

**Office of Research and Sponsored Programs**  
**Grants Manual**

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## **I. Role of ORSP**

The Office of Research and Sponsored Programs (ORSP) is dedicated to supporting the growth of Stockton's research infrastructure. The mission of the office is to assist members of the community in pursuing support for their scholarly and creative activities. By providing information and support services, the ORSP aids Stockton faculty and staff at times of need and opportunity so they might compete successfully for funding.

In serving the academic functions of the University, the Office of Research and Sponsored Programs operates within a set of values that help define its relationship and activities. These values include:

- Recognition of office as a service-oriented administrative unit.
- Willingness to meet faculty and staff wherever they might need support.
- Understanding the importance in all aspects of scholarship from a variety of disciplines and backgrounds.

When it comes to the pursuit of research funding, the Office of Research and Sponsored Programs aspires to be a reliable resource, a dynamic partner and valuable advocate in Stockton's commitment to excellence. Our role as an administrative unit is to guide faculty and staff through the entire life cycle of a proposal. A major role of the office is to shepherd researchers through the administrative aspects of external research funding.

To accomplish these goals, the office engages in and provides a variety of services. This includes (but not limited to):

- Conducting prospect research to identify opportunities. To help accomplish this, we use the PIVOT database to help identify potential sources.
- Helping with idea and concept generation.
- Assisting with writing and editing of narratives and proposals.
- Assisting with creating budgets for proposal submissions. Reviewing budget requests, ensuring that the appropriate fringe and Indirect Cost rates have been applied accordingly.
- Securing needed approvals for matching and cost share requests.
- Acting as the Authorized Organizational Representative (AOR)/Institutional Official (IO) to certify and submit proposals to federal, state, county, and municipal agencies/entities. This includes gathering and completing the required documents for submission.
- Ensuring compliance with sponsor and governmental guidelines.
- Coordinating post-award fund setup.
- Assisting with reporting requirements.
- Facilitating ongoing relationship-building with sponsors and funders.
- Providing training to faculty and staff on variety of issues related to sponsored research and programming.

Regarding supporting faculty and staff, it is important that the office works with them wherever they might need help. Regardless of if they are a first-time investigator, or if they are an experienced researcher. It is expected that office staff can provide the needed support and work with faculty and staff on a variety of issues.

The Executive Director of the office is authorized to serve as the Authorized Organization Representative or Institutional Official for Stockton. This means that they can submit proposals to federal, state, county, and municipal agencies/entities on behalf of Stockton. They have the responsibility of coordinating the submission of all proposals. The Executive Director can also serve as the signatory official on contracts and agreements that are under \$500,000 (anything \$500,000 or over must be signed by the Chief Financial Officer).

The Office of Research and Sponsored Programs also serves as a liaison with other administrative units involved in the lifecycle of an award/grant. This includes University Counsel, Post-Award Accounting, Purchasing and Procurement, and Human Resources. All grant agreements have to be reviewed by University Counsel. This includes modifications and alterations to previously reviewed documents. The office coordinates submission of all agreements to the office of University Counsel. All submissions are given a corresponding G number by ORSP and when reviewed by counsel the agreement/contract in question is given an L number.

Individual Principal Investigators are not permitted to sign contracts or agreements on behalf of the institution. The only authorized individuals to sign contracts and agreements are the Executive Director of the Office of Research and Sponsored Programs (agreements that are less than \$500,000 in value) and the Chief Financial Officer (agreements that equal or exceed \$500,000 in value).

Another office that the ORSP works closely with is the Institutional Review Board (IRB). Housed within the ORSP, the IRB reviews and approves research that involves human participants. It is composed of faculty members who are experienced researchers as well as an outside community member. The committee reviews research studies to ensure that they comply with applicable regulations, meet commonly accepted ethical standards, follow institutional policies, and adequately protect research participants.

## **II. Who can serve as PI?**

Any full-time faculty or staff member can serve as a Principal Investigator on an externally funded project. There is no limitation on the number of projects that a full-time faculty or staff member can submit in a given year.

Part-time faculty/Adjuncts or part-time staff members are allowed to serve as a Principal Investigator as long as they have a letter of support from a Dean or full-time faculty member. The letter should state that the Dean or full-time faculty member is willing to step in and complete the duties of the Principal Investigator should the part-time employee/adjunct not be available to finish for any reason. This includes taking responsibility for any outstanding elements of the award not yet finished. The presumption of responsibility includes (but not limited to): completion of projects tasks and milestones, execution and wrap up of project, and interim and final reporting.

This letter is needed at the time of submission and is a requirement before applications can be formally submitted to sponsors.

### III. Budgeting Process

The guiding piece of any grant application is the budget. The budget is an important piece that does more than tell how funding will be spent. It provides the framework for the project or research. The budget dictates the scope of the project as well as the impact that the deliverables will have. This section addresses some budgeting basics as well as what all PI's should know about Stockton's policies when it comes to allowable budgeting procedures.

#### Budget template

The budget template is the best place to start. The budget template can be found on the ORSP website (Link: <https://stockton.edu/research-sponsored-programs/proposal-development.html>). All grants at Stockton must have a budget that utilizes the Stockton template. The template features all of the codes that will be used in Banner for setting up the grant. The budget template includes the latest approved fringe rates and indirect cost calculations.

When it comes to setting up the budget there are several issues that must be addressed. Below is a list of these issues and policies:

#### Allowable costs

As long as the proposed cost adheres to the core cost principles as laid out in federal uniform guidance (200- Subpart E), it can be considered permissible. The Four main principles that ensure a budget line item is permitted are Reasonable, Allocable, Consistent, and Allowable.

A cost is considered reasonable if it is a charge that would be incurred under similar circumstances, meaning it is not excessive or extravagant compared to market prices and reflects good judgment in spending.

Allocable refers to a cost when it can be directly attributed to a specific project or activity, meaning it provides a clear benefit to that particular project and can be accurately assigned to it.

When a cost is described as consistent, this means that all costs incurred in similar circumstances and for a similar or like purposes must be treated uniformly.

Lastly, a cost is allowable if it is permitted as a cost within general federal and state regulations, the terms of a specific award, and/or the institution's F&A rates.

#### Specific Allowable Costs

**Supplemental payments:** Supplemental payments are intended for work that is above and beyond specific contractual obligations. Supplementals can be obtained during the academic year or during the summer months. When planning budgets, PI's should be aware of any stipulations on allowable salary from the funding agencies or sponsors. It should be noted that

including supplementals should be approached with caution. PI's should be aware of the impact it might have on how the budget is ultimately perceived by the funding agency/sponsor. Having what is seen by the sponsor as potentially excessive might be detrimental to the overall evaluation of the proposal.

**Course reduction:** Principal investigators are able to use grant funding to pay for a course reduction. This enables them to buy themselves out of a course or related obligations to work on a grant or grant related activities. To get the grant to pay for this, the PI should include the number of credit hours that they want the grant to cover. Credit hours start at \$2,025 (Fall 2024) per credit for Associate Professors and Full Professors and \$1,975 per credit for Assistant Professors and Instructors. It is expected that faculty who receive a course reduction are not permitted to teach a course overload.

Any course reduction requires the approval of the Principal Investigator's Dean or Direct Supervisor. Permission of the Dean/Direct Supervisor must occur at the pre-award phase of grant development. Permission will be captured during the approval process. If the Dean does not approve of the course coverage, the budget will not be allowed to move forward.

**Travel rates:** Unless specified by the sponsor, the university recommends the use of travel reimbursement rates for mileage as proposed by the Internal Revenue Service (<https://www.irs.gov/tax-professionals/standard-mileage-rates>). When it comes to budgeting for meals and per diem expenses, the university recommends following the guidelines laid out by the General Services Administration (<https://www.gsa.gov/travel?gsaredirect=travel-resources>). All university policies must be adhered to when traveling. For the latest policies please refer to <https://stockton.edu/accounts-payable/travel.html>.

**Equipment:** Equipment is best defined as a tangible property with a useful life of one year or more and a unit acquisition cost that equals or exceeds \$5,000 (45 CFR Parts 74 and 92). Depending on the use of the equipment, the property or unit being purchased may be considered equipment or may be considered supplies, the ultimate deciding factor is in the end use of the piece. While the cost is an important determining factor, the ultimate end use of the property is what defines its categorization. If the piece in question has a life of one year or more and is not considered a consumable (meaning that it can be used quickly and for one purpose only), it can be considered equipment. This includes (but not limited to) equipment, instrumentation, hardware, and software.

Ownership of equipment purchased with grant funds typically lies with the organization that has received the funding, not the principal investigator. It should be noted that in some cases the agency providing the funding will retain ownership of the equipment. If this is the case, it will be outlined in the grant agreement. The agreement will discuss stipulations for usage and return of the equipment once the funding period has ended.

**Fringe Rates:** Fringe rates cover the extra benefits provided to employees that accompany compensation. These benefits include, but are not limited to, healthcare benefits (including insurance, prescription plan coverage, and dental coverage), costs associated with employee leave (vacation time, sick time, family leave), pension costs, and unemployment

coverage. When including salary on a grant, the accompanying fringe rates must be always included. As a public institution, our fringe rates are determined by the state of New Jersey. For the 2024 Fiscal Year, Full-time positions have an accompanying fringe rate of 71.45%, whereas part-time positions have a rate of 7.65%. These rates are updated by the state on an annual basis.

All positions on a grant must include coverage for the accompanying fringe benefits. The breakdown of the applicable rates are listed below. This is based on the position you are including. Application does not differ based on staff or faculty status.

Full-Time Positions – Full-Time Rate

Part-Time Positions – Part-Time Rate

Temporary Employment Specialist - Part-Time Rate

Academic Year Supplementals – Part-Time Rate

Summer Supplementals - Part-Time Rate

Course Release – Full-Time Rate

Salary Recovery\* - Full-Time Rate

Academic Year Student Labor –No Fringe Charged

Summer Student Labor - Part-Time Rate

\*salary recovery is where grant funds are used to cover a full time employees salary. The grant funds go to cover a salary line. If this is utilized, please note that no extra funds will go to the employee, rather funds will be used to recoup their salary.

**Indirect costs:** Indirect costs are those expenses associated with the management and running of the grant that are not directly chargeable to the budget as separate or individual line items. These are also known as overhead or Facility and Administrative Costs (these costs cover the literal expenses associated with the institutional facilities and administration of the grant).

Indirect costs are not self-determined or applied arbitrarily by an institution. These rates are determined based on the size of an institution’s administrative footprint in regard to research facilities and laboratory space and administrative capacity. An institution’s rates are determined by federal agencies after review of the aforementioned factors. Stockton’s rate is determined by the Department of Health and Human Services (DHHS). The rate that is granted by the DHHS determines how it can be applied and what line items are subject to indirect costs.

Our current rate is only applied to salary and personnel charges. No other items (unless stipulated in an RFP or RFA that other line items are subject to indirect cost charges) can have indirect costs leveled against it.

**On Campus vs Off Campus:** The DHHS issues each institution two indirect cost rates: one for on campus work and one for off campus work. Different rates can be applied to on campus



vs off campus work with the understanding that the institutional resources vary depending whether the work occurs on a campus-affiliated site or if it occurs off campus at a non-institutional owned or affiliated venue. When it comes to the application of the rates, an important principle is that the rate used is determined by the proportion of where the work occurs. If 50% or more of the work occurs at a Stockton Campus or a Stockton owned, operated, or affiliated site then application of the on-campus rate must occur. If 51% or greater occurs at non-Stockton owned, operated, or affiliated site, then application of the off-campus rate must occur.

It is important to note the distinction between on vs off-campus. On campus means that the work occurs or is hosted at either at one of Stockton's campuses or is at a site that Stockton owns, rents, or is affiliated with (affiliated can include sites that the university has their name on). If the work occurs there, then the application of the on-campus rate should occur. If the majority of the project (including data gathering, or other key elements of the project and its design) occurs at sites that are not owned, operated, or affiliated with Stockton then the off-campus rate can be used.

Please note that off-campus rates cannot be used if the PI plans to do most of the work (including data analysis) for the project at their private residence. The project is still anchored at the University and the on-campus rate should be used in this instance.

Our current on-campus rate is 70% of salaries for on-campus work, and 35.3% for off-campus work. Different or lower rates can be applied in cases where the sponsor determines it is a requirement of the program. Likewise, if the sponsor determines that no indirect costs can be applied, the institution will abide by this determination.

If they are an allowable charge, then indirect costs should be included in the submission. The request to waive indirect costs must be approved by the provost's office. The exemption to charge indirect costs will be reviewed and must be issued prior to submission.

**Cost Sharing/Matching:** Cost Sharing or Matching is a scenario where the university commits resources (financial or other) to the execution of a project. There are three types of cost sharing: Mandatory Committed, Voluntary Committed and Voluntary Uncommitted.

Mandatory Committed cost sharing involves scenarios where the sponsor requires it as part of the budget. It is a mandatory element of the budget, and institutions are required to provide a match for the project. Most times this will be presented as a proportion of the overall budget. Sponsors might request a match of 1:1, meaning that for every dollar requested, the institution has to match or commit an equal amount. This 1:1 might also be seen as 50% of overall project budget, meaning that the sponsor will only cover a half of the overall expenses required to execute the project, the other half is requested by the applicant institution. Another scenario might have the sponsor only requiring a 50% match of the requested budget. This means that for every dollar requested, the institution has to provide .50 cents in match. Of the three types of cost sharing this is the only one that is allowable for Stockton PIs to utilize.

Voluntary Committed refers to cases where an applicant voluntarily commits resources to a project without it being a requirement from the sponsor. This may manifest itself in cases where the PI includes a statement in their project narrative or their budget narrative that says they are committing time to a project without including that time in the budget as a line item. This is considered voluntary because it is not required and is considered match because there is no budget item for this time, implying that the university would pay for this effort through traditional salary compensation. This commits the PI's time and their salary to the grant when it is not needed. This form of matching is not allowable and must be removed prior to submission.

Voluntary Uncommitted refers to cases where the institution puts forth more resources than is committed in the budget. For example, this manifests itself in cases where the PI says they will need to spend a certain amount of effort on the project, but the actual effort spent on the project is more than committed. This is considered voluntary because the institution is putting it forth but is uncommitted because there is no specific amount that is specified. This is strongly discouraged and serves as a reminder for PI's be conscious of the true amount of effort that is required when designing their budgets and to be aware of how much time they need to execute the scope of a given project when combined with other responsibilities.

When it comes to matching, please note that whatever is committed in a cost share has to be tracked and it must be shown that what was committed by the institution was actually spent. With regards to that, it is encouraged that salary and effort be the primary mechanism utilized in matching. Using effort in terms of salary as well as the related fringe and indirect costs (if allowable) is an easy way to provide a match and is something that can be tracked in an accurate and exact manner. Utilization of other budget line items (research equipment and facility usage) can occur as long as they can be itemized, and permission of the Budget Unit Manager and Provost are obtained prior to submission. If stated by the sponsor, unrecovered Indirect Costs can also be used toward a match. Unrecovered indirect costs are those indirect costs that are not being requested in the project budget. This is allowable with some sponsors in cases where indirect costs are not allowed in a project budget and a mandatory match is part of the budget. The same levels of permission with standard resources are also required in this case.

Permission to commit resources (including salary) must be obtained from the Budget Unit Manager prior to submission.

Appendix A contains a copy of the Budget Template

#### **IV. Internal Approval Process**

As part of the pre-award process, approvals must be obtained prior to the submission of any application for external funding. The internal approval process ensures that this happens in a timely and efficient manner. The approvals of the PI, the Budget Unit Manager for the unit, the ORSP office, and a representative from academic affairs via the provost's office (only if certain conditions are met) should happen prior to submission.

The PI is responsible for completing the form and having their Budget Unit Manager sign the form. By signing the form, the Budget Unit Manager in essence is signing off on the project and issuing their permission. It is important to note that this means that they are signing off on such issues as requested course release and supplemental payments (as this information is gathered as part of the internal approval process).

The PI must be detailed in what they reveal as part of the process. The information that is captured during this phase will help parties of interest understand the core features of the project. This information is important because it helps to categorize the project and allows administrative units to understand what the main features of the project are and what is needed to support this work. It is important to capture this information because it will impact the levels of pre-and-post award service that is required to support the project.

The information that is collected includes a variety of topics and issues. This includes basic information about the funder, the title, and the PI's and Co-PI's. While this material is gathered during the pre-award phase, it is done so with the understanding that it might change. The final award might (and often does) deviate from the initial proposal. As part of the process, more detailed information about the type of research, the role of human and animal subjects, and hazardous materials is also asked. Lastly, information about the budget including the indirect cost limitations, the role of subawards, and whether there is a match component is gathered because that needs to be tracked for auditing and reporting purposes.

Permissions for matching or cost share have to be obtained prior to submission. The Budget Unit Manager for the administrative unit of the grant will be the person to grant permission. They are signing off on the fact that there are funds available that can be used to meet the match requirement. If the project involves a cost share, failure to obtain this approval will delay the set-up of the grant. If the project involves a subaward, the set-up process will not start until the award is issued, but the internal approval process will help line up the resources needed for the subaward.

The sequence of signatures starts with the PI, after they sign it, the next in line to approve is the Budget Unit Manager. The form then goes to ORSP for our approval and processing. If the grant request involves cost share/match and/or the budget is equal to or exceeds \$17,500, it needs to be signed off by the Provosts Office in Academic Affairs.

#### **Information Collected as part of Internal Approval Process**

During internal approval process the following information should be provided:

<u>Background info</u>
• PI name
• School/lead administrative unit
• Co/PI name
• Proposal title
• Project Start Date
• Project End Date
• Sponsor
• Prime Sponsor (if applicable)
• Sponsor type (government or private)
• Sponsor Program (if applicable)
• Funding Opportunity Number (if applicable)
• CFDA/ALN number (if applicable)
<u>Project Specific and Compliance Issues</u>
• What is the discipline of this project?
• Potential Keywords
• Project Abstract
• Does the research involve human subjects?
• Does it involve animal subjects?
• Whether or not the sponsor places a limit on the number of proposals that can be submitted to this opportunity by an institution
• Funding/Instrument type (Grant, Contract, Cooperative Agreement, Incoming Subaward, Master Agreement, or Other)
• Type of Submission (New Proposal, Letter of Inquiry/Intent, Subaward, MOU/MOA, Contract, Extension/Renewal, Fee for Service, other)
• Purpose of Project (Research, Capital/Equipment, Training/Professional Development, Public Service, Curriculum Development, Scholarships, Community Engagement, Publications, General Operating Support, Student Support Services, Clinical Trials, Other)
• Submission Method (Grants.gov, NIH Assist, research.gov, sponsor website, email, other)
• Does this project involve any of the following: Potential Biological Hazards, Chemical Hazards, any materials provided by a Sponsor, any materials provided by a Third Party, Neurotoxin Hazards, and Nanomaterials?
• Does this project involve an individual/organization/company with whom the principal investigator(s), members of the PI's immediate family, or other project participants maintain business relationships?
• Will any significant scientific element of this project occur outside the United States?
• Do you think this research has the potential for a patent?
• Will this research use any materials obtained from a third party under a transfer agreement granting ownership rights in inventions and/or data out of the use of the material?
• Will this research use any material, patented or otherwise, which is owned by the institution and licensed to a commercial entity?

<ul style="list-style-type: none"> <li>• Whether work will be performed on or off campus?</li> </ul>
<ul style="list-style-type: none"> <li>• Whether or not the project involves sending, transporting, transmitting, or carrying any material or equipment related to this project outside the US (examples include GPS, biologicals, diagnostic kits, reagents)</li> </ul>
<ul style="list-style-type: none"> <li>• Whether the proposed research involves access to export-controlled information or technology such as government or third-party confidential information identified as export restricted?</li> </ul>
<ul style="list-style-type: none"> <li>• Whether the project involves travel outside the U.S.?</li> </ul>
<ul style="list-style-type: none"> <li>• Whether the research involves encryption, military (ITAR) and/or space technology (e.g. satellites, explosives, military training, military vessels, vessels, and equipment)?</li> </ul>
<ul style="list-style-type: none"> <li>• Whether the PI is restricted from publication, require a non-disclosure agreement (NDA), or, receive, use or create any proprietary technical data?</li> </ul>
<u>Budgetary Issues</u>
<ul style="list-style-type: none"> <li>• Total Direct Costs:</li> </ul>
<ul style="list-style-type: none"> <li>• Total Indirect Costs:</li> </ul>
<ul style="list-style-type: none"> <li>• Total Project Cost (sum of direct and indirect costs)</li> </ul>
<ul style="list-style-type: none"> <li>• F&amp;A rate type (research on or off site; instruction on or off site; Other Sponsored Activities on or off site; Sponsor limited rate; other)</li> </ul>
<ul style="list-style-type: none"> <li>• F&amp;A Rate Percentage</li> </ul>
<ul style="list-style-type: none"> <li>• F&amp;A Base Type (Modified Total Direct Costs, Total Direct Costs, Salary and Wages, Salary and Fringe, Other)</li> </ul>
<ul style="list-style-type: none"> <li>• Will any portion of the project be performed by a Subrecipient?</li> </ul>
<ul style="list-style-type: none"> <li>• Whether the proposal budget exceeds \$17,500?</li> </ul>
<ul style="list-style-type: none"> <li>• Whether the budget contains cost-sharing as a portion of the project or program costs?</li> </ul>
<ul style="list-style-type: none"> <li>• Details of cost share: The required pieces include the description of what is being matched, the budget unit it will come from, the budget unit manager associated with the unit, and the FOPAL that will provide the funds.</li> </ul>

Appendix B contains a copy of the Cost Sharing form

Appendix C contains a copy of the Internal Approval Form.

## V. Submission Process

ORSP is responsible for all submissions to external funding agencies and sponsors. The Executive Director serves as a signatory official for the institution. ORSP's role is to coordinate and handle the submission of all proposals on behalf of the institution. The exemption to this is in instances where the submission should be handled by the PI. Usually this is predetermined by the sponsoring agency. While this is rare, the office recognizes that this does happen from time to time (especially in cases where Stockton is a subaward). In cases where this deviates from traditional institutional procedures, the Executive Director and the PI will agree on an appropriate protocol that ensures ORSP can still review all materials prior to submission.

As the submitting entity, the ORSP will carefully review and prepare all required paperwork. The submission documentation including all verifications, budget forms, and application materials will be prepared by ORSP. All letters of support and necessary internal approvals will be obtained by ORSP prior to the actual submission.

The project narrative and scope of work is the responsibility of the PI. ORSP can review and provide editing suggestions, but the development of the scientific and programmatic pieces is the responsibility of the PI (ORSP can upon request provide input and suggestions, but the PI is the final authority on those decisions). All personal documentation (including, but not limited to the biosketch, current and pending, and conflict of interest materials) is the responsibility of the PI. ORSP can and will review this for compliance with sponsor requirements and standards. Prior to submission and upon completion of the supporting documentation, permission of the PI will be obtained. The PI will give their final approval to all supporting documentation. It is the policy of the office to obtain permission before submission of any and all materials.

When it comes to submitting grants, ORSP has adopted a **5/2 Business Day Deadline** policy. This policy requests that the PI provides ORSP with notification of their intent to apply for a grant no less than **five (5) business days** before the sponsor deadline. This notification must be sent to [joseph.cronin@stockton.edu](mailto:joseph.cronin@stockton.edu), and must be received by 12 pm noon on the aforementioned deadline.

The proposal in its final form for submission to the sponsor, including the final narrative and all administrative pieces, is due no later than 12 pm noon **two (2) business days** before the sponsor deadline. After the initial review of all materials, the office may request changes in line with all applicable university and sponsor policies. All changes requested by ORSP must be completed and returned to them no later than **12 pm noon Eastern Time on the day of the sponsor deadline**.

ORSP requests that the Principal Investigator inform the office as soon as possible that they are planning on pursuing any opportunity. Late notifications will hinder the level of support that the office can provide to the submission.

## **VI. Set-Up Process**

After the award letter has been received by the institution the process of setting up the grant for execution can begin. In order to set up the grant, the following pieces are needed: the signed internal approval form, the final budget in the Stockton Template (other formats are not acceptable), signed cost share form (if applicable), and documentation of the award. This can take the form of the signed agreement between Stockton and the sponsoring agency or the award letter.

If the award letter is included, it must contain the awarded amount with the start and end dates of the project. Award letters that do not contain that information are not allowed in the set up. The final contract can be used as long as both parties/institutions have signed off on it. Only completed contracts will be used in the set up.

Office of Research and Sponsored programs initializes the set-up process. This includes assignment of the grant user permissions in the banner system and assignment of the fund number. Once all pertinent information is collected, the information is submitted to Post-Award Accounting for formal setup.

Post-Award Accounting inputs all essential information including budget in Banner to set up the fund. The PI and all assigned users on the grant will receive a notification once the setup is completed. Post-Award Accounting will request Disbursement Services to establish grant user permissions in Banner. Once permissions are established, money can start to be drawn down against the account. The PI and their Budget Unit Director are responsible for charges against the award account and are ultimately responsible for the financial management of the grant.

## **VII. Contracts and Agreements**

All agreements and contracts must be reviewed by University Counsel. A legal review is required to ensure that the terms and conditions are amenable to the institution. The Office of Research and Sponsored Programs coordinates and facilitates all reviews with University Counsel. Any MOU that has terms and conditions must be reviewed by counsel (there are no exceptions to this rule).

Each agreement is assigned a unique G number by ORSP. This is an identifier that is used throughout the life of the contract. That number is conveyed to Legal who in turn assign their own identifier to the document in the form of an L number. This ensures that both departments have reviewed the document and have processed it accordingly in their respective units.

University Counsel will review and make note of any issues that require further attention from the sponsor or the partner. In some cases, this will just require the sponsor or partner to make a change to the document. This can be a change to the terms and conditions or a change to the structure of the project based on the seriousness of the issue in question. In some instances, no change is required, or the change is that of language that just requires the sponsor or partner to initialize the change.

PIs are not able to sign off on their own contracts. Only those individuals who are designated as signatory officials can sign. There are two individuals with that authority, the Executive Director of ORSP and the Chief Financial Officer of the University. The Executive Director of ORSP can sign off on Agreements less than \$500,000. The Chief Financial Officer is the only person who can sign off on agreements that exceed \$500,000.



## VIII. Subawards

During the lifecycle of a grant, there are times when a third party might have to be engaged to ensure successful completion of the award. When it comes to working with third party entities, there are different mechanisms that can be employed. The mechanisms in question are Subawards, Service Contracts and Consultants. There can be misperceptions about how and when each can be used. It is important to understand the nuances behind each of these mechanisms and when is the appropriate time to use each one.

### **Subaward**

The first mechanism is a subaward. Establishing a subaward allows the grant recipient to engage with an outside agency/individual to work collaboratively on tasks related to a grant. When it comes to subawards, you can be either the pass-through entity or you can be the subrecipient. If you are the pass-through entity, you are the agency who is contracting with the subaward. As the pass-through entity, you are taking part of the award and sending it to another institution. The funding is passing through the institution onto the third-party entity. If you are the subaward, the pass-through entity sends you funding through a traditional grant award.

With a subaward, the recipient agency takes part of the award and contracts with another agency to complete part of the project. The mechanism usually takes the form of a legally binding agreement between two parties. In this instance, the agency who is receiving the award is referred to as a pass-through entity, because the funds are passing through them to a third party. The third party is referred to as a subrecipient.

The subrecipient is responsible for an important part of the project that cannot likely be completed by another party. The subrecipient is an important piece of the project as they are likely to have responsibility for making decisions that impact the overall project. The funds are used to carry out a specific research scope of work as compared to providing goods or services for the grant. As a subaward, they are expected to contribute to the overall scholarly and scientific conduct of the project. The subaward has to adhere to the appropriate compliance regulations (IRB, IACUC) related to the scope of the project. The lead PI at the subrecipient agency can serve as a project co-PI or co-lead investigator and can publish based upon their work on the project.

### **Service Contract and Consultants**

The next mechanism is the use of a service contract or a consultant. With the use of a service contract and consultant, it is important to note that this arrangement is not the same as a subaward. With a service contract, as the awardee you are not entering into an agreement with another institution, instead you are entering into an agreement with a service provider. Often, the service provider will perform work as an independent contractor. As an independent contractor, they do not have the same autonomy as a subaward. The service provider provides specific goods and services that are related to the execution of the project. They do not participate in any decision making related to the programmatic execution of the grant agreement. As a service

provider, they provide a service in exchange for payment or compensation and typically operate in a competitive environment where they provide similar services to other clients as part of their standard normal business practices. Service providers are not subject to monitoring or reporting requirements of the prime award.

The scope of work and the expected duties of the third party will determine what mechanism will be employed. The subaward mechanism should be used when the third party is expected to be a major contributor to the success of the project. Subawards take on a major component of the project and are essential to the success of the project. A subaward is selected because they can bring a unique skill set to the project. The service provider or consultant performs work that could potentially be completed by another vendor.

### Setting up a subaward

The process of setting up a subaward is a multistep process. The subaward relationship is encapsulated with the subaward agreement. This is a document that formalizes the relationship between Stockton and its subrecipient. Preparation of this material should start at the time of proposal submission with the completion of the subaward commitment form.

The subaward commitment form is submitted to ORSP from the subaward organization. The form asks various questions meant to assess and evaluate the project and the subrecipient institution. This information asks for the following:

• Identification of the Principal Investigator for the subrecipient organization
• Address of the subrecipient organization
• The UEI/DUNS and EIN of the subrecipient organization.
• Copy of subaward budget
• Copy of subaward budget justification
• Key personnel biosketches
• Current and pending for key personnel (if required by grant guidelines)
• Scope/Statement of work for subaward
• Fringe rate agreement for subaward organization/institution (if available)
• Indirect cost rate agreement for subaward organization/institution
• Copy of most recently completed financial audit
• Copy of any IRB and IACUC approval pertaining to the project.
• If providing match or cost share must provide organizational commitment letter signed by institutional official
• To affirm whether or not there is any conflict-of-interest policy in effect at the institution. By signing the form, they are confirming that there is a policy, and it is adhered to by the institution.
• Information on whether or not anyone (the PI, or any other employee or student) participating in this project are not debarred, suspended, proposed for debarment, declared ineligible, or otherwise excluded from or ineligible for participation in federal assistance programs, federal contracts, or activities. * (question requires more information if answered in the affirmative)

<ul style="list-style-type: none"> <li>Information on whether or not anyone (the PI, or any other employee or student) participating in this project is presently indicted for, or otherwise criminally or civilly charged by a government entity. * (question requires more information if answered in the affirmative)</li> </ul>
<ul style="list-style-type: none"> <li>Information on whether or not anyone (the PI, or any other employee or student) participating in this project has within the last three (3) years preceding this offer, been convicted of or had a civil judgment rendered against them for commission of fraud or criminal offense in connection with obtaining, attempting to obtain, or performing a public (federal, state, or local) contract or subcontract; violation of Federal or State antitrust statutes relating to the submission of offers; or commission of embezzlement, theft, forgery, bribery, falsification or destruction of records, making false statements or receiving stolen property. * (question requires more information if answered in the affirmative)</li> </ul>
<ul style="list-style-type: none"> <li>Information on whether or not the Subrecipient has, within the last three (3) years preceding this offer, had any contract terminated for default by any federal agency. * (question requires more information if answered in the affirmative)</li> </ul>
<ul style="list-style-type: none"> <li>If respondent responses in the affirmative to any of the above questions marked with a “*” then they have to provide more details about those situations.</li> </ul>
<ul style="list-style-type: none"> <li>Does the subrecipient have a self-balancing set of accounts recording cash and other financial resources which are segregated for the purpose of carrying on specific activities or attaining certain objectives in accordance with special regulations, restrictions, or limitations?</li> </ul>
<ul style="list-style-type: none"> <li>Does the subrecipient have a procurement system which can record and segregate goods and services for the purpose of carrying on specific activities or attaining certain objectives in accordance with special regulations, restrictions, or limitations?</li> </ul>

The form and the accompanying supporting material are submitted to Stockton’s ORSP. The information is then used to develop the subaward agreement between the two institutions. The agreement is sent to Legal for their review and then to the subrecipient for their signature. The following forms/documentation are required to accompany to subaward agreement to be set up:

<ul style="list-style-type: none"> <li>Completed Agreement template</li> </ul>
<ul style="list-style-type: none"> <li>Copy of terms and conditions</li> </ul>
<ul style="list-style-type: none"> <li>Budget and scope of work</li> </ul>
<ul style="list-style-type: none"> <li>Original signed agreement from the sponsor</li> </ul>
<ul style="list-style-type: none"> <li>W9 form</li> </ul>
<ul style="list-style-type: none"> <li>Chapter 51 approval.</li> </ul>
<ul style="list-style-type: none"> <li>Employee Information Certificate or a Letter of Federal Affirmative Action Plan Approval.</li> </ul>
<ul style="list-style-type: none"> <li>Ownership Disclosure - Pursuant to N.J.S.A. 52:25-24.2, vendors are required to provide a statement of ownership. (if subrecipient is a non-academic institution)</li> </ul>
<ul style="list-style-type: none"> <li>Disclosure of Investment Activities in Iran</li> </ul>
<ul style="list-style-type: none"> <li>Source Disclosure</li> </ul>

- Certification of Non-Involvement in Prohibited Activities in Russia or Belarus

When the subrecipient sends back the subaward commitment form, the institution needs to assess the risk level of the subrecipient. The risk level will determine the level of post award monitoring that must occur throughout the life of the subaward. This is important because failure to accurately assess the risk level can pose a financial threat to the university as with a subaward we take on the risk posed by the subaward. If they are unable to fulfill their commitment to the project, the institution can find themselves liable for their work. Monitoring risk is crucial and is an essential and required part of the process. To gather this information, ORSP completes a Risk Assessment questionnaire.

The level of risk for a subrecipient is determined by their scoring on the assessment questionnaire and their current audit status. A series of questions determine the risk status of the subrecipient organization, and corresponding actions are taken from there. When there is low risk, the subaward will be processed and monitored according to normal and standard guidelines. When the risk is higher in nature, more oversight and granular review is required when processing and monitoring the subaward.

To determine risk level, the questionnaire asks about a variety of relevant issues pertaining to the institution, the project, and the nature of the award. A point and scaling system will be employed to determine risk level. Answers are weighted and that overall score determines their risk level. Below is a listing of the questions asked broken down by question category:

#### Types of Questions asked

- i. Institution type:
  1. Foreign or domestic
  2. Specific type of institution (college/university, industry, other)
  3. Is subaward mature regarding their level of experience with subawards and subaward management. (level of experience in years: 1-4, 5-9, 10+, no experience)
- ii. Concerns around project:
  1. Type of the prime sponsor
  2. Type of award
  3. Total amount of subaward
  4. Percentage of overall award that is being subcontracted to the subrecipient
  5. Whether or not there is human or animal subject research as part of the scope
  6. Has the scope of work (including deliverables) been defined?
  7. Place where subcontract work is being done- Whether it is on or off campus
- iii. Threshold or Status Questions

1. Is the subrecipient institution debarred?
2. Is the PI debarred?
3. Is subrecipient institution delinquent in any federal debt, does this show up in SAM (System of Award Management)?
4. Does subrecipient have a conflict-of-interest policy?
5. If so, has a conflict been identified?
6. Does subrecipient have an acceptable accounting system?
7. Does subrecipient have an acceptable procurement system?
8. Have they completed an audit under A133 for the most recently completed fiscal year?
9. Does subrecipient have an indirect cost rate? (or experience setting up such a rate?)
10. Is any of the project covered by International Traffic in Arms (ITAR) or Export Administration Regulations (EAR)? (Work involving export of military-regulated goods and services and technology – ultimate goal of these regulations is to prevent the unauthorized export of controlled items to foreign persons.)
11. Does the project involve cost share?
12. Does the project involve participant support?
13. Does subrecipient have experience managing same or similar federal awards?

These questions determine whether there are any potential risk issues. If the subrecipient is determined to be high risk, a more stringent and cautious monitoring process is put into place with overseeing the financial administration of the subaward.

Appendix D includes a copy of the Subrecipient Commitment Form

## IX. Other Relevant Policies of Note

**Institutional Review Board** - If your research involves human participants, it will require a review from the Institutional Review Board (IRB). Institutional Review Boards (IRBs) or research ethics committees conduct periodic reviews of human subjects research to ensure participants are protected and proposals meet ethical acceptability standards (based on federal mandates) for research involving humans. Please visit the IRB website for more information (<https://stockton.edu/research-sponsored-programs/irb.html>).

**Institutional Animal Care and Use Committee** - If your work involves the use of live, vertebrate animals for research, teaching, and testing activities it will require review from the Institutional Animal Care and Use Committee (IACUC). The IACUC is responsible for ensuring the humane care and use of animals in all activities related to research and education. The Committee is made up of scientists, non-scientists, and members of the public to ensure expression of diverse perspectives.

**Data Use and Partnerships** - When working in a collaborative environment with other researchers, it is recommended that clear and firm boundaries are established regarding the dissemination of any research data. The partner who generated the data should be considered the owner and has the right to refuse any public dissemination of their work. They should also have the right to be informed prior to and approve the inclusion of this information in any academic or non-academic forum or medium (including, but not limited to, journal articles, presentations, grant applications/proposals, and reports). It is recommended that investigators establish these boundaries in writing at the onset of the project in question.

**Letters of Support** – Grant submissions often require letters of support from the Provost or other senior administrators. The Office of Research and Sponsored Programs (ORSP) can help obtain these letters. It is requested that the request for these documents come to the ORSP as soon as possible. At certain times of the year, it does take several days to obtain the necessary signatures. Having ample time to prepare the letter and gather the needed approvals is needed.

## **X. Appendices**

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Appendix A: Budget Template

<b>Proposal Title:</b>					
<b>Funder/Sponsor &amp; Program:</b>					
<b>Period of Performance</b>	<b>From:</b>			<b>Months:</b>	<b>0</b>
<b>Indirect Cost Rate</b>	<b>0.00%</b>				
	<b>Year 1</b>	<b>Year 2</b>	<b>Year 3</b>		<b>TOTAL</b>
<b>Senior/Full-Time Personnel</b>					
<b>Project Director/Principal Investigator:</b>					
Faculty Summer Supplemental (613411)					\$0.00
Faculty Supplemental (613305)					\$0.00
Course Release (612105)					\$0.00
<b>Subtotal PD/PI</b>					<b>\$0.00</b>
<b>Co-Project Director/Principal Investigator:</b>					
Faculty Summer Supplemental (613411)					\$0.00
Faculty Supplemental (613305)					\$0.00
Course Release (612105)					\$0.00
<b>Subtotal Co-PD/Co-PI</b>					<b>\$0.00</b>
<b>Investigator/Co-Investigators:</b>					
Faculty Summer Supplemental (613411)					\$0.00
Faculty Supplemental (613305)					\$0.00
Course Release (612105)					\$0.00
<b>Subtotal Inv./Co-Inv.</b>					<b>\$0.00</b>
<b>Full-Time Staff:</b>					
X (# month appt.@ \$/hour x # hrs/wk)					\$0.00
Staff Supplemental (613306)					\$0.00
Staff Summer Supplemental (613413)					\$0.00
<b>Subtotal FT Staff</b>					<b>\$0.00</b>
<b>Part-Time Personnel</b>					
<b>Temporary Employment Specialist (TES) (613340)</b>					
X (# month appt.@ \$/hour x # hrs/wk)					\$0.00
<b>Subtotal TES</b>					<b>\$0.00</b>
<b>Student Personnel</b>					
<b>Student Workers (Grad 613350)</b>					
X (# month appt.@ \$/hour x # hrs/wk)					\$0.00
<b>Student Workers (Undergrad 613345)</b>					
X (# month appt.@ \$/hour x # hrs/wk)					\$0.00
<b>Subtotal Stud. Pers.</b>					<b>\$0.00</b>
<b>Subtotal Personnel</b>					
	<b>\$0.00</b>	<b>\$0.00</b>	<b>\$0.00</b>	<b>\$0.00</b>	<b>\$0.00</b>
Fringe benefit rate for full-time faculty/staff during the academic year. Rate = 71.45%.	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00
Fringe benefit rate for part-time staff, faculty supplementals, faculty summer supplementals, and student workers. Student workers are paid fringe benefits only during summer months. Rate = 7.65%	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00
<b>Total Benefits</b>	<b>\$0.00</b>	<b>\$0.00</b>	<b>\$0.00</b>	<b>\$0.00</b>	<b>\$0.00</b>
<b>Total Personnel</b>	<b>\$0.00</b>	<b>\$0.00</b>	<b>\$0.00</b>	<b>\$0.00</b>	<b>\$0.00</b>
<b>Non-Personnel</b>					
<b>Publications (7G1005 or 7G1030)</b>					
					\$0.00
<b>Subtotal Publications</b>					<b>\$0.00</b>
<b>Supplies (Office 7G1015) (Educ 7G1010) (Marine 7G1014) (Lab 7G1013) (IT Supplies 7G1011)</b>					
					\$0.00
<b>Subtotal Supplies</b>					<b>\$0.00</b>
<b>Consultant (7G1025)</b>					
					\$0.00
<b>Subtotal Consultant</b>					<b>\$0.00</b>
<b>Subcontract (7G1028)</b>					



					\$0.00
<b>Subtotal Subcontract</b>					\$0.00
<b>Professional Services (7G1030)</b>					
					\$0.00
<b>Subtotal Professional Services</b>					\$0.00
<b>Equipment Maintenance/Rentals (7G1033)</b>					
					\$0.00
<b>Subtotal Equipment</b>					\$0.00
<b>Travel (Domestic) (7G1035)</b>					
					\$0.00
<b>Subtotal Travel</b>					\$0.00
<b>Hospitality &amp; Event Services (7G1038)</b>					
					\$0.00
<b>Subtotal Hospitality and Event Services</b>					\$0.00
<b>Equipment Purchases (7G1040)</b>					
					\$0.00
<b>Subtotal Equipment Purchases</b>					\$0.00
<b>Software/Licenses (7G1045)</b>					
					\$0.00
<b>Subtotal Software/Licenses</b>					\$0.00
<b>Grant Student Aid (7G1055)</b>					
					\$0.00
<b>Subtotal Grant - Student Aid</b>					\$0.00
<b>Grant Other Student Assistance (7G1060)</b>					
					\$0.00
<b>Subtotal Grant - Other Student Assistance</b>					\$0.00
<b>Total Direct Cost</b>					
	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00
<b>Indirect Cost (7G1100): Federally negotiated rate of 35.3% for majority off-campus projects and 70% for majority on-campus projects. Based on budget line for personnel (salaries/wages), excluding fringe benefits.</b>					
	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00
<b>Total Funding Request</b>					
	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00

## Appendix B: Cost Sharing Form

# **COST SHARING APPROVAL FORM**

**FORM TO BE INCLUDED ONLY IF COST SHARE IS PROPOSED**

Principal Investigator: \_\_\_\_\_

Project Title: \_\_\_\_\_

Sponsor: \_\_\_\_\_

GRANT NUMBER: \_\_\_\_\_

**Instructions:**

1. Only include project costs NOT funded by sponsor-including employee benefits and indirect costs
2. Proposed cost share budget must be itemized in detail
3. For cost shared salaries and benefits include employees name and Z#
4. College's fund and org information for funding sources must be included
5. Signatures from budget unit managers must be obtained prior to submission

**PROPOSED BUDGET:**

<b>Project Cost Description</b>	<b>Amount</b>	<b>Funding Fund</b>	<b>Funding Org</b>	<b>Budget Unit Manager Name</b>	<b>Signature &amp; Date</b>

**BY SIGNING, THE PRINCIPAL INVESTIGATOR CERTIFIES THAT HE/SHE HAS READ AND UNDERSTOOD THE INSTITUTION'S COST SHARING PROCEDURE**

**APPROVAL SIGNATURES (REQUIRED):**

PRINCIPAL INVESTIGATOR: \_\_\_\_\_

DATE: \_\_\_\_\_

GRANTS OFFICE: \_\_\_\_\_

DATE: \_\_\_\_\_

## Appendix C: Internal Approval Form

*This form, regardless of award type or sponsor, must be completed and delivered with a brief project description (abstract or scope of work), a completed Stockton internal budget template, and an RFP, as well as any other supplemental forms requested by ORSP. Please direct any questions to [grants@stockton.edu](mailto:grants@stockton.edu).*

**I. Proposal/Project Information**

**Principal Investigator (PI) Name/Title:** \_\_\_\_\_

**School/Unit:** \_\_\_\_\_

**Co-PI or Co-Director/Co-Investigator (if applicable):** \_\_\_\_\_

**Co-PI or Co-Director/Co-Investigator (if applicable):** \_\_\_\_\_

**Co-PI or Co-Director/Co-Investigator (if applicable):** \_\_\_\_\_

**Partnering Organizations/Institutions (if applicable):** \_\_\_\_\_

**Project Title:** \_\_\_\_\_

**Project Start/End Dates:** \_\_\_\_\_

**Submission Deadline:** \_\_\_\_\_

**Project Purpose**

Research  Capital/Equipment  Training/Prof. Dev.  Public Service  Curricular Development

Scholarships  Community Engagement  Publications  General Operating Support

Student Support/Services  Other

*If Other, please describe:* \_\_\_\_\_

**Submission Type**

New Proposal  Letter of Inquiry/Intent  Subaward  MOU/MOA  Contract  Extension/Renewal

Fee for Services  Other

*If Other, please describe:* \_\_\_\_\_

**Sponsor Type**

Governmental:  Federal  State  Local  Other

*If Other, please describe:* \_\_\_\_\_

Private Sector:  Foundation  Corporation  Bank/Trust  Other

*If Other, please describe:* \_\_\_\_\_

**Name of Sponsor/Funder:** \_\_\_\_\_

**Program (if applicable):** \_\_\_\_\_

## II. Research Compliance

### Research Subjects

Human Subjects  Animal Subjects  Radioisotopes  Proprietary Information  N/A  Other

If Other, please describe: \_\_\_\_\_

### Project/Research Type

Research:  Basic Research  Applied Research  Experimental Development  Other

If Other, please describe: \_\_\_\_\_

### Environmental Impact

Does this project have an actual or potential impact – positive or negative – on the environment?  Yes  No

If yes, please explain: \_\_\_\_\_

### Institutional Review Board (IRB)

*Please note: All research involving human participants conducted by Stockton faculty, administrators, staff, and students, or on its campus, must be conducted in accordance with Federal Regulations and the Multiple Project Assurance filed with the Office for the Protection of Research Risks (OPRR). Surveys that may have sensitive information regarding sexuality, gender, or race should be approved through IRB to protect the participants/targeted audience regardless of assessment or research.*

Does this project require an Application for IRB Protocol Review?  Yes  No

If yes, has the application been submitted and approved?  Yes  No

If no, will the PI submit this for IRB approval prior to award determination?  Yes  No

### IACUC

Does this proposed research involve vertebrate animals?  Yes  No

If yes, please provide the following: IACUC # \_\_\_\_\_ Approval Date \_\_\_\_\_

If no, will the PI submit this for IRB approval prior to award determination?  Yes  No

---

## III. Budget, Cost-Sharing/In-Kind Contributions, and Space Requirements

### III-A. Budget

Will the majority of this project take place on-campus or off-campus?  On-Campus  Off-Campus

*Please note: If more than 50% of a project is performed off-campus, the off-campus rate will apply to the entire project..*

*On-campus rate: 70.00%; Off-campus rate: 35.30%.*

Total Direct Costs: \$ \_\_\_\_\_

Total Indirect Costs (Facility & Administrative Costs): \$ \_\_\_\_\_

Indirect Cost Rate: \_\_\_\_\_%

*Please consult the **ORSP website** for more information on indirect cost rates for grant and contract submissions. If you have any questions, please contact **grants@stockton.edu**.*

Does Sponsor/Funder limit indirect costs?  Yes  No

If yes, what is the allowable %? \_\_\_\_\_

If yes, have the Office of the Provost granted approval?  Yes  No

Total Requested (Direct and Indirect Costs): \$ \_\_\_\_\_

Is completed budget attached/enclosed?  Yes  No

Possible Conflicts of Interest or Finances

Please read **University Procedure 6350** and answer the following question.

Do you have a possible conflict of interest with this submission?:  Yes  No

If yes, please immediately email **grants@stockton.edu** for guidance.

### III-B. Cost-Sharing/In-Kind Contributions

Faculty or staff who request University resources – whether required or not – as in-kind support, course release, or matching funds related to a grant, contract, or sponsored project must complete this section of the form. Include any and all items that are not funded by the sponsor, such as salaries, fringe benefits, unrecovered F&A (Indirect) costs, space renovations and so on.

Are matching funds required by Sponsor/Funder:  Yes  No

Total University funds required: \$ \_\_\_\_\_

Have in-kind contributions been committed?  Yes  No

School/Unit providing in-kind: \_\_\_\_\_

Total in-kind contribution: \$ \_\_\_\_\_

Has other financial support been requested from the University?  Yes  No

If yes, please explain: \_\_\_\_\_

### III-C. Space Requirements

Can the project be conducted within the existing space available to the PI?  Yes  No

If no, please explain: \_\_\_\_\_

If no:

Type of space required:  Office  Classroom(s)  Outdoor Space  New Facility/Construction  Existing Facility

If existing facility, please identify facility: \_\_\_\_\_

Will modification(s) of existing facilities be required?  Yes  No

If yes, please explain: \_\_\_\_\_

**IV. Faculty Release Time**

Release time requested?  Yes  No

Number of Credits: \_\_\_\_\_

Semester of Release: \_\_\_\_\_

Amount requested from Sponsor/Funder for release time: \$ \_\_\_\_\_

Release time pre-approved by Dean?  Yes  No

**V. Approval Signatures**

\_\_\_\_\_  
**Principal Investigator**

\_\_\_\_\_  
**ORSP**

\_\_\_\_\_  
**Budget Unit Manager**

\_\_\_\_\_  
**Academic Affairs**

**VI. FOR ORSP PURPOSES ONLY**

**Approval Routing Completion Date:** \_\_\_\_\_

**Banner #:** \_\_\_\_\_

**Banner Entry Date:** \_\_\_\_\_

**Entered by:** \_\_\_\_\_

**Subrecipient Form Received:**  Yes  No



Appendix D: Subrecipient Commitment Form



Stockton University requires completion of the Subrecipient Commitment Form for all proposed subrecipients prior to proposal submission. The subrecipient's budget, budget justifications, statement of work, and Subrecipient Commitment Form must be sent to the Office of Research and Sponsored Program (ORSP) at least five (5) business days before submission. Please note that subrecipient agreements cannot be fully executed without a complete and up-to-date Subrecipient commitment Form. If you have any questions regarding completion of this form, please contact joseph.cronin@stockton.edu

**FOR INTERNAL USE**

G#: \_\_\_\_\_

L#: \_\_\_\_\_

Date Received: \_\_\_\_\_

Received by: \_\_\_\_\_

LEAD INSTITUTION/ENTITY			
Principal Investigator		Project Period of Performance	
Sponsor/Funder			
Project Title			
SUBRECIPIENT			
Legal Name and Address (as listed in SAM.gov)			Subrecipient Requested Amount
Zip (+4)	Congressional District	DUNS Number/UEI	EIN
Type of Organization	Subrecipient Project Period of Performance	Subrecipient Principal Investigator	
PROPOSAL SUBMISSION - The following documents are included in our proposal submission and covered by the certifications below:			
Required Documents		As Applicable Per Sponsor Requirements	
<input type="checkbox"/> Statement of Work (SOW)		<input type="checkbox"/> Key Personnel Biosketch(es)	
<input type="checkbox"/> Budget		<input type="checkbox"/> Other Documents Specify: _____	
<input type="checkbox"/> Budget Justification			
<input type="checkbox"/> Key Personnel Current and Pending Support			
COMPLIANCE - Our scope of work includes:			
<input type="checkbox"/> Human Subjects	Approval Date: _____	<input type="checkbox"/> Pending	<input type="checkbox"/> IRB Approval Attached
*If human subjects are involved, have all Key Personnel completed Human Subjects Training? <input type="checkbox"/> Yes <input type="checkbox"/> No			
<input type="checkbox"/> Animal Subjects	Approval Date: _____	<input type="checkbox"/> Pending	<input type="checkbox"/> IACUC Approval Attached
<input type="checkbox"/> Other	Approval Date: _____	<input type="checkbox"/> Pending	<input type="checkbox"/> Approval Attached
<i>Subrecipient's IRB and/or IACUC approval must be provided to Stockton University's Office of Research and Sponsored Programs, when available, before a subaward will be issued. Please forward these documents as soon as they become available.</i>			
<i>If your organization does not have approval, attach an explanation on how your organization will comply with all U.S. federal regulations and policies for the protection of human and animal subjects.</i>			
BUDGET			
Facilities and Administrative (F&A) Rates			
<input type="checkbox"/> We have applied rates consistent with or lower than our federally-negotiated rates. Our negotiated rate agreement is: _____			
<input type="checkbox"/> F&A rate Agreement Attached <input type="checkbox"/> Available at (enter website): _____			
<input type="checkbox"/> We do not have a federally-negotiated F&A rate, but have applied:			
<input type="checkbox"/> A 10% de minimus rate (the 10% rate will apply to subsequent subawards to your institution from Stockton until you elect to negotiate an F&A rate).			
<input type="checkbox"/> We have applied other rates as required by the prime sponsor policies/guidelines.			
Fringe Benefits Rate			
<input type="checkbox"/> We have applied rates consistent with or lower than our federally-negotiated rates. Our negotiated rate agreement is: _____			
<input type="checkbox"/> Fringe Rate Agreement Attached <input type="checkbox"/> Available at (enter website): _____			
<input type="checkbox"/> We do not have a federally-negotiated fringe benefit rate and have applied actual fringe benefits (specify the benefit categories in the Comments)			
<input type="checkbox"/> We have applied other rates (specify the basis on which rates have been calculated, including elements used in calculation, in the Comments)			
Cost-Sharing			
<input type="checkbox"/> Yes <input type="checkbox"/> No		Subrecipient Cost Amount Contributed: _____	
<i>Cost-sharing amounts and justification should be included in the subrecipient's budget and justification.</i>			

**Certifications**

*Conflict of Interest (COI) – Select One:*

- Not applicable because this project is not being funded by PHS (NIH, CDC, AHRQ, etc.) or any other sponsor that has adopted the financial disclosure requirements (NSF, etc.).
  - Subrecipient certifies that it has an active and enforced conflict of interest policy that is consistent with the provision of 42 CFR Part 50, Subpart F “Responsibility of Applicants for Promoting Objectivity in Research” and 45 CFR Part 94 “Responsible Prospective Contractors.” Subrecipient also certifies that, to the best of its knowledge, (1) all financial disclosures will be made related to the activities that may be funded by or through a resulting agreement, and required by its conflict of interest policy, and (2) all identified conflicts of interest have or will have been satisfactorily managed, reduced or eliminated in accordance with subrecipient’s COI policy prior to the expenditures of any funds under any resultant agreement and within a timely manner sufficient to enable timely FCOI reporting.
  - Subrecipient does not have an active and/or enforced COI policy but will have a PHS compliant policy in place and published at the time of award.
- By signing below, subrecipient certifies that the required training will be completed by each investigator prior to engaging in any research related to any PHS funding.

*Debarment and Suspension – Answer All:*

- Subrecipient, the PI, or any other employee or student participating in this project  are\*/ are not debarred, suspended, proposed for debarment, declared ineligible, or otherwise excluded from or ineligible for participation in federal assistance programs, federal contracts, or activities.
  - Subrecipient, the PI, or any other employee or student participating in this project  are\*/ are not presently indicted for, or otherwise criminally or civilly charged by a government entity.
  - Subrecipient  has\*/ has not within the last three (3) years preceding this offer, been convicted of or had a civil judgment rendered against them for commission of fraud or criminal offense in connection with obtaining, attempting to obtain, or performing a public (federal, state, or local) contract or subcontract; violation of Federal or State antitrust statutes relating to the submission of offers; or commission of embezzlement, theft, forgery, bribery, falsification or destruction of records, making false statements or receiving stolen property.
  - Subrecipient  has\*/ has not within the last three (3) years preceding this offer, had any contract terminated for default by any federal agency.
- \*If checked, explain below in Comments.

*Required Institutional Systems*

- Yes  No Does the subrecipient have a self-balancing set of accounts recording cash and other financial resources which are segregated for the purpose of carrying on specific activities or attaining certain objectives in accordance with special regulations, restrictions, or limitations?
- Yes  No Does the subrecipient have a procurement system which can record and segregate goods and services for the purpose of carrying on specific activities or attaining certain objectives in accordance with special regulations, restrictions, or limitations?

**COMMENTS**

**APPROVAL FOR SUBRECIPIENT**

The information, certifications, and representations above have been read, signed, and made by an authorized institutional official of the subrecipient. The appropriate programmatic and administrative personnel involved in this application are aware of agency policy regarding subawards and are prepared to establish the necessary inter-institutional agreements consistent with those policies. The subrecipient institution has the ultimate responsibility for informing Stockton University of any changes to the information captured above. **Any work begun and/or expenses incurred prior to execution of a subaward agreement are at the subrecipient's own risk.**

Name and Title of Subrecipient Authorized Official	Email	Phone
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Signature of Authorized Official