANT PROPOSAL COMPONENTS

Funding agencies' application guidelines usually provide the framework for the sequence and content of the proposal. While the format will vary from one agency to another, a sponsor usually requests certain basic components. Unless otherwise stated in the grant application guidelines, these basic components could include one or all of the following:

- Project summary (or abstract)
- Project narrative
- Introduction/review of literature
- Needs statement/statement of problem
- Objectives
- Action Plan/Methodology
- Personnel
- Facilities and resources
- Time-frame
- Evaluation
- Publication/dissemination
- Appendices
- Budget
- Vitae/bibliographical sketches
- Bibliographical references
- Letters of support

Project Summary/Abstract

The proposal must contain a summary of the proposed activity, usually not more than one page in length. The summary should include **a statement of objectives, methods to be employed and the potential impact or significance of the proposed activity to the advancement of knowledge or education**. Reviewers will probably read this section first to gain an overview of the proposed project. Interest often can be captured at this point if the summary is written in clear and concise terms.

Project Description or Narrative

This principal part of the proposal, or the narrative, varies in length, but usually does not exceed 15 pages. It is a detailed statement of the work to be undertaken. Overall, it should discuss potential advances that are expected as a result of the proposed activity, and the specific contributions the proposed work will make toward expanding or developing the knowledge or technology base. It is the basis for determining the merit of the proposal, and may include several components depending on application guidelines.

Introduction or Background Information/Review of Literature

This provides a limited explanation of the proposed activity, the theory or rationale behind it, and the efforts that have been devoted to it in the past are typical kinds of explanations. This section must demonstrate to the reader or reviewer that the applicant has a familiarity with current thinking on the topic and awareness of how the proposed project relates to present trends.

Need Statement/Statement of Problem
The need statement explains why the program, services, or research is needed at this time, or at a particular university, or for a particular population. The sponsoring agency must be convinced that there is a measurable or verifiable need for the activities described in the remainder of the proposal.

Objective(s)
The objective(s) furnish the purpose, aim, or goal(s) of the project. In establishing this section, it is essential that project planners are specific in describing their objectives.

Action Plan or Methodology
The activities or methodologies to be employed must be carefully detailed. The proposal writer may include in this section a description of his or her preliminary work completed on the proposal activity. Grant reviewers are especially concerned about the relevance of each plan or methodology to the objectives of the project and the familiarity of the writer with the proposed plan of action.

Personnel
The personnel section of the proposal should convince the reviewers that the project team members have the expertise to conduct the proposed activities. The PI/PD of a sponsored project must be a full-time member of the LMU faculty or staff unless otherwise approved by the divisional VP. A brief description of each team member should be prepared, indicating his or her professional experience and how he or she will contribute to the project.

Facilities and Resources
The emphasis in this section should be on the institutional facilities and resources that are beneficial to the project. Facilities and resources such as media rooms, libraries, special service units, research apparatus, laboratories, conference rooms, media equipment, computer technology, collaborations and partnership may be described in a proposal. The information provided is used by reviewers to assess the adequacy of the institutional facilities and resources available for performance of the work proposed in the project.

Time-Frame
The time-frame should specify dates for completion of all activities or tasks and their sequence and interdependence. The ability to stay on schedule is one of the most important aspects of project management.

Evaluation / Progress / Performance
A very important part of a project is a well-designed plan for evaluation. All funding agencies highly stress the importance of a proper assessment of the achievement of project goals and objectives. Evaluation can be formative (process) and summative (product). Formative evaluation provides feedback as a program progresses and it facilitates appropriate decision making on a day-to-day basis. Summative evaluation measures program attainments, including the outcome of the project and the achievement of goals.

Publication or Dissemination

To be useful, research results must be disseminated. This section of the proposal should describe who would be informed of project results, which results will be reported, and in what form the results will be disseminated.

Appendices
These are additions of information or materials appended to the proposal that may not be essential to the proposal. Carefully check the sponsoring agent's guidelines and/or contact the program director to determine what is allowed as appendices and what would be most appropriately included in the body of the narrative. Agencies may not return originals or special attachments.

Vitae/Biographical Sketches
Well-designed and up-to-date vitae are required for all senior personnel, major users, and technical personnel listed in the proposal. Each vitae (**usually two pages**) should include information on the individual's (a) education, (b) research experiences, (c) special skills or abilities, (d) usually up to five publications or presentations most relevant to the work proposed, and (e) usually up to five other significant publications or presentations. This section allows reviewers to decide whether personnel are capable of carrying out the proposed activity.

Bibliographical References
A listing of pertinent reference(s), journal style, to the work described in the proposal is required, if applicable.

Letters of Support
Support from such key persons as the collaborating institution's president or vice presidents, local and state leaders, laboratory, industry, or agency executives, and any members of a proposed partnership or collaboration are encouraged, and sometimes required.

Budget Page and Budget Justification
The budget section of the proposal should reflect the **total** cost of the proposed project with the anticipated level of salaries, release time, extra compensation, travel, contracts, equipment, supplies, publication or document dissemination costs, consultant services, computer services, participant support, and all cost sharing and matching funds from **all** sources clearly indicated. This section should be prepared carefully as mistakes could lead to: (a) a poor score from reviewers; and (b) an unacceptable liability to the University, possibly resulting in non-acceptance of a funding award.

The budget justification (usually does not exceed three pages) should explain and justify major cost items, any unusual situations or inclusions, and the proposed institutional cost sharing. Each major budget item must be clearly justified or explained, including a description of responsibilities of any listed personnel and an explanation of their role in meeting the objectives of the project. The PI/PD must note from the application guidelines which costs cannot be covered by the granting agency and must be assumed by LMU as an indication of its commitment to the proposed project and ascertain whether a budget requires approval by others such as the VP for Finance (cost sharing).

Budgeting Guidelines
The budget is the PI/PD's best estimate of the total cost to conduct the proposed project and in funding, required from the sponsor. It is important to keep in mind that, upon submission of the proposal, the budget becomes a **firm commitment** on the part of the University to perform the proposed work at the proposed costs. The budget must anticipate and appropriately reflect **all** activities included in the proposal.

The first step in preparing a proposal budget should always be to review the application materials and guidelines provided by the sponsor. Budget forms or formats provided by the sponsor should always be used. In addition to specifying a form or format, sponsor guidelines will also provide information concerning (a) limitations, if any, on funds which the sponsor will provide; (b) allow ability of specific types of costs; (c) requirements for costs sharing or matching; and (d) any other special financial information.

Two distinctly different types of cost comprise the total cost of any sponsored program: direct costs and indirect costs, often called Facilities and Administration (F&A) costs. Direct costs are those costs which the University's accounting system can easily and accurately identify with, and charge to, specific projects. F&A costs are incurred while providing facilities and support services simultaneously to many or all of the University's sponsored programs.

Direct Costs
Salaries & Wages
Salaries and wages of faculty and staff are a direct cost of the proposed project and should be budgeted in proportion to the fraction of full-time effort each faculty and staff member will devote to the project. For example, if the PI/PD will devote 25% of his or her time to the proposed project, 25% of his or her salary should be included in the proposed budget. Included in this section of the budget should be all personnel who will work on the project, with the PI/PD appearing first, then other senior personnel or research assistants. For each person or position, the following information typically is included for each period: (1) the percentage of effort each will devote to the project; (2) the annual base salary; (and if applicable fringe benefit rate) and (3) the total salary support requested from the sponsor. For academic year employees, salary requests for the academic year and summer months should be listed separately. The respective dean and divisional VP must approve faculty effort.

Administrative Support Salaries
Salaries for administrative support can be budgeted on federal applications if the services can be justified and dedicated to the work of the project. Applications for large center grants and programs that require extensive administrative support may allow administrative support subject to agency approval. Charges are not allowed for general departmental secretarial support. This policy is also applied to non-federal applications to maintain consistency for audit purposes.

Fringe Benefits
The fringe benefit rate of 29% is an average rate that represents LMU's cost for normally charged fringe benefits for faculty and staff salaries.

Equipment
Equipment means an article of non-expendable tangible person property having a useful life of more than one year and an acquisition cost of $5,000 or more per item. Only items that meet this definition should be budgeted on the "Equipment" line of budgets. Items less than $5,000 each should be listed in the "Supply" category. (All Federally Funded Equipment purchases must follow guidelines set forth by OMB 2 CFR 200.313)

Materials and Supplies
Included in this category are all expendable supplies and tangible property having a cost of less than $5,000 or a useful life expectancy of less than one year. Supplies should be listed in the budget by type (i.e., office supplies, laboratory supplies, etc.) and estimated costs. (All Federally Funded Supply purchases must follow guidelines set forth by OMB 2 CFR 200.314)

Travel
Itemize the expenses for each person that will travel in conjunction with the responsibilities of the proposal. Each trip should be listed separately and include the (a) destination, duration and purpose of the trip; (b) persons traveling; (c) round trip coach airfare; (d) surface transportation charges; (e) per diem or actual hotel and meal costs as allowed by sponsor or the University; and (f) any other related expenses such as conference registration costs.

Consultants
Consultants should be named and/or their specialty identified in the budget. The budget should also detail the consultant's daily or job rates, number of days employed, travel costs, and any related expenses.

Subcontractor
List the total for all subcontracts on a "Subcontract" budget line. Verify that the subcontractor's statement of work is included in the body of the proposal and that there is an appropriate budget. The subcontractor should prepare a detailed budget for each year and a cumulative budget using the subcontractor's fringe benefit and overhead rates. A copy of the subcontractor's negotiated Facilities & Administrative Rate Agreement should be forwarded to the ORGSP. An officially authorized representative who is contractually committing the organization should endorse the subcontractor's proposal.

Facilities & Administrative Costs (F&A) / Indirect Costs
Facilities and Administrative Cost (indirect costs) are incurred while providing facilities and support services to many or all of the University's sponsored programs. LMU’s Indirect Cost Rate Agreement was negotiated with the Department of Health and Human Services and is 27.58% on campus and 13.87% off campus. The rate is effective from 07/01/2019 to 06/30/2023.

Internally, LMU formalized an Indirect Cost Allocation Formula to specifically redirect the F&A costs to better support external funding efforts. The new formula is as follows:

- 50% is given to the general fund
    - The President gives 10% of these funds to the University’s Mini Grants Program.
- 25% is given to the Dean of the PI/PD.

- 25% is given to the PI/PD for their research enhancement discretionary account.

University Cost Sharing
The University may share in the cost of a sponsored program when there is a difference between the total cost of performing a project and the funding provided by the sponsor. Cost sharing may be in either direct or F&A costs (Indirect Costs). However, cost sharing of Facilities & Administrative costs is subject to sponsor and University policy. Cost sharing should be proposed only when required by the sponsor or strongly encouraged and should not exceed the levels required by the sponsor. Voluntary cost sharing should be avoided.

The amount and types of cost sharing may vary among agencies and are generally classified as follows:

- Cash Contributions – Represent the recipient's cash outlay, including the outlay of money contributed to the recipient by non-federal third parties. These contributions also included personnel time and, when allowed, unrecovered indirect costs.
- In-Kind Contributions – Represent the value of non-cash contributions provided by the recipient. In-Kind contributions may be in the form of charges for real property, and the value of goods and service directly benefiting and specifically identifiable to the project or program

Budget Revisions
There is considerable variation in sponsor policies relative to budget revisions. Accordingly, award terms and/or sponsor agency guidelines must be consulted when revisions are contemplated. To the extent possible, budget revisions should reflect all necessary reallocations of resources that are foreseen through the end of the budget period. Some budget revisions require the approval from the sponsoring agency; therefore, all requests for budget revisions must be submitted to the ORGSP.

For budget revisions requiring prior sponsor approval, the PI/PD, working with the ORGSP, will prepare the request letter and submit it to the sponsor, typically to the sponsor administrator or program officer as designated in the award. With approval from the sponsor, the ORGSP will then accept the budget revision.

AWARD TYPES
An award may be in the form of a grant, sub-grant, contract, sub-contract and/or cooperative agreement. The type of service or product and the degree of contractor/grantee involvement will determine the type of award given. Grants are usually given in evidence of an end product and deliverable. Contracts require deliverables within a restricted time line and budget. Cooperative agreements are instruments that allow the sponsor and the University to share both the conduct and benefit of the product.

Contracts
Contract types vary according to (1) the degree and timing of responsibility assumed by the contractor for the cost of performance and (2) the amount and nature of the profit incentive offered to the contractor for achieving or exceeding the specified standards or goals. The contract types are grouped into two broad categories: fixed-price contracts and cost reimbursable. The

specific contract types range from firm-fixed-price, cost-plus fixed-fee type, incentive type, and cost-reimbursement type contracts that provide for payment of allowable incurred costs to the extent prescribed in the contract. Contracts are subject to the review and approval of LMU's Legal Counsel, the Office of Finance and in some cases the review of the Executive Director of the ORGSP.

Grants
Grants are awards of financial assistance in the form of money provided for a specific purpose or service.

Cooperative Agreements
Cooperative agreements are issued by awarding agencies and are similar to grants. The basic difference between the two is determined by the degree of the awarding agency's involvement.

Sub-Contracts/Sub-Grants
Sub-contracts and sub-grants are awards of financial assistance that are authorized and made under the terms of an existing contract or grant and usually are governed by the same terms and conditions as the prime contract or grant unless otherwise specified.

ASSURANCES AND CERTIFICATIONS
All federal agencies require that the University have in place policies related to the topics listed below. Grant guidelines often include this requirement which dictates that a certificate of compliance must be submitted prior to the grant or contract award.

Anti-Lobbying (Required since 1989)
Standard Form LLL, Disclosure of Lobbying Activities certificate provides that no federally appropriated funds have been paid or will be paid, by or on behalf of the person signing the assurances; to any person for influencing or attempting to influence an officer or an employee of any agency; a member of congress, an officer or employee of congress, or an employee of a member of congress in connection with the awarding of any federal contract or grant; the making of any federal loans; the entering into of a cooperative agreement; and the extension, continuation, renewal, amendment, or modification of any federal contract, grant, loan, or cooperative agreement. Further, the certification provides that if any funds other than federally appropriately funds have been paid or will be paid for the services mentioned above, the PI/PD should complete and submit Standard Form LLL-A, "Disclosure Form to Reporting Lobbying," in accordance with its instructions. If this certification is a pre-award requirement, appropriate forms and signatures should be a part of the application package or may be secured from the ORGSP.

Conflict of Interest
LMU policy prohibits legal relationships that create or may create the appearance of personal conflicts of interest. LMU provides that it shall be unlawful for any full-time employee, for himself or on behalf of any business, or for any business in which such employee or members of his family have a substantial interest, to transact any business with an agency by which such

employee is employed. A substantial interest is defined as the direct or indirect ownership of more than 25% of the assets of stock of any business.

Drug-Free Workplace
The Drug-Free Workplace regulation requires that for all grants awarded after March 18, 1989, the applicant must provide certification that it will maintain a drug-free workplace. In compliance with the Drug-Free Workplace Act of 1989, the Higher Education Act of 1865 (Section 1213) and the Drug-Free Schools and Communities Amendments of 1989 (P.L. 101-226, Section 22) Lincoln Memorial University has adopted a drug policy for its students and employees. The policy serves as the guidelines for disciplinary actions necessitated by alcohol and drug use during University related activities on and off campus.

Debarment and Suspension
Certification regarding debarment, suspension, and other responsibility matters is required by the regulations implementing Executive Order 12549, Debarment and Suspension, 34 CFR Part 85, Section 85.510, Participants' responsibilities. This common rule restricts subawards and contracts with certain parties that are debarred, suspended or otherwise excluded from or ineligible for participation in Federal assistance programs or activities. The prospective applicant certifies to the best of his or her knowledge and belief that its principals: (a) are not presently debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded from covered transactions by any federal department or agency; (b) have not been convicted of or had a civil judgment rendered against them for fraud or a criminal offense in connection with obtaining or performing a public transaction; (c) are not presently indicted for or otherwise criminally or civilly charged by a government entity; and (d) have not had one or more public transactions terminated for cause or default within a three-year period preceding the application/proposal. In the event that this form is not part of the application package, a copy may be obtained from the ORGSP.

Scientific Misconduct Policy
This certification specifies that all allegations of misconduct in science or academics shall be reviewed to determine if an investigation is warranted; documents relating to the allegations are to be kept on file; and a determination made as to whether or not a full investigation is warranted will be made by the office of the President. During the various stages of the investigation, steps should be taken to maintain confidentiality. Persons involved in the investigation will be required to sign a certification of confidentiality. The ORGSP must be notified in the event that there is any reasonable evidence that possible criminal violation is found during an inquiry or investigation related to an externally funded project.

Responsible Conduct of Research
LMU is committed to maintaining high standards of ethical conduct in all aspects of its work including research and education. Appropriate instruction in Responsible Conduct of Research (RCR) is an essential component of the professional development of our faculty and students at all career levels. LMU has chosen a program to provide training in key RCR topics. However, an academic researcher’s exposure to RCR is not limited to a specific experience. The University shares responsibility with its senior researchers, course instructors and other mentors for ensuring that our students, trainees and faculty at all career levels have formal and informal

opportunities to observe, model, evaluate and discuss responsible research behaviors during their time at LMU. RCR training is an important component of research education at LMU regardless of discipline, career aspiration, or source of research support. However, the University recognizes specific obligations to certain federal sponsors.

Goals

• Reinforce the University's commitment to excellence in research
• Introduce trainees to fundamental principles of Responsible Conduct of Research
• Provide an overview of terms, concepts and policies related to RCR
• Develop skills to identify and address ethical dilemmas in research
• Describe campus resources available to support researchers with RCR concerns
• Assess each trainee's mastery of core principles
• Foster a culture of open discussion of ethical dilemmas in classroom, laboratory and office settings

Covered Population

RCR training is strongly recommended for all graduate students, postdoctoral fellows, other postgraduate trainees and junior faculty, as well as undergraduate students engaged in research. Participation is required for the following individuals:

• Undergraduate students, graduate students, postdoctoral researchers supported by NSF grants to the University. Support includes both salary support and funding for research expenses, e.g. dissertation improvement grants.
• Trainees at all career levels supported by NIH grants in programs defined by NOT-OD-10-019. RCR training received during a previous career stage (e.g. undergraduate, graduate, postdoctoral, junior faculty), either at LMU or elsewhere, does not exempt a trainee from this requirement.

Timing and Frequency: Trainees will be required to complete their training before the start of their funded project.

Training Details: LMU has chosen an online module provided by the Collaborative Institutional Training Initiative (CITI) base at the University of Miami (FL). Additional training by the University will be provided that will allow for face-to-face interaction and instruction when necessary.

GRANT POST-AWARD GUIDELINES

The Post-Award Grants Manager is responsible for the fiscal monitoring of grant awards. This position ensures that expenditures are made in accordance with the approved budget, financial reports and invoices are submitted in a timely manner, and all fiscal matters have been satisfied during the life of the project.

Project Initiation Process

ORGSP receives notification that a proposed project has been selected for funding by the granting agency. If the PI/PD or any other LMU office receives award notification, they should

contact the ORGSP as soon as possible. The award notification will set forth all terms and conditions of the grant or contract. Upon receipt of the award notification, the ORGSP will review the award to ensure that it complies with the original proposal. The Office will then confer with the PI/PD and other administrators to discuss and resolve any discrepancies. The terms and conditions should include the following information:

- Agency Award Number
- Award period
- Award amount
- Principal Investigator/Project Director
- Terms of acceptance
- Other applicable information whether listed or incorporated by reference
- Authorized signature of the awarding agency.

Acceptance

Official acceptance of an award for the University will be made by the PI/PD and the ORGSP under the authority of the VPAA. However, in certain instances, such as in awards involving international programs, the President will make an official acceptance. The PI/PD is cautioned not to sign agreements for research and development support (including grants and contracts), cooperative agreements, teaming agreements, federal and state disclosures and regulatory compliance, patents or copyright licenses, protection from research risk assurances, product sharing, equipment loans or gifts. These and similar agreements bind the University to certain obligations and, as such, can only be signed by the President or an approved authorized University official.

Assignment of Account Number / Drawing Down of Funds

Once the sponsored award has been executed, the ORGSP will schedule a meeting for the PI/PD and ORGSP staff on the issues relating to the management of the award.

The Post Award Grants Manager will submit to the finance office a request for a project account number. This account number will be assigned in order to establish and maintain the project budget.

The ORGSP in conjunction with the Finance Office will ensure payments on federal awards are prompt with minimal time elapsing between transfer of funds (from United States Treasury or pass-through entity) and the distribution of the funds in accordance with 2CFR 200.305. Draw down of funds is examined as needed for each grant and a request is made from the Post Award Grants Manager to the Finance Office with specific amounts, account numbers and timelines. Where grants are awarded with monies paid upfront, the monies are placed in a separate grant account and the funds are spent as expenses are incurred.

The PI/PD will be notified of the account number and all financial procedures for purchases, signatures required and timelines for purchases.

LMU's financial policies and procedures for expenditures and reimbursements utilize methods to ensure compliance with OMB 2CFR 200.

The Post Award Grants Manager will establish a project file that will consist of the proposal, guidelines, initial award document, and any amendments to the initial award document, prior approval requests, correspondence, compliance approval, fiscal transaction forms and

documentation of actions taken from the initiation to final closeout of the project. The project folder is representation of the complete history of the project.

Financial and Administrative Reporting to Sponsoring Agencies

With few exceptions, agencies or organizations sponsoring University research or training projects require some form of financial and technical reporting. Reporting requirements vary in frequency, format, due dates, and detail.

Financial Reports

1. Some sponsors require interim reports, such as monthly or quarterly, for purposes of tracking the financial status of the project and for handling reimbursements due the University.
2. The Office of Research, Grants and Sponsored Programs handles these interim billings or reports in conjunction with the PI or department.
3. On multiple-year projects with federal agencies, the University may be required to request formal carryover of remaining funds from one budget period to the next. Excess balances run the risk of new funding being reduced unless there is a justifiable reason why such balances remain un-obligated.
4. The University is required to submit a final report of expenditures generally 60 to 90 days subsequent to the termination of an award. All authorized expenditures and outstanding obligations must be determined and considered in preparation of this report. Accurate, timely, and complete input from the PI and department is essential to prepare this report.

Progress Reports

1. Some sponsors require interim reports (monthly, quarterly or annually) in order to track the status of the project and ensure that the project is being conducted in accordance with the approved scope.
2. The progress report should contain a comparison of actual accomplishments with approved goals and objectives, PIs' research findings, and other data. Recipients generally will be expected to provide reasons why established goals were not met and to identify corrective actions.
3. For most agencies that anticipate funding a project over a period of years, but make incremental awards one year at a time, an annual progress report is required prior to the sponsor's release of the next year's funding.
4. A copy of the final progress report must be submitted to the sponsor in accordance with the terms of the award. A copy must also be submitted to ORGSP.

Report Submission

All required reports will be submitted in accordance with the terms and conditions of the award. Some reports will be required to be submitted in hardcopy to specific persons at the sponsoring agency and others are submitted electronically.

When electronic submission of reports is required, all PIs must ensure that they are trained in the system for which their report will need to be uploaded. The Post-Award Manager will discuss this requirement during the initial meeting.

NOTE: The PI is responsible for ensuring that all reports are submitted to the sponsor (with exception of financial reports, which will be prepared and submitted in conjunction with the ORGSP office).

Change of PI/PD

When a change in PI/PD on a sponsored project becomes necessary, sponsor approval/notification may be required. Requests to change a PI/PD should be routed to the ORGSP for processing. The request should include the name of the nominated replacement, along with a current biographical sketch and a full justification for the requested change. The ORGSP will submit, or assist in the submission, of the request to the sponsor, if required, and will update the award file.

Purchasing / Bids

The University requires that bids be solicited from at least three vendors for all purchases of $25,000 or more.

Capital Equipment / Fixed Asset Disposal

Capital equipment with a cost of $5,000 or more must be tagged and inventoried. The inventory should track the description, accounting and location for each item in the inventory.
These items will be controlled and disposed of in accordance with University policy as well as any guidelines set forth in the terms of the grant.

No-Cost Extensions

A "no-cost extension" is an action to extend the time authorized to complete a project without any additional funding. These extensions are not available for every award. Therefore, the funding agency and/or grant guidelines should be contacted to first determine if this is allowable. It is important to remember, when additional time is required, it is better to request a no-cost extension than to simply be late in completing the project. The sponsor may not approve requests that are not submitted in a timely manner or those have not been adequately justified. The PI/PD should notify the ORGSP office as soon as they know that a sponsored award will not be completed on time.

Time and Effort Reporting

Time & Effort Reporting is required by federal regulations, LMU follows the guidelines set forth in OMB Circular 2 CFR 200, to confirm that the percentages allocated to each activity represent a reasonable estimate of the work performed.

The actual salary paid is based on the percent FTE that was determined at the time of grant award. This is the estimated amount of effort employees would spend on grant activities based on the Principal Investigator's budget. The effort is reported as a percentage of total wages for the period of the report. If an employee worked for more than one account, or for more than one department, the total salary is reported at 100 percent for the period, which may change the departmental share.

Because Federal regulations require that the estimated effort be compared to actual effort and any significant deviation be reported, reports are prepared and distributed each semester, for a prior semester.

All effort reports must:

- Be reviewed, signed and returned in a timely manner, preferable within 45 days.
- Be signed by the employee, Principal Investigator (PI), or other responsible official who has knowledge of the actual work performed.
- Reasonably reflect the actual work performed, as a percentage of the total salary for that period of time. Reflect any significant differences between the estimated and actual percentage.

Project Final Closeout

Closeout of a project means that the period of performance or the time allotted for work and completion is due and it is time to cease expenditures and bring all activities to an end. Closeout also means the submission of all final deliverables/final reports (financial, progress, property, subcontract, patent, etc.). Upon submission of all required documents to the sponsor, the project file is placed in the closed files and retained in accordance with the appropriate retention schedule (normally, records must be retained for three years after submission of the Final Financial Report, or in the case of litigation, records must be retained until final resolution).

Financial Conflict of Interest
Financial-Interest-Disclosure-Form.doc

Incentive Pay Plan Agreement
incentive_pay_plan_agreement.pdf

Intellectual Property Policy
Intellectual_Property_Policy.pdf

GLOSSARY of COMMON TERMS

Listed below in alphabetical order are terms often encountered by those involved in grant writing, submission, and management. Many of these terms are found and discussed throughout this handbook in respect to LMU policy, but are defined in more general terms in this section.

Academic Release Time

Many funding agencies will provide funding to pay a portion or all of the salary for faculty to be released from regular teaching duties to carry out projects during the academic year. When proposals request release time, it is the responsibility of the PI/PD to secure approval from the respective departmental chair/supervisor and dean/division VP.

Acknowledgement of Funding Sources

Any publication, recording, performance, presentation or other scholarly activity that is the result of a sponsored project should acknowledge the resources contributing financial support. This acknowledgment should recognize all funding sources including the University's contribution to projects. As an example, if funds were provided by the VPAA for internal development efforts and the project resulted in a publication, performance, presentation, etc., the University should be acknowledged for providing this support.

Authorizing Official

The President and VPAA are formally charged with the responsibility to commit the University on proposal submissions, acceptance of awards and contracts. This includes related certifications required by funding agencies during the proposal and award process. The Executive Director of the ORGSP is the designated staff person to manage all federal electronic grants systems.

Certifications

There are various certifications (sometimes called assurances) required at the time of proposal submission and/or award acceptance. These are used to assure federal agencies that the University has applicable policies and procedures in place to successfully carry out the project. These certifications require authorized signatures; authorized university officials include the President and the VPAA. The Executive Director of the ORGSP is the designated staff person to submit electronic certifications.

Contracts

A contract is a financial assistance mechanism used by a federal and/or non-federal funding agency for specific inquiry directed towards particular areas of research and development, instruction or other sponsored activities needed by the funding agency. A contract usually involves defined deliverables and/or services expected to be performed by the grantee within a specified project period. Contract performance is closely monitored by the funding agency to ensure accomplishment of contract goals or deliverables.

A contract is usually issued as either a fixed-priced contract or a cost-reimbursement contract. A fixed-priced contract is used when the agency agrees to pay a "fixed amount" regardless of the actual costs of the project. That is, price adjustments are not made after the award of the contract, regardless of the actual costs of the performance of the work. Therefore, if a fixed-priced contract is under budgeted, the University must absorb the cost difference.

A cost-reimbursement contract is used when the agency agrees to pay the University for costs that are allowable, allocable and reasonable in performing the project. The agency will usually establish a "not-to-exceed cost" or a "cost ceiling" for the contract. Once that ceiling has been reached, the University stops work and incurs no further liability.

Only authorized university officials may sign a contract between a funding agency and the University. Authorized officials include the President and the VPAA.

Cooperative Agreements

Cooperative agreements, as a financial assistance mechanism, are similar to grants in that they are awarded by the funding agency to assist and support research and related activities. They

differ in the fact that grants require minimal or no involvement of the awarding agency during the performance of project activities while cooperative agreements involve substantial cooperation and/or coordination between the funding agency and the University.

Only authorized University officials may sign a cooperative agreement. Authorized officials include the President and the VPAA. The Executive Director of the ORGSP is the designated staff person to submit cooperative agreements electronically.

Cost Sharing

The University may be required to contribute to the costs of a sponsored program/project as stated in funding agency guidelines. In some cases, these expenses may be in the form of "in-kind" costs such as contributed effort of personnel (salary and fringe benefits) who are supported by non-sponsored funds. At other times, there may be a requirement for "cash," particularly for equipment related projects. All cash match commitments must have the approval of the VP for Finance.

When cost sharing funds are required, the PI/PD is required to discuss these needs first with the respective chair/director and dean and then with the Director of the ORGSP. Grant proposal budgets which include a commitment of matching salary funds by the institution must have the prior approval of the PI/PD's divisional VP.

Cost sharing may also come from non-University, third-party arrangements. These arrangements must be documented at the time of proposal submission. The University is required to document all cost sharing/matching funds just as it tracks agency dollars. These become auditable expenditures and the primary responsibility for documentation rests with the PI/PD.

External Support

External support to the University may be described as sponsored programs or projects awarded as a result of an application to a funding agency by the University on behalf of a faculty or staff member. These programs/projects usually involve research, instruction, or other activities and are usually submitted based on defined guidelines established by the funding agency.

Facilities and Administrative Costs (F&A)

Facilities and Administrative costs (also called indirect costs) are actual costs incurred by the University that cannot be readily identified or associated with a single sponsored project or activity. These costs are normal business activities of the University such as utilities, public safety, libraries, building and equipment use and maintenance, accounting, payroll, and academic and sponsored administration.

The determination of F&A costs rates are based on a cost proposal submitted by the University to its respective federal cognizant agency, the Department of Health and Human Services (HHS). This proposal contains all of the "F&A" categories that relate to direct costs necessary to conduct the primary functions of the institution such as teaching, research and other activities. Rates are then negotiated and a final rate agreement is signed establishing the required rates for all projects submitted to external funding sources.

Unless stated through a published rule of the sponsoring agency, F&A costs are not waived or reduced. Any reduction of rates must be documented at the time of proposal approval.

Distribution of Recovered F&A Costs

F&A cost recovery partially reimburses the University for actual costs incurred for conducting sponsored projects. A portion of the F&A costs recovered is distributed to the PI/PD's home school/division to underwrite project development costs. The ORGSP will assist the PI/PD in managing these funds. The PI/PD is encouraged to discuss any plans for the expenditures of these funds with their dean and divisional VP. A portion of the recovered pool of F & A costs from funded projects is distributed to the LMU's internal Mini Grants Program to provide additional funds for support of the research enterprise.

Fringe Benefits

Fringe benefits are actual personnel expenses associated with any salary paid by the University. Fringe rates are determined by the Finance Office. Every salary (excluding students) associated with contract and grant activity has a corresponding fringe rate to be charged. These benefits include such items as workmen's compensation, health insurance, FICA, etc.

Gifts

If funding is designated by an individual or organization as a gift and no financial or programmatic reports are required by the individual or organization, the Division of University Advancement is responsible for the activity.

Grants

Grants, as a financial assistance mechanism, are used when the idea for the research or training project is initiated by the PI/PD following the conditions and criteria established in the agency guidelines; when no substantial program involvement is anticipated between the funding agency and the institution; and when there is no expectation on the part of the funding agency for delivery of a specified product or service for the use or benefit of the funding agency. However, funding agencies do expect grantees to share with the public any results, products or model projects that further the knowledge of the discipline, the research community and/or society as a whole.

Human Subjects

The Institutional Review Board (IRB) assures that adequate protection of human subjects' rights and welfare are carried out in accordance with federal guidelines. The IRB, composed of representatives from all colleges as well as a community representative, is required to review all research projects involving human subjects before initiation of data collection.

Institutional Animal Care and Use Committee (IACUC)

The IACUC is an institutional committee composed of members competent to oversee the institution's animal program, facilities, and projects involving the use of animals. The IACUC, therefore, shares with the PI/PD the responsibility for the ethical decisions made regarding the care and use of animals.

Indirect Costs
The name has been changed by Office of Management and Budget (OMB) – Federal/White House - to Facilities and Administrative Costs (F&A). This change more accurately reflects the pool of expenses that are used to calculate these rates.

Internal Approval of Externally Funded Projects
All projects submitted by the University must go through an internal approval via the ORGSP Routing and Approval Form. This process requires the signatures of at least the following persons: PI/PD, Dean/supervisor, divisional VP, and others as required.

Legal Entity
Lincoln Memorial University is the legal entity for all obligations relating to contract and grant activity.

Letters of Inquiry (sometimes called Letters of Intent)
Non-federal sponsors such as foundations and corporations will often ask for a brief (e.g., three to five pages) concept paper of the proposed project. A funding agency will usually require the letter of inquiry to include the following information: Who, What, When, How Much.

Management of Sponsored Projects
Several offices are involved with the expenditure of restricted funds. However, the ORGSP is responsible for approving all expenditures resulting from any externally funded program. The PI/PD must contact the ORGSP to establish internal procedures immediately after award notification. Those offices will be involved with the Finance Office and the PI/PD throughout the management process relating to restricted fund accounts.

All University policies and procedures relating to expenditure of funds must be followed for all contract and grant activity LMU's financial policies and procedures for expenditures and reimbursements utilize methods to ensure compliance with OMB 2CFR 200. (i.e., purchasing rules, property management, human resources, etc).

Principal Investigator (PI) or Project Director (PD)
Only regular, full-time faculty and/or staff may serve as PI/PD on a grant and/or contract. Sponsors may at their discretion further define and restrict those allowed to direct projects or act as PI/PD. Part-time employees may serve in these roles with their divisional VP approval.

Reporting Requirements
The Post Award Grants manager with assistance from the PI/PD is responsible for submitting all fiscal reports to funding agencies. The Office of Finance may also assist with these reports as needed.

Salaries and Wages
Compensation on sponsored projects must not exceed an employee's authorized base rate of pay at the University. The ORGSP will provide assistance to faculty/staff in calculating salaries for sponsored projects prior to formal submission of projects.

Recent changes in the OMB Circular 2 CFR 200 (Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards) have caused federal agencies to review the use of salaries for administrative and clerical staff as direct costs for projects. Federal sponsors now take the position that the salaries of administrative and clerical staff should not normally be treated as direct costs. Their view is that these should be a part of the F&A costs. However, there are circumstances when these salaries may be a direct cost on a project. The ORGSP can help determine these costs for a grant application.

Grant proposal budgets which include compensation for current University employees must adhere to the following:

- The additional grant responsibilities will not interfere with the contractual obligations of the employee
- The level of compensation requested is reasonable with regard to the services rendered
- Employees cannot exceed 50% of their contractual salary and/or hours during the academic year

Exceptions to the above must be approved by the VPAA.

Summer Salary for Faculty

Many agencies allow faculty to budget "summer salary" as part of the direct expenses associated with a project. The rate of pay will be based on the academic pay rate (9-mo. salary). Agency guidelines will stipulate if there are any restrictions or limitations relating to salary. Therefore, this becomes a part of the overall budget discussion with the ORGSP during the proposal development phase.

AMENDMENTS AND REVISIONS

These policies may be amended or revised from time to time as the need arises. Users will be notified when changes are made and new copies of all amendments and revisions will be made available on the ORGSP web page.