

Eleventh Edition

11

HANDBOOK FOR SPONSORED RESEARCH
GRANTS AND CONTRACTS

South Carolina State University

OFFICE OF SPONSORED PROGRAMS

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A Handbook for Sponsored Research Grants and Contracts Prepared by the Office of Sponsored Programs (OSP)

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Foreword

South Carolina State University, a multi-faceted institution with a rich tradition of teaching, research, and public service, has as its central mission the provision of undergraduate and graduate instruction that combines liberal arts with vocational education. In addition to its principal focus of instruction, the University engages in research activities that support the teaching and service mission.

In fulfilling of its purpose, major portions of University resources are committed to instruction of students. However, an important responsibility for all faculty members is their professional commitment to the advancement of knowledge and service through sponsored research and scholarship. Accordingly, faculty and staff are expected to be actively engaged in research, scholarly activities and grantsmanship to advance the purposes of the University.

The Board of Trustees and University Administration strongly support and encourage the enhancement of teaching, learning, and service through research and other creative activities. This Handbook outlines such general policies and procedures related thereto.

INTRODUCTION

The eleventh edition of the South Carolina State University "*Handbook for Sponsored Research Grants and Contracts*" has been prepared for the following purposes:

1. To assist faculty and other members of the University community in obtaining financial support for their research and other educational projects from external funding sources.
2. To assist individual faculty/staff, who are awarded research grants or contracts, in fulfilling their relevant responsibilities as project directors, principal investigators, and/or managers of external contracts.
3. To provide oversight and coordination for all research activities at the University. In this capacity, the Handbook offers guidelines to faculty and staff for pre-award/proposal development, submission to external funding agencies, grants award activities involving indirect cost negotiation and budget monitoring, and post-award reporting processes.

The policies, regulations, and procedures (of the University) contained in this handbook and other related publications are to be strictly observed in all matters relating to research grants, contracts, and other related educational projects that commit institutional resources, faculty, and staff.

OFFICE OF SPONSORED PROGRAMS

The Office of Sponsored Programs (OSP) is established and specifically charged with the responsibility of assisting all facets of the University with the process of research. It can provide support services to all faculty and staff in the preparation of proposals to outside agencies from the conceptual stage through the post-award reporting process.

The Office reports directly to the Vice President for Research and Economic Development and Public Services and works indirectly with the Office of the President and the Vice President for Financial Affairs and Management Information Systems on all matters relating to research at the University. All proposals involving sponsored research and research-related educational activities are reviewed and approved by this office prior to final approval by the President (or designee).

Information concerning applications for research support from federal and state agencies, corporate organizations, foundations, and institutes is available through the OSP. Also, the OSP coordinates all patent and copyright activities through approved technology transfer agents. The Office of Sponsored Programs has the ultimate responsibility of advising the President and the Senior Administrative Staff on institutional research policies and activities and making recommendations on current and future priorities in research.

OFFICE OF GRANTS AND CONTRACTS ACCOUNTING

The Office of Grants and Contracts Accounting is under the auspice of the Vice President for Financial Affairs and Management Information Systems. It provides fiscal support services to all departments and the Office of Sponsored Programs for all sponsored projects. Additional responsibilities of this office include the following:

1. Review of all grants and contracts to insure financial and accounting accountability.
2. Set-up of all approved grants and contracts in the University's financial records system.

3. Maintenance of fiscal records and documentation relating to all grants and contracts
4. Monitoring and insuring compliance of expenditures relating to each grant or contract as per approved university and sponsoring agency regulations and guideline.
5. Requesting of funds (invoicing) for each grant or contract from the sponsoring agency, when applicable.
6. Preparation of appropriate financial reports as per granting agency's reporting requirements.
7. Conducting start-up and closeout conferences when grants and/or contracts are initiated or completed.

Assistance is also provided to the Division of Financial Affairs and Management Information Systems in the formulation of general policies and procedures relating to the administration of the University's sponsored programs.

INSTITUTIONAL POLICIES AND PROCEDURES GOVERNING SPONSORED RESEARCH, GRANTS AND CONTRACTS

A. General Policies

South Carolina State University strongly encourages faculty and staff, individually and collectively, to seek outside support for research and educational programs. It also encourages the close integration of research and instruction, including the use of students and research facilities to enhance the instructional program. In addition to the obligations of teaching and University/community service, faculty members are expected to be actively involved in research and current developments in their fields of expertise. Periodic submission and successful acquisition of funded proposals and research projects may measure evidence for such involvement. Furthermore, as additional evidence, faculty members are expected to present their research results and findings in public forum at state, regional, and national meetings and symposia. Formal publication of research findings in refereed journals, periodicals, and books is strongly encouraged by the University in support of academic freedom and the free dissemination of research results emanating from use of public funds.

All research conducted by faculty, staff, and/or persons representing the University must be consistent with the goals, objectives, and mission of South Carolina State University and must contribute to the advancement and free dissemination of knowledge and the education of its students.

B. Specific Policies and Procedures Relevant to External Research

The Office of Sponsored Programs serves as the “clearinghouse” for all sponsored research. As such, it reviews and approves all applications for research grants and contracts and other educational projects which require a deliverable and/or contain a line-item budget, indirect cost provisions, matching funds, cost-sharing, or a commitment of resources affecting the overall mission of the University.

1. To be eligible to serve as a Principal Investigator (PI), the faculty or staff member must be a permanent classified employee of South Carolina State University, except those serving in a probationary or temporary appointment.¹
2. Proposals for externally funded research and related activities ***must*** be reviewed and approved by appropriate university officials² as indicated on the “Proposal Approval¹” form. In signing these forms, the Principal Investigator and the appropriate departmental Chair/Dean are indicating that:

¹ “Special (Temporary) Appointments” as defined in the South Carolina State University Faculty Handbook.

² For more details, see the “Review and Approval Procedures for Proposal Submitted for External Funding by/on behalf of South Carolina State University”, P-10-.

1. *The proposal is consistent with the educational and research objectives of the department/college, and*
2. *They are accepting responsibility for meeting the cost-sharing provisions of the grant/contract, including faculty, staff and student time, space, and other support costs, within the existing department/college budget.*

If the grant/contract involves the commitment of additional revenues or resources other than those regularly supported within the department/college budget, the Principal Investigator shall have written approval for this support from appropriate university officials before the proposal is submitted external to the institution.

3. The terms of any proposal, grant, or contract must agree with department, college, and University policies and shall always permit the institution to exercise appropriate administrative control and responsibility for the proposed work.
4. All proposals, grants, and contracts shall include an adequate budget for the work proposed, including an allowance for indirect costs in accordance with the State of South Carolina regulations. However, the provision of indirect costs (Facilities and Administration costs) shall not be used as the primary support for regular department/college activities. Such costs are meant to supplement the regular operating budgets of affected departments/colleges.
5. The State of South Carolina allows the University to retain (for its purpose) all indirect cost-recoveries from pure research and research-related grants and contracts, and all other projects that are \$200,000/year or less. It is the University's policy to redistribute eligible indirect cost funds³ to various segments of the institution based upon the approved "South Carolina State University Indirect Cost Research Incentive Plan."
6. Once a grant/contract is awarded, the Principal Investigator, the department/college and the University accepts the obligation to:
 - a. *Furnish an appropriate share of time, faculty/staff expertise, and resources to conducting the research.*
 - b. *Prepare reports and publications, describing the work performed and results achieved, as required by the funding agency.*
 - c. *Comply with any terms and conditions of the grant or contract, such as those covering patents, copyrights, and fiscal requirements as consistent with the best interests of the University.*
7. The University, as part of the conditions for acceptance of sponsored programs, also assumes responsibility for the proper closing of funded projects and submission of final reports to the funding agency. Prompt compliance with the requirements of the grant or contract is the co-responsibility of the Principal Investigator, the Office of Sponsored Programs, Office Grants and Contracts, and the Division of Financial Affairs and Management Information Systems.² Care must be exercised to insure that obligations are not made against a grant or contract beyond the closing date. The Offices of Sponsored Programs, Grants and Contracts and the Division of Financial Affairs and Management

³ Eligible indirect costs are those moneys paid by the funding agency to the University (as a fixed % of some or all direct costs) for providing institutional resources in support of grants and contracts.

Information Systems should be notified in a timely manner of any outstanding obligations prior to the closing date so that the proper allowances for encumbrances against the account can be made. **It may be impossible to obtain additional funds to pay for items after the final report and the sponsor receives adjustments. The Principal Investigator, along with the department/college may be held responsible for covering these expenses.**

8. Full-time permanent classified or “special temporary appointments” faculty and staff who work under annual contracts (9, 10, 11, 12 months) and who provide services for projects supported by external funding, as a general rule, are given the appropriate amount of release time from teaching/administrative duties to comply with the terms of a grant/contract. In those special cases where the service is unusual or involves separate or remote operations, and the work performed is in addition to regular duties; charges for such services represent extra compensation (dual employment) in addition to regular salary and must comply with State and University policies for such services. Written approval in proposal or the receipt of a separate approval from the funding agency and the VP of Research/VP of Academic Affairs must be obtained to entering into such arrangements. No individual may have dual employment in the same project in which he/she has release time, unless prior approval has been obtained from the funding agency.
9. It is the policy of South Carolina State University to avoid the use of current faculty and staff as paid consultants on University research projects, grants, or contracts, except in cases of unusual expertise and/or special circumstances related to the project. University approval is required for such participation. In cases where consultants from outside the University are used, the Principal Investigator or Program Director must justify their use as most appropriate for the project and that the fee(s) is/are in accordance with the consultant's normal charge(s) and the University policy. See the SCSU's Procurement Policy for more details.
10. All research grants and contracts entered into on behalf of the University; where the provision of services (faculty, staff, facilities, etc.) is required, must be consistent with the purposes of the institution and give primary consideration to the proper maintenance of its academic programs. Departmental Chairs and Deans, prior to approving release time for faculty and staff, must insure that adequate coverage of instructional programs has been provided and/or proposed.
11. Research, which involves human subjects, laboratory animals, biological agents, radioactive and/or hazardous materials or controlled substances, must be in compliance with all applicable local, state, and federal rules and regulations. Prior to the use of such materials or protocols, institutional review and approval must be obtained in writing.
12. All proposals for externally sponsored support, which do not adhere to the policies and regulations of South Carolina State University, will not be approved for submission to funding agencies.
13. Except in those instances where the South Carolina State University Educational Foundation is the responsible business and fiscal agent, sponsored research during a faculty member's base period will be considered as compensated for in his base pay. Extra compensation will not be allowed except under the most unusual circumstance and only with specific approval of the Budget and Control Board.

14. Compensation for sponsored research activities during the summer months (or other periods not included in the base salary period) and not related to a regular summer session, for an employee whose base period is a semester or academic year, shall be at the same rate as for the base period of the immediately preceding academic year; subject to the availability of funds in the sponsored project.

PROPOSAL REVIEW, APPROVAL AND SUBMISSION POLICIES

PURPOSE

The purpose of these procedures is to facilitate the internal proposal review and approval process at South Carolina State University. In recognition of the need to perform proposal review and approval in a timely manner, consistent with internal institutional policies and procedures and its mission, the Office of Sponsored Programs implements the following policy. These institutional policies and procedures have been reviewed and approved by the President and the administrative officers of the University.

The submission of proposals and other requests for external funding to all prospective funding agencies **-must** be made through the Office of Sponsored Programs (OSP). The South Carolina State University Educational Foundation shall not be used as a mechanism to circumvent established University or State policies and procedures relating to the receipt, expenditure, and reporting of external funds.

ROLE AND RESPONSIBILITY OF FACULTY AND ADMINISTRATIVE OFFICERS IN THE REVIEW AND APPROVAL PROCESS

A. Faculty/Staff

It is the responsibility of the individual faculty/staff member to initiate the proposal development process; from conceptualization to submission of a final draft for review. This process occurs in conjunction with and approval by the departmental chairperson /director. The faculty member shall be responsible for submission of five (5) copies of the proposal, in final form, along with the proposal guidelines plus appropriate University and State processing and approval forms. The submission shall be made directly to the Office of Sponsored Programs and contain the approval signatures of the Department Chairperson/Immediate Supervisor and Dean/Director. **No assurance of institutional approval is made for proposals submitted less than six (6) working days prior to the agency deadline.**

Faculty who prepare new and continuation proposals and grant applications shall make every effort (where Agency guidelines allow) to include support for undergraduate/graduate students, library materials and services to be used in the proposed project, and annual maintenance contracts

for the repair and upkeep of project equipment; especially high cost, high-tech scientific apparatus and computers and peripherals.

B. Departmental Chairpersons

It shall be the responsibility of every departmental chairperson/immediate supervisor to facilitate the overall proposal development and submission activities by faculty/staff members through the following actions:

1. Establish a Standing Committee of the department to conduct proposal/grant reviews prior to departmental approval. The Committee operating under specific departmental guidelines shall be responsible for a review of the technical and programmatic merit for each proposal, including the use of students in/on research and educational training projects.
2. Provide final oversight and approval for all proposals submitted by or on behalf of the Department for external funding. The departmental chairperson/supervisor may delegate such duties to the Standing Committee, but final responsibility for approval always rests with the chairperson/supervisor.
3. Provide for an appropriate balance between research-related activities of faculty and the integrity of academic programs of the department. Special consideration and attention shall be given to proper coverage of academic courses, appropriate release time for affected faculty, documentation of cost-sharing and/or matching funds obligations of the department, and the judicious use of the departmental resources in support of the proposed effort.
4. Give particular attention to the availability and need for additional space by the proposed research and/or project activities. This shall include space renovations, electrical power, and HVAC requirements needed for the proposed effort.

C. Office of the Dean/Director

The Office of the Dean/Director shall have the responsibility for the administrative review and approval of all proposals requests emanating from the departmental level. Such considerations shall include the following:

1. A review to determine whether the proposal conforms to College/Institutional Guidelines.
2. A review to determine the appropriateness of release time, dual employment proposed courses and/or degree program requests, new faculty and/or professional staff, and other academic program/unit considerations.
3. Determination of Matching and Cost-Share funding requirements and/or commitments. Is the commitment of such funds within the resources of the department/college or unit?
4. A review to determine if dual employment/compensation requests are consistent with Institutional and State policies and procedures.

The Office of the Dean/Director, upon completion of its review, will forward the proposal to the Office of Sponsored Programs not later than one (1) day after receipt from the departmental/unit level.

D. Office of Sponsored Programs

The Office of Sponsored Programs (OSP) **must** have the primary responsibility for institutional review and approval of all proposal requests for external funding from sponsored programs submitted by and/or on behalf of South Carolina State University. Such review and approval is applicable to any proposal in which the University is the sole, primary, or secondary participant.

The OSP review and approval process may also include any or all of the following assessments:

1. **Programmatic Review**-a review that relates specifically to a proposal being consistent with the institution's mission, its goals, and/or applicable policies and procedures.
2. **Budget Review**-a review that relates to all costs contained in proposals for which external and/or institutional funds are requested or allocated.
3. **Commitment of Institutional Resources**-a review that relates to the commitment of institutional resources (funds, facilities, equipment, manpower, etc.) in support of the proposed funding request. Institutional commitments, in the form of cost-sharing and/or matching funds, **must** be submitted simultaneous with the proposal and shall require prior approval by the appropriate university official(s) before submission of the proposal for external funding.
4. **Compliance with the State of South Carolina Requirements**-a review that addresses a proposal's compliance with applicable rules and regulations imposed on all State Agencies who request non-appropriated funds (unanticipated revenue). The Governor's Office of Grant Services imposes such requirements.

OSP, upon the completion of its review, will forward each proposal to the following administrative officers for further review and final approval, if required by the sponsoring agency; Division of Academic Affairs, Division of Financial Affairs and Management Information Systems (or Designee), and the President or Designee.

In proposals that contain legal sub-contractual issues or obligations for the University, the University's Attorney shall provide a separate review simultaneous with OSP review. The University's Attorney will forward any legal issues associated with University participation in subcontracts back to OSP not later than two (2) working days after receipt from OSP.

The University's Attorney shall report any potential for violation of the University's "Hold Harmless" status to administrative officers.

E. Office of Vice President for Finance, Facilities and Management Information Systems (MIS).

The Office of Vice President for Finance, Facilities and Management Information Systems shall have the responsibility for administrative review of all budgetary considerations contained in proposal requests, submitted for external funding. Such considerations shall include:

1. Appropriateness of salaries, fringe benefits, and other associated costs for personnel, consistent with established institutional and state policies.
2. Application of Indirect Cost, consistent with the Negotiated Rate Agreement for SCSU or specific funding agency restrictions.
3. Appropriateness of Dual Employment requests, consistent with institutional and State policies.
4. A review of the matching and/or cost-sharing obligations for the University.

The Office of the Vice President for Financial Affairs, Facilities and Management Information Systems, upon completion of its review, will forward the proposal to the Office of the President or his designee for final review no later than one (1) working day after receipt of the proposal from the Office of Sponsored Programs.

F. Office of the President or Designee

The President or designee shall have the final authority for approval of all proposal requests for external funding. Proposals forwarded for Presidential review and approval shall have received prior approval by the Offices of Vice President for Financial Affairs, Facilities and Management Information Systems, and the Office of Sponsored Programs, respectively.

Proposals containing sub-contractual obligations, on the part of the University, shall have received prior review by the University's Attorney.

Presidential review and approval may be based upon a determination of any or all of the following:

1. Potential overall benefit to the University and/or its Programs.
2. Potential impact on the State or regional areas served by the University.
3. Overall capability or capacity of the proposed activity to enhance the mission and/or strategic plan of the University.

The President may delegate final review and approval. Such action by the designated office shall constitute final institutional review and approval.

The Office of the President or designee will forward each proposal back to OSP no later than two (2) working days after receipt from the Vice President for Financial Affairs and Management Information Systems. Proposals receiving final approval shall be deemed eligible for release and forwarding to the funding agency, consistent with agency submission deadlines.

G. Special or Expedited Review and Approval Procedures.

Unless extreme or extenuating circumstances are present, all proposals requesting external funding shall follow the normal review and approval process cited in Sections A-F above. Proposals qualifying for special, expedited, or emergency review and approval shall comply with the following conditions at submission.

1. A clear and pressing need for the University to respond to unanticipated Solicitations or request for Proposals (RFP), having unusual submission deadlines beyond the control of the Institution, yet offering significant potential benefit to the University.
2. A unique comprehensive institutional effort, cutting across major internal divisions, that requires composition of a special task force or proposal development team and requiring broad institutional coordination.
3. Clear and convincing evidence that submission of a proposal will significantly impact the status of the institution and/or its programs.

Proposals qualifying for special/expedited review and approval shall be submitted to OSP, with accompanying documentation as needed to justify the request. The Assistant Vice President of Sponsored Programs shall establish a special, expedited, or emergency review and approval process, subject to the terms cited above.

SUMMARY

The procedures proposed above (Sections A-G) are especially designed to clarify the unique roles and responsibilities of all parties that contribute to the successful preparation and submission of proposals emanating from the University. *These procedures relate specifically to the pre-award process and supersede any existing procedures currently used for proposal review and approval.*

SPECIAL INSTRUCTIONS FOR EXCEPTIONS OR “NO”RESPONSES ON THE SCSU PROPOSAL/AWARD PROCESSING AND APPROVAL FORM (SEE APPENDIX A)

1. **Principal Investigator/Department Head Section**
If items 1, 4 or 5 are checked “NO”, the proposal shall be returned to the P.I. for further clarification and/or supporting documentation, Proposals will not be approved until these issues are properly addressed
2. **Dean of the College Section**
If items 1, 3, or 4 are checked “NO”, the proposal must be returned to the P.I. and the Department Head for immediate action. Proposals will not be approved until these issues are properly addressed
3. **Office of Sponsored Programs Section**
If items 1, 3, 6, or 7 are checked “NO”, the proposal shall be returned to the P.I. for immediate action. Proposals will not be approved until these issues are properly addressed. If Indirect Costs are not allowed or is restricted to a lower rate, then written documentation is required to accompany the proposal.

4. **Vice President for Financial and Management Information Systems Section.**

If items 1 or 2 are checked “NO”, the proposal will be returned to OSP for further clarification and/or supporting documentation. If items 3 or 4 are checked “YES”, the proposal and/or supporting documents must contain provisions that address these issues. The proposal will not be approved until all issues cited above are properly addressed.

5. **President or Designee Section**

If items 1, 2, or 3 are checked “NO”, a proposal will probably not be approved for submission to external funding agencies in its’ present form. The proposal will be returned to the Office of Sponsored Programs for transmittal back to the P.I. Proposals may be re-submitted after revisions addressing the issues cited above.

CONFLICT OF INTEREST POLICY

SOUTH CAROLINA STATE UNIVERSITY CONFLICT OF INTEREST POLICY FOR SPONSORED PROJECTS

Contents

- Definitions
- Policy
- Guidelines
- South Carolina State University Disclosure Form for Sponsored Projects

1.0 Definitions

Conflict of Interest - A potential conflict of interest occurs when there is a divergence between an individual's private interests and his/her professional obligations to the University such that an independent observer might reasonably question whether the individual's professional actions or decisions are determined by consideration of personal gain, financial or otherwise.

Faculty- All administrators holding academic appointments and all professors, associate professors, assistant professors, full-time academic instructors, and full-time lecturers who are not degree candidates.

Investigator - The term "Investigator" includes Principal Investigator, Program or Project Director, Co-Investigator and any person responsible for design, conduct or reporting of research, educational, or service activities funded or proposed for funding, by an external agency.

National Science Foundation (NSF) - The NSF is an independent research agency created by the National Research Foundation Act of 1950. Its aim is to promote and advance scientific progress in the United States.

Outside Professional Activities- The work for a non-university entity or for oneself, whether or not compensated, involving the use of the employee's expertise, the practice of the employee's profession or any other activity that contributes to the employee's professional competence and development and thereby, increases, or has the potential to increase the employee's value to the University.

Public Health Service (PHS) - An operating division of the U.S. Department of Health and Human Services, and any components of the PHS for which the authority involved may be delegated.

Research- A systematic investigation designed to develop or contribute to knowledge relating broadly to public health, including behavioral and social-science research. The term encompasses basic and applied research and product development.

Significant Financial Interest- is defined as anything of monetary value, including but not limited to, salary or other payments for services (e.g., consulting fees or honoraria); equity interests (e.g., stocks, stock options or other ownership interests); and intellectual property rights (e.g., patents, copyrights and royalties from such rights). The term does not include:

- Salary, royalties, or other remuneration from South Carolina State University.
- Income from seminars, lectures, or teaching engagements sponsored by public or nonprofit entities.

Sponsoring Agency - The organization or entity responsible for funding a grant or contract.

The University- South Carolina State University.

2.0 Policy

South Carolina State University expects its faculty/staff, researchers and students to immediately report conflicts upon discovery, and to subsequently resolve with the University any possible conflict of interest stemming from activities in which they are involved.

3.0 Guidelines

3.1 General- South Carolina State University is committed to its mission of teaching, research and service. Therefore, it is imperative that activities performed in these areas by the University's faculty and staff members are done in an environment that is free of conflicts of interest. It is the policy of South Carolina State University that conflicts of interest be avoided if possible, or otherwise satisfactorily managed, reduced or eliminated prior to the expenditure of extramural funds or any subsequent award.

South Carolina State University continues to expand its research opportunities and capabilities, and therefore, encourages faculty interactions with private sectors and governmental entities. Contractual agreements and grants from these entities provide an important source of funds. These contracts and grants allow the University to enhance its infrastructure, provide quality educational experiences for its faculty/staff and students, and provide employment opportunities for students.

Faculty and staff, individually and collectively, applying for or participating in governmental grants and contracts must adhere to and comply with all applicable governmental conflict of interest regulations in addition to those outlined in this document.

3.2 Conflicts of Interest - Areas in which the University's mission or the professional and ethical conduct of its faculty might be compromised are outlined below:

- A potential conflict of interest occurs when investigators have the opportunity to influence the University's activities in ways that inappropriately enhance personal gain, financially or otherwise.
- A potential conflict of interest occurs when an individual's external professional activities interfere with the individual's obligations to students, colleagues, and the University.

3.3 Responsibilities of the Investigator - The Investigator must disclose all conflicts of interest (financial or otherwise):

- That appear to be directly and significantly affected by the research, educational, or service activities funded, or proposed for funding, by an external agency; or
- In entities whose interests would reasonably appear to be directly and significantly affected by such activity.

Such disclosure shall be in writing and submitted to the appropriate University official, to whom the individual reports, with copies to the Office of Sponsored Programs, the Office of Research and Economic Development, Dean of the College, and the Vice President for Academic Affairs. In case of conflicts of interest relating to students, disclosure shall be reported to the Departmental Chair and Dean/Director of the appropriate investigator. Failure to report actual conflicts of interest will result in appropriate disciplinary action by the University; to include possible verbal and/or written reprimand, suspension or termination if appropriate.

Each investigator must complete the "University Conflict of Interest Disclosure Form" and provide all required documentation. The completed form must be submitted with all proposals to the Office of Sponsored Programs using normal University procedures. Also, it is the responsibility of the investigator to update disclosures of conflict of interest annually or as conflicts change during the period of the sponsored project.

3.4 The University's Responsibilities Regarding Conflict of Interest of Investigators- South Carolina State University must:

- Maintain an appropriate written policy on Conflict of Interest.
- Disseminate policies to its employees.
- Inform investigators of reporting responsibilities.
- Take the appropriate steps, to ensure that outside investigators (employed by other entities) working on the activity as sub-grantees, contractors, or collaborators comply with the University's policy on Conflict of Interest.
- Appoint an authorizing official(s) to solicit and review financial disclosure statements from each investigator who is planning to participate in NSF and PHS projects or any other sponsored projects.
- Update all financial disclosures, during the period of the award, on an annual basis.

- Provide guidelines to identify conflicts of interest and take the appropriate steps to ensure that conflicts of interest are managed, reduced, or eliminated.
- Maintain records of all financial disclosures and action(s) taken by the University.
- Establish adequate enforcement procedures and provide sanctions where necessary.
- Certify that:
 - a) It has in place, a written and enforceable administrative process to eliminate conflicts of interest pertaining to all research and educational projects for which funds are sought from external funding agencies.
 - b) It will report to the funding agency the existence of any conflict of interest.
- Make available information (upon request) to the funding agency regarding all conflicting interests identified by the University and the procedures used to manage, reduce, or eliminate and protect the research from prejudice.

3.5 Management of Conflicts of Interest - The President or his/her designee shall appoint a Conflict of Interest Officer (CIO) and a six-person Conflicts of Interest Committee in Sponsored Programs (CICSP). This committee shall have scheduled meetings to review cases of “Significant Financial Interest” or other conflicts of interest referred to it, and make recommendations as to strategies necessary to manage, reduce, or eliminate such interests.

The members of the Committee shall represent a diversity of disciplines and personnel at the University. Members should be appointed for two years and may be appointed for no more than three consecutive terms.

In the case of a conflict of interest, the following conditions or restrictions may be imposed by the University to manage, reduce, or eliminate the Conflicts of Interest:

- Public disclosure of significant financial interest or other conflicts of interest.
- Monitoring research by independent reviewers.
- Modification of the investigator(s) research plan.
- Disqualification of the investigator (s) from participating in all or portions of the sponsored project.
- Divestiture of significant financial interests or other conflicts of interest of the investigator(s); or
- Severance of the relationship that creates actual or potential conflicts.

The Dean's/Director's Office, in consultation with the Office of Sponsored Programs, Office of the Vice President for Academic Affairs, and Office of the Vice President for Research and Economic Development shall be responsible for enforcing the above conditions/restrictions and imposing sanctions as appropriate for non-compliance. The University shall be responsible for notifying the sponsoring agency of Conflicts of Interest, which it is unable to resolve satisfactorily.

CONFLICT OF INTEREST

**South Carolina State University Disclosure Form
For Sponsored Projects**

INVESTIGATOR'S NAME:

DATE:

EMPLOYEE SOCIAL SECURITY
NUMBER:

DEPARTMENT:

COLLEGE:

SPONSORING AGENCY:

TITLE OF PROJECT:

PROJECT PERIOD:

PROPOSED/AWARD AMOUNT:

PROPOSAL /AWARD NUMBER:

The purpose of this disclosure statement is to allow for investigators at South Carolina State University, to declare that no indeterminate conflict exists between their outside financial interests and/or non-financial interests and their commitment to the research, educational, and service activities funded by a sponsoring agency. The information contained herein is consistent with the current Federal guidelines requiring limited and targeted financial disclosure and review of the disclosure by the appropriate University official(s). This disclosure form is to be used to publish

specific facts relating to the investigator's sponsored project and to help the appropriate reviewer determine if a conflict of interest exists so that the University can manage, reduce or eliminate the conflict. Therefore, the investigator must carefully read the following statement.

For the project named above, I am the individual who is responsible for the design, conduct, or reporting of the sponsored project funded by the sponsoring agency named above, or proposed for such funding. I understand that I must disclose all potential conflicts of interest to include Significant Financial Interests, which is defined as anything of monetary value, including but NOT limited to, salary or other payments for services (e.g. consulting fee or honoraria); equity interests (e.g., stocks, stock options or other ownership interests); and intellectual property rights (e.g., patents, copyrights and royalties from such rights). Further, it is my understanding that this disclosure is not only for me, but also for my spouse and children. The term "financial interest" used in this section does NOT include:

- *Salary, royalties or other remuneration from South Carolina State University;*
- *Income from seminars, lectures, or teaching engagements sponsored by public or Nonprofit entities;*
- *Income from services on advisory committees or review panels for public and Nonprofit entities; or*
- *Financial interest in a business or any single entity where the value of such interest does NOT exceed \$10,000 or does NOT represent more than five percent ownership interest when aggregated for my spouse or children and me.*

Further, I certify that I have read, and understand the University's Conflict of Interest Policy.

Based on the above statement, does the proposal named above which is being submitted to the sponsoring agency listed above contain an actual conflict of interest or a potential conflict of interest?

YES

NO

If yes, give a detail explanation of the nature of the conflict (use separate sheets).

Investigator's Signature

Date

PROPOSAL DEVELOPMENT PROCEDURES

A. The Development of Concept

All proposals begin as an idea or concept in the mind of a potential researcher. This idea/concept should be reduced to a preliminary form (i.e. notes, rough draft, etc.) as soon as possible to capture the idea/concept on paper and to serve as a guide for further discussion and refinement with peers. Discuss your idea/concept with a number of your colleagues to gain as broad a spectrum of input as possible.

B. Discussion and Review with Departmental Chairperson

It is absolutely essential that discussions between the faculty/staff member and the departmental chairperson take place as quickly as possible after initial development of the idea/concept. These discussions must determine if or how the idea/concept fits into the departmental and college research goals and long-range educational objectives.

The approval of the departmental chairperson is required before the proposal can be developed further. The Chairperson by approving development of a full proposal is giving his/her consent to any commitment of faculty, staff, facilities, and resources to be stated in the document. Further, the chairperson is attesting that all consideration for meeting the present and future needs of the educational program has been addressed.

C. Preparation of Formal Proposals

After obtaining an application kit or the appropriate forms from the funding agency, carefully review the guidelines for submission of proposals. Talk to the sponsor, if necessary, during development of the proposal to insure compliance with the agency guidelines and research interests. There are some basic characteristics that every well-written proposal will have and most funding sources will require; although specific details and agency variations may occur. The following elements are generally found in every proposal:

1. TITLE PAGE

Since the requirements of various sponsoring agencies for proposal content and format differ so widely and change so frequently, it is not wise to prepare proposals on other agency or previous year guidelines. When the sponsoring agency does not provide a specific form for the cover or title page of the proposal, a page should be prepared which includes the following items:

- a. Name of agency to which the proposal is being submitted.
- b. Title of proposal.
- c. Name of applicant (i.e. the University, Institution ID #, IRS #, etc.).

- d. Name of college/department.
- e. Name and title of principal investigator(s)/project director(s)
- f. Amount of funds requested and time period of proposed project (Indicate first year request, if multi-year).
- g. Space for signatures of:
 - Principal Investigator
 - Director, Office of Sponsored Programs
 - Chief Financial Officer and/or President - Designee

2. **TABLE OF CONTENTS**

This section is necessary only when a proposal has some length or complexity that may confuse the reader/reviewer. It will assist the reviewer in sorting through the proposal and ensuring that all required components are addressed.

3. **ABSTRACT**

The abstract is a short (usually not more than 300 words) concise statement of the essential information of a proposal. It generally provides the reviewer with the basics; significance, specific objectives, methods/procedures, expected or anticipated impact and benefits.

4. **PROJECT DESCRIPTION (NARRATIVE)**

This is the heart of a proposal. It is the section where you convince the reviewer of the appropriateness of funding the project. The strength of any proposal lies in this section and it should be prepared with very serious intent. This section may be sub-divided into the following components:

- a) **Introduction** - a brief statement of the problem, proposed solution(s), and expected outcomes. It should indicate the proposal's thorough knowledge of past and present work in the field(literature review) and how this project will expand or advance the present state of knowledge.
- b) **Statement of Problem** - describes the rationale for the project, need, and justification. It shows how this proposed work will assist the funding source in achieving its goals or objectives while justifying the expenditure of funds.
- c) **Goals and Objectives** –contains those statements that specify the project's outcomes or accomplishments. This section should also include a description of outcomes via some measurable means and/or criteria.
- d) **Methodology/Procedure** - very detailed description of all appropriate actions used in the proposed work. Use whatever figures, timetables, charts, techniques, etc. necessary to clarify the particular methodology or action plan chosen.
- e) Management Plan:

- f) **Evaluation-** defines overall process and/or methodology used for evaluation of any progress toward achieving objectives and goals. The evaluation plan should perform the following tasks: monitoring, assessment, and feedback.
- g) **Sustainability**
- h) **Use/Dissemination of Results-** requires that the principal investigator/project director give some consideration to how any anticipated outcomes or results will be disseminated to others on a local, regional, and/or national level.

5. **BUDGET**

This section reflects the total amount of funds needed to conduct the project to a successful conclusion within the limitations set by the funding agency. Realistically, the budget should document a best estimate of actual costs for achieving the goals and objectives stated in the proposal. The budget is comprised of two major categories; Direct Costs and Indirect Costs.

A. Direct Costs - Those costs directly incurred in the conduct of actual grant or contract activities. These cost must be reasonable, allocable, and allowable consistent federal, state, local, and university guidelines:

1. **Personnel:** Show salaries and wages of personnel who will be full or part-time on the project. All key personnel should be listed in the proposal budget by name, position/title, percent time on project, rate of pay, and total amount paid to such individuals. Supporting personnel (clerical, student, etc.) need not be listed by name, however all other salary/wage information must be supplied, as above.
2. **Fringe Benefits:**⁴ Fringe benefits must be charged for all salaries and wages of full time, part-time, temporary and graduate student employees of the University; the exception being regularly enrolled undergraduate students. However, there can be different rates for various salaried personnel and all rates change frequently. Contact the Office of Sponsored Programs for a Fringe Benefit Rate Schedule.
3. **Supplies and Materials:** Costs for consumable materials and supplies. These include office supplies, chemicals, glassware, and educational materials, photocopy supplies, etc. Any unusual consumption (i.e. large) of supplies should be explained in the justification section of the budget.
4. **Equipment:** Defined as items of property having a unit acquisition cost of \$5000.00 or more (\$5000.00 for most federal agencies) and a useful lifetime of five (5) years. Most funding agencies (federal and private) are very reluctant about funding

⁴ See Appendix B-3

general purpose equipment; i.e. personal computers used solely for the use of word processing, office furniture, and etc., unless one can show that these items are absolutely necessary for successful completion of the project.

Current prices, taxes, shipping costs, installation costs, etc., must be included in the projected cost of large expensive equipment; even then, allow for inflationary factors when purchase is projected for a future date.

5. **Travel**: State the purpose of any travel, its relationship to the project, number of trips and destination, personnel involved, mode of travel, and total costs. Most funding sources require prior approval and very strong justification for any foreign travel.
 6. **Consultant Costs**: The service of consultants must be justified as essential to the successful completion of a project with supporting information on the consultant's expertise, organizational affiliation, rate of compensation, and days of percent of time in service to the project must be furnished. Current university employed faculty and staff cannot be used as consultants unless there are extenuating circumstances.
 7. **Contractual Services**: This includes all contractual arrangements between the University and outside agencies in which services, materials and/or personnel are provided by the agency for a fee (Subcontracts/Sub-grant Agreement), in which SCSU acts prime contractor/grantor to other organization or state agencies must contain any applicable salaries, fringe benefit, indirect costs and other charges as appropriate.
 8. **Other Direct Costs**: Itemize by category and unit cost all other expenses that do not fit any of the categories above. Such costs include publication, page charges, computer charges, rentals and leases, repair and maintenance contracts on equipment, postage, telephone, facsimiles (FAX) charges, etc.
- B. **Indirect Costs**⁵ - Those costs incurred in the general and usual support and management of a project; sometimes called overhead or facilities and administrative (F & A) costs. Expenses involved in maintaining buildings, electrical power, libraries, campus security, and all other general administrative activities, which cannot be directly measured or determined, are considered indirect costs.

South Carolina State University and the federal government and the cognizant agency agree upon a rate, which the University may charge for its indirect costs. The rate is based upon the total modified direct cost:

⁵ See Appendix B-2

Indirect Costs = 30% on campus rate; 12% off campus rate of Total Modified Direct Costs excluding capital expenditures (building, individual items of equipment, alterations and renovations), and that portion of each sub award in excess of \$25,000. Contact the Office of Sponsored Programs for the current rate.

The State of South Carolina mandates that all state agencies recover the maximum allowable indirect costs and return it to the General Fund, with the exception of grants and contracts that are 200,000/year or less, and research and student aid grants and contracts (S.C. Act 651, Section 9). **The use of a rate lower than the current negotiated rate is not permitted.** The exception is when an agency or program specifically stipulates a lower rate. Further, if the funding source does not allow indirect costs, a copy, of the guidelines and/or authority, which disallows indirect costs, must be attached to the proposal. Many agencies include this as part of the terms and conditions of the grant application.

Section 9 of S.C. Act 651 of 1978 (as amended) exempts certain revenues and indirect costs from the requirements of Act 651. Research grants and contracts, donated materials (supplies-in-kind-services-equipment; if the donations do not create a future obligation of state general fund monies), capital improvement funds, and local government appropriated funds are included in this exemption.

Research is defined in Act 651 as follows: "An award of funds from the United States Government or other entity for the principal purpose of systematic study and investigation undertaken to discover or establish facts or principles." The principal purpose of a "research grant" is not to provide services to the public or to any organization or to the employees or clients thereof.

Indirect costs on all other grants and contracts, greater than \$200,000/year, (other than the exceptions stated above) must be returned to the State General Fund.

- C. **Cost Sharing/Match:** Those costs that are assumed by the University as its contribution to the project. Cost Sharing is usually accomplished by allowing "released time" for faculty/staff involved in a project during normal working hours, without charging the project for these services.

Alternate cost-sharing plans are possible, depending upon the requirements of the sponsoring agency. The department or institution must provide matching funds as agreed to in the proposal, if the cost share is clearly defined in the proposal and/or if such is a specific requirement of the funding agency. **However, in no case may indirect costs be part of any cost-sharing agreement without prior institutional approval.**

In-kind contributions may also be used as a form of matching when allowed by the funding agency.

Examples include use of a building or office space, waiver of fringe benefits and/or some portion of indirect costs (prior approval), on contributions of supplies and services, that would normally be paid from the grant, and by a third party. Documentation in the form of statements or receipts is appropriate for audit purposes.

D. **Budget Justification:** This section of the budget is used to explain and/or justify all costs associated with the proposed project.

6. **REFERENCES** (Bibliography)

This section of the proposal contains an ordered listing of literature sources used in compilation of the narrative portion of a proposal. Please consult standard publication manuals for the format used when presenting references in written documents.

7. **APPENDICES**

This section of a proposal can be optional, if not required by funder. It should only be used when useful information (not quite appropriate in the narrative) is given that will strengthen the proposal. Included are some items that, in the interest of conciseness, are omitted from the body of the proposal. Examples include resumes, letters of support, lists of supportive data, publications, etc.

D. **State of South Carolina Requirements:**

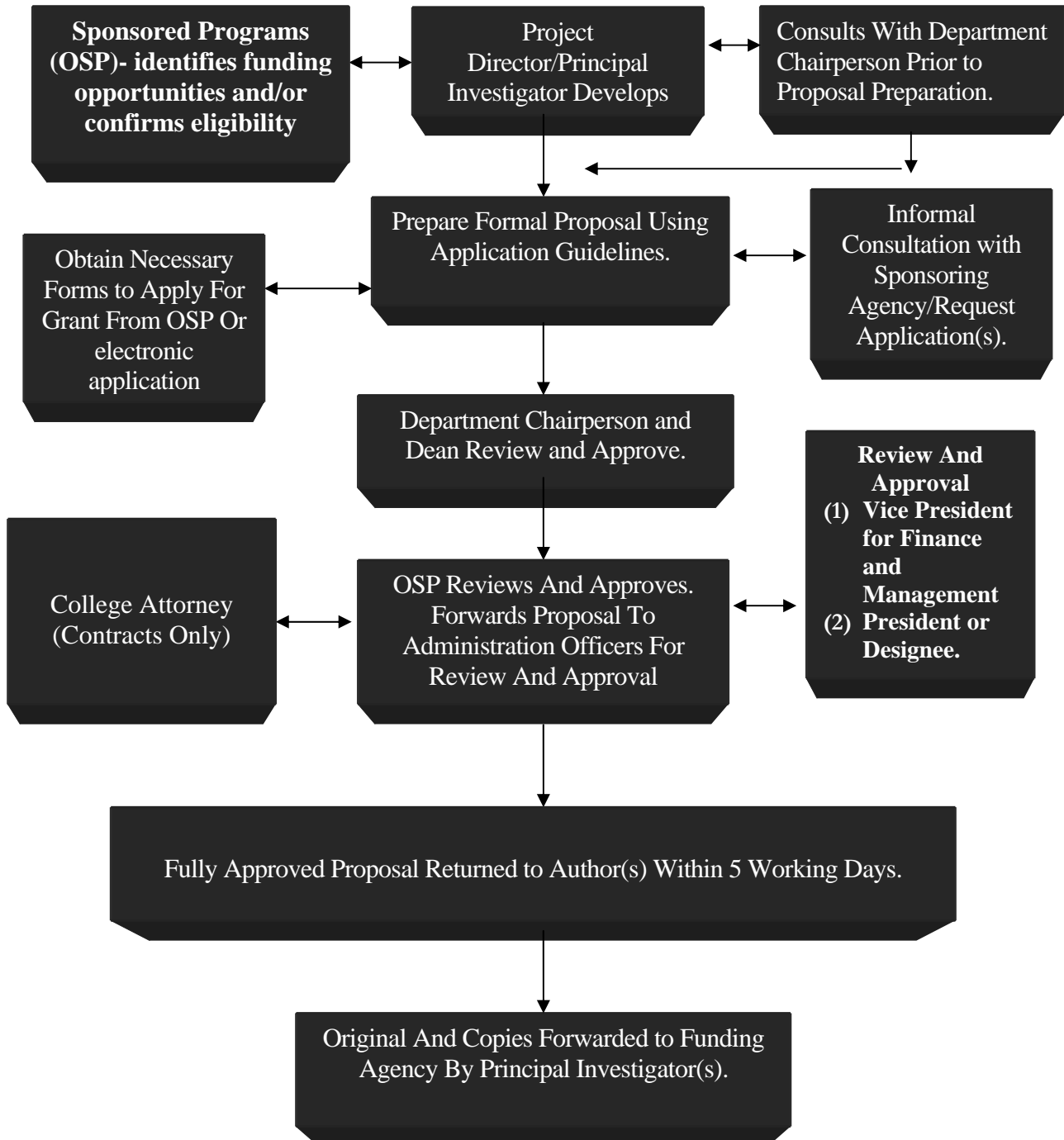
The State of South Carolina imposes some requirements on federal and other funds, which are not included in the agency's budget. These funds must be authorized by the Office of the Governor, (Grant Services, prior to receipt and expenditure). The request to increase the authorized spending level of an agency is submitted to Grant Services, Office of the Governor.

The Principal Investigator must complete the GCR-1 form and attachments and forward to OSP along with the proposal. This form and attachments are sent to the Grant Services Office in Columbia, South Carolina simultaneous with submission of the proposal to a funding agency. For programs covered by Executive Order 12372 (A-95), a copy of the federal form (SF424) must be attached and the S.C. Project Notification and Review System (SCPNRS) Office, commonly called the "State Single Point of Contact" (SPOC), must be notified of your intent to submit. Requests for full-time positions under federal grants and other non-state funded projects require University and S.C. Office of Human Resources approval. Such requests must originate with the SC State Office of Human Resources, then forwarded to OSP and subsequently submitted to the Governor's Office of Grants and Contracts; accompanied by an approved GS-5, GS-6, GS-7 or FPR form, as appropriate.

E. Federal Requirements

South Carolina State University, along with all other institutions of higher education is subject to the requirements of OMB Circulars No. A-21, A-110 and A-133, which establishes audit requirements for receipt, expenditure, and audit of federal funds.

F. FLOW CHART



G. **Notification of Award**

The acceptance of funds from external funding sources requires that the University and the PI/PD take on certain administrative responsibilities. This notification usually comes in the form of a "Notification of Award" letter accompanied by any special terms or conditions of the grant. Upon receipt, the PI/PD should immediately notify OSP and other appropriate University officials with copies of the "Notice of Award" and any attachments (i.e. special terms, conditions, certifications, or restrictions).

OSP will review the terms and conditions of the award and compare to those originally proposed in the application. Any significant differences noted, must be resolved between the PI/PD, the University, and funding agency prior to starting the project. Official acceptance of the award is sometimes required and may be indicated by an authorized signatory; the President, Vice President, or their designee. OSP will notify appropriate offices of the award. (President, Finance, VPAA, Dean, Chair, and PI/PD).



POST AWARD PROCESS

A. Post Award Conference:

Following official acceptance of a grant or contract, the Office of Sponsored Programs and the Office of Grants and Contracts will set-up a post-a-ward conference with the Principal Investigator/Project Director to establish an approved budget account in the University's accounting system.

The PI/PD is responsible for administering the project. That person should be familiar with any special procedures required by the grant/contract agreement. He/she authorizes all expenditures; including salaries paid from the grant. If new personnel are hired under the project, institutional affirmative action/non-discriminatory procedures must be followed and any proposed salaries, fringe benefits, etc., must be consistent with requirements of the State Personnel Division and S. C. State University's Office of Personnel.

B. Expenditure of Project Funds

The expenditure of any grant or contract funds must follow approved institutional fiscal procedures and occur only after an approved Budget Distribution Form has been submitted to OSP and forwarded to the Office of Grants and Contracts.

Expenditures for supplies, equipment, travel, student participants, consultants, etc...are governed by University and State policies and procedures and those of the funding agency.

It should be Strongly Emphasized That Expenses Incurred Prior to the Starting Date or After the Expiration Date of a Grant or Contract Are Not Allowable; Except as allowed by Agency prior approval.

The Office of Grants and Contracts Accounting and the Office Financial and Management Information Systems are responsible for keeping fiscal records and preparing expenditure reports for the funding agency. It provides a monthly report on the projects' fiscal status; however, such reports cannot be expected to reflect all project expenditures up to the current data and usually have a two week to one month lag time between current and reported expenditures.

CONDUCTING A RESEARCH PROJECT AND CLOSING THE PROJECT

A. **General Administration**

The PI/PD should have first hand familiarity with the general administrative requirements of the project as imposed by the terms and conditions of the funding agency. These include such items as prior approval (by the agency) for foreign travel, changes in the scope and budget of the Project, level of effort by personnel, consultant fees, subcontracts, etc. Additionally, some form of progress reporting to the agency (annually) and a final report are required. Whatever schedule is required in reporting to the funding agency, is also required by this Office (OSP). A copy of the report to the agency will suffice for our records.

B. **Activity Reports**

The PI/PD is required to submit activity reports, called "After the Fact Certification of Labor", to OSP for all individuals (PI/PD's) who are paid from project funds or who are contributing time on a cost-sharing basis (See form in Appendix A).

C. **Requisitioning and Purchasing**

All purchases of equipment, materials and supplies, services, and expenditures for fixed charges paid out of grant/research project funds must be handled through the current University requisitioning and purchasing procedures. All purchase/travel requisitions using grant funds must be approved by a designated official in OSP, followed by an authorized purchase order number.

Purchased of equipment items must follow established policies and procedures; thus, it is extremely important that sufficient time be allocated to meet necessary agency and institutional requirements.

The Office of Procurement has the legal responsibility to pursue all purchases on behalf of the University.

The following revised Policy has been approved to incorporate changes to the Procurement code, enacted Under Part II, Section 11 of the 1993-94 Appropriations Act. This Policy will apply to purchases not on state contract.

Purchases Not in Excess of Twenty Five Hundred dollars

Small purchases not exceeding one thousand five hundred dollars (\$1,500) may be accomplished without securing competitive quotations if the prices are considered to be reasonable. The purchasing office shall annotate the purchase requisition: "Price is fair and reasonable" and sign. The purchases must be distributed equitably among qualified suppliers. When practical, a quotation must be solicited from other than the previous supplier before placing a repeat order. The administrative cost of verifying the reasonableness of the price of purchase "not in excess of" may more than offset potential savings in detecting instances of overpricing. Action to verify the reasonableness of the price need be taken only when the procurement officer, of the governmental body suspects that the price may not be reasonable, by comparison of previous price paid or personal knowledge of the item involved.

2. **Purchases from Twenty Five Hundred Dollars to Five Thousand Dollars (\$2,500 to \$5,000)**

Solicitations of verbal or written quotes from a minimum of three qualified sources of supply must be made and documentation of the quotes attached to the purchase requisition. The award must be to the lowest responsive and responsible source.

3. **Purchases from Five Thousand Dollars to Ten Thousand Dollars (\$5,000 to \$10,000)**

Solicitations of written quotes from a minimum of three qualified sources of supply must be made and documentation of the quotes attached to the purchase requisition. The award must be made to the lowest responsive and responsible source.

4. **Purchases from Ten Thousand Dollars to Twenty-Five Thousand Dollars (\$10,000 to \$25,000)**

Written solicitation of written quotes from a minimum of five qualified sources of supply must be made. The procurement must be advertised at least once in the South Carolina Business Opportunities Publication. A copy of the written solicitation and written quotes must be attached to the purchase requisition. The award must be made to the lowest responsive and responsible source.

5. **Purchases above Twenty-Five Thousand Dollars (\$25,000.00)**

All purchases above twenty-five thousand dollars must be advertised at least once in the South Carolina Business Opportunities Publication. All such procurement contracts must be awarded by the competitive sealed bidding, except as otherwise provided, in Section 11-35-1510 for emergency or sources purchases. These changes are to be effective immediately.

If any purchase is to be done on a "Sole Source" basis, the justification and complete form must be approved by the Chairperson, Dean, Office of Sponsored Programs and Unit Vice President. The Office of Finance and management give final approval.

Information Technology purchase requests must be accompanied by a complete, signed form (Please consult I.T. Director.)

The University maintains an inventory of high-use items for departmental convenience and economical lot-size purchasing in the University Central Supply Warehouse. Normal requisition procedures are followed, and the Central Supply Requisition form can be used.

D. **Property Inventory**

During the lifetime of a grant or research project, permanent equipment and other non-expendable property are usually purchased to enable the PI/PD to achieve project goals and objectives. Therefore, the funding agency, University regulation, and State Law require a system of accountability through annual inventory. The following procedure for inventory of non-expendable permanent equipment is listed below:

- | | |
|----------------------|--|
| \$1.00 - \$299.99: | Inventory is not required, but record(s) of purchase should be maintained in personal files. |
| \$300.00 - \$499.99: | An SCSU Property Tag is affixed to the item and inventoried into the university system. |
| \$500.00 - Above: | An SCSU Property Tag is affixed and a property number (#) is assigned. A copy of the receiving report and/or invoice should be forwarded to OSP to ensure proper accountability of all equipment purchases funded by a sponsored source. Item must appear on an annual inventory for the project and entered into the university system. |

An annual inventory should be performed, signed, and forwarded to OSP 10 days after the end of the State of SC fiscal year. The inventory should include: (1)Description of the item, (2) Model Number, (3) Serial Number, (4)

Special Note: South Carolina Sales Tax must be added to the purchase price of any equipment or supplies purchased with grant/project funds.

E. **Closing the Project**

At the end of a grant or research project there are a number of steps/activities that must be completed. This is a co-responsibility of the PI/PD, OSP, and the Grants and Contracts Office. Prompt compliance with the requirements of the grant or contract for final progress (technical) reports, expenditure (fiscal) reports, inventory, and any other reporting requirements are a Generally the institution is allowed ninety days (90) from the end of the grant to submit all required reports. Care must be taken to insure that obligations are not made against a grant or research project beyond the closing date.

Outstanding obligations should be brought to the attention of OSP and the Accounts Payable Office within the Business Office, so that proper allowance for any encumbrances against the account can be made prior to submission for a final financial report to the funding agency. When the final financial report has been forwarded by the Grants and Contracts Office and final adjustments received from the sponsor, no additional funds will be available to pay for items the PI/PD failed to properly report. Thus, the PI/PD, along with the college or department, will be liable for covering these expenses.

The final progress report or technical report should be prepared by the PI/PD following guidelines from the funding agency. Basic components of such a report will include (a) summary statement, (b) progress in achieving the project goals, (c) significant findings or results, a list of publications resulting from the project, and (d) a disclosure statement regarding any possible inventions and/or patents resulting from the work.

POLICY STATEMENT ON SCIENTIFIC MISCONDUCT AND DRUG-FREE WORKPLACE

PURPOSE:

This policy has been developed to provide guidance on the issue of scientific misconduct.

POLICY STATEMENT:

In a continuing effort to protect the integrity of research performed at South Carolina State University, it is the policy of this institution that scientific misconduct or research fraud will not be tolerated at South Carolina State University.

DEFINITIONS:

Scientific misconduct or misconduct in science shall include: (1) falsification, fabrication, plagiarism, deception, and other practices that seriously deviate from those that are commonly accepted within the scientific community for proposing, conducting or reporting research; (2) material failure to comply with state and federal requirements that uniquely relate to the conduct of research, or (3) failure to meet other legal requirements governing research.

PROCEDURE:

Any faculty member, staff, or student of the University who suspects that a condition of scientific misconduct has occurred is obligated to report such instances honestly and expeditiously.

All allegations or complaints involving the possibility of scientific misconduct should be directed to the Office of Sponsored Programs for referral to the Research Advisory Committee. The Research Advisory Committee may request that the Department Head or Dean investigate the allegation or complaint to verify its veracity. A written report from the Department Head, forwarded through the Dean, on the matters, shall be submitted to the Research Advisory Committee (RAC). Allegations or complaints about scientific research must be as specific and clear as possible so that an inquiry may be conducted. To insure confidentiality, as few people as possible will handle the inquiry regarding the allegation of misconduct. The institution is very interested in protecting the reputations and careers of all individuals involved.

The inquiry is the first phase of the review process. In this stage, factual information is gathered and expeditiously reviewed to determine whether an investigation is warranted. Upon completion of the inquiry, the RAC shall notify the accused individual (within two (2) weeks); if sufficient evidence

exists that misconduct has occurred. The person accused of misconduct shall be given an opportunity to answer such charges and to know the source(s) of all allegations or complaints.

All principals must cooperate in any inquiry. Failure to cooperate may result in an immediate investigation and other institutional sanctions. The inquiry phase must be completed within thirty (30) days of the notification of charges.

The findings of the inquiry must be reported in writing and are a determination of whether or not an investigation is warranted. The report should summarize the inquiry process and state the conclusion of the inquiry. The accused and complainant must be informed whether or not there will be further investigation. If the allegation is unsupported, the proceedings of an inquiry, including the identities of the parties, should be kept in the strictest confidence to protect all parties involved. Allegations or complaints not brought in good faith may be subject to disciplinary action. Similarly, any acts of retaliation against complainants for filing actions in good faith will be subject to disciplinary action(s).

Allegations that require further investigation will be referred to the Research Advisory Committee for necessary actions. Upon receipt of the report from the RAC on the findings of the inquiry, the Director of the Office of Sponsored Programs will notify all affected sponsoring agencies and the Office of Scientific Integrity (OSI), PHS, Department of Health and Human Services (HHS), in accordance with 42CFR50.104, that an investigation is warranted and will be conducted.

INVESTIGATION PHASE

An investigation will be conducted only after an inquiry concludes that further investigation is warranted. The purpose of the investigation will be to explore further the allegations and to determine whether fraud has been committed. The person accused will be informed whether an investigation is being conducted. The Investigation will focus on the factual materials involved in the case.

The Research Advisory Committee will conduct all investigations. Any member of the Committee having a potential conflict of interest must disclose that conflict, subject to disqualification from active participation in Committee deliberations.

Upon receipt of inquiry findings that an investigation is warranted, the RAC (or its designee) shall conduct an investigation promptly and expeditiously and all parties shall be immediately notified of the investigation. All parties involved are required to cooperate fully with the investigative committee.

The University legal counsel will not participate, but will provide guidance to the Investigative Committee. The accused shall be given an opportunity to respond in detail to the charges and must be notified as to the time and date of the hearing.

Upon notification that an investigation has begun, the Vice President for Academic Affairs may restrict or suspend the research activities of the accused pending the results of the investigation. All information gathered during the investigation shall be treated as confidential. The entire investigation must be concluded within 120 days. Any request for an extension within which to complete the investigation must be submitted to the Executive Vice President for Academic Affairs for approval.

The findings of the Investigative Committee shall be stated in writing and submitted to the Executive Vice President for Academic Affairs for transmittal, with recommendations, to the President. The accused, all-appropriate sponsoring agencies and the Office of Scientific Integrity (OSI) shall receive a copy of the findings of the investigation. The findings of the Investigative Committee are confidential and shall be retained in a secure file. The report must: (1) summarize the process, (2) review the allegations, (3) specify the findings, and (4) state the conclusion of all investigative committee (i.e. whether fraud or misconduct was committed).

APPEAL

The accused may file a written appeal to Investigative Committee's decision within fifteen (15) days of the decision. Appeals will be limited to the evidence already in the record, and will be heard by the Executive Vice President for Academic Affairs. The Vice President for Academic Affairs will schedule a hearing within fifteen (15) days of the written appeal. The Executive Vice President and Provost will have fifteen (15) days within which to render a decision.

If the accused is dissatisfied with the decision of the Executive Vice President for Academic Affairs, they may submit a written request for review of appeal, within ten (10) days of the Vice President's decision, with the President. The President will render a decision within twenty (20) days of the conference/hearing. The decision of the President will be final.

DISCIPLINARY ACTION FOR SCIENTIFIC MISCONDUCT

Any final disciplinary action for scientific misconduct shall be directed by the Vice President for Academic Affairs as a recommendation(s) to the President. The action taken will be communicated to the accused along with a statement of any rights of appeal within the Grievance Procedures of South Carolina State University.

APPROVED: Board of Trustees
February 14, 1990

APPENDICES

Appendix A: Important Web Links

1. Proposal/Award Processing and Approval (PAPAF) Form
2. State of South Carolina/Federal Assistance Form: Parts I and II (GCR-1 Form)
3. Standard Application for Federal Assistance Forms(s): SF424
4. a) Memorandum on Certification of Labor/Work for Federal Projects
b) After the Fact Certification of Labor Form
5. Sample Federal Application Forms (DHHS)
Federal Certification and Compliance Policies/Forms
6. Policy on Research Involving Human Subjects
7. Certifications Regarding Lobbying; Debarment, Suspension and Other Responsibility Matters; and Drug-Free Workplace Requirements (Combined Form)
8. Certification Regarding Lobbying – Contracts, Grants, Loans, and Cooperative Agreements
9. Office of Management and Budget (OMB) Circulars
10. Sample Proposal Cover Page (If not supplied by funding agency).

Appendix B: General Information/SCSU

1. Policies On Compensation For Academic Faculty and Staff
2. Indirect Cost Rate Agreement
3. Fringe Benefits
4. Standardized Information for Completion of Grant Application Forms
5. Computation of Composite Hourly Rates for Faculty Compensation on Sponsored Programs and Federally Funded Projects.

APPENDIX A

South Carolina State University Proposal/Award Processing Approval Form
(PAPAF)

<http://www.scsu.edu/osp/Forms.htm>

State of South Carolina/Federal Assistance Forms (GCR-1)
Standard Application for Federal Assistance (SF424)
(Grant Services Section)

<http://www.budget.sc.gov/OSB-forms.phtm>

After the Fact Certification of Labor – FORM
After the Fact Certification of Labor – INSTRUCTIONS

<http://www.scsu.edu/osp/OSPWebpage3reports.htm>

Department of Health and Human Services, Public Health Services (PHS 398)

<http://grants1.nih.gov/grants/funding/phs398/phs398.html>

Policy on Research Involving Human Subjects

<http://www.scsu.edu/osp/ospwebpage3reports.htm>

Certifications Regarding Lobbying; Debarment, Suspension and Other
Responsibility Matters; and Drug-Free Workplace Requirements

<http://www.ifap.ed.gov/dpclatters/attachments/leap00-1ed80-013.pdf>

OMB Circulars

<http://www.whitehouse.gov/omb/circulars/>

APPENDIX B

STATE AND UNIVERSITY POLICY ON COMPENSATION FOR ACADEMIC FACULTY

Definitions

- a. Base Pay: Compensation paid to faculty for full-time employment during a base period.
 - b. Base Period: A semester, an academic year, or 10 months, 10.5 months (A.Y. + one summer session), 11 months, or 12 months.
1. Compensation for Regular Summer School Teaching (State Funds) - a maximum of 15% of faculty member's base pay for the immediate preceding A.Y.
 2. Compensation Sponsored Research, and Other Sponsored Activities During Summer Months Not Related to a Regular Summer School Session (State Funds) is paid at the same rate as for his/her base period for the immediate preceding A.Y.
 3. Summer Research Not Related to a Regular Summer School Session (Non-State Funds) - At the same rate as for his/her base period for immediately preceding A.Y.
 4. Dual Employment Compensation
 - a. Nine (9) Month Faculty: Shall not exceed 30% of faculty member's current A.Y. salary. Eleven (11) and Twelve (12) Month Faculty, Deans, Directors: Shall not exceed 30% of employee's annualized salary for the current fiscal year.

South Carolina State University
 300 College Street Northeast
 Orangeburg, South Carolina 29117-0001
 (803) 536-7011

FRINGE BENEFITS RATES

Please use the following fringe benefit rates when applying for sponsored programs and budgeting employer contributions.

| PERMANENT / FULL TIME EMPLOYEE | TEMPORAY GRANT (P-14)/w RETIREMENT | TEMPORARY GRANT (P-14) w/o RETIREMENT | TEMPORARY EMPLOYEE P-13 w/ RETIREMENT | TEMPORARY W/O INSUR & RETIREMENT P-13 | DUAL EMPLOYMENT | FACULTY SUMMER SALARY | STUDENT |
|--------------------------------------|--|--|--|--|--------------------|-----------------------------|-----------|
| 31.34% | 31.34% | 18.60% | 23.34% | 10.60% | 23.34% | 23.34% | 0% |
| | | | | | | | |

Standardized Information for Completion of Grant Application Forms

The following table should be consulted before completing grant/proposal application forms where standard institutional information is required:

| | |
|--|--|
| Applicant Organization: | S. C. State University |
| Administrative Contact: | Office of Sponsored Programs P. O. Box 7461 Belcher Hall, Rooms 410,411,412 Orangeburg, SC 29117 |
| Telephone: | (803) 536-8213/8394/8212 |
| County: | Orangeburg |
| Congressional District: | Sixth |
| Official(s) Authorized to Sign for Institution | 1st: President or Designee 2nd: Vice President 3rd: Vice President for Financial Affairs and Management Information Systems 4th: Assistant Vice President, Office of Sponsored Programs |
| Type of Organization: | Public, State Supported Higher Educational Institution |
| Status: | Tax Exempt, Non-Profit 501 (c) (3) |
| IRS Employer's Identification Number: | 1-57-6000950 (University) 23-7113930 (SCSU Foundation) |
| Cognizant Federal Audit Agency | Dept. of Health and Human Services (DHH), Regional Office Atlanta, Georgia |
| DUNS Number: | 626143457 |

COMPUTATION OF COMPOSITE HOURLY RATES FOR FACULTY COMPENSATION ON SPONSORED PROGRAMS AND FEDERALLY FUNDED PROJECTS

Definition: A Composite Hourly Rate is defined as a computed compensation rate for faculty that includes (a) salary, (2) fringe benefits, and (3) the indirect costs rate for SCSU.

Use: Composite Hourly Rates are primarily used in Cost Proposals prepared for some federal agencies and the Department of Defense. Such calculations are especially useful when factors 1-3 are loaded into a unit price or cost item in the Cost Proposal.

SAMPLE COMPUTATIONS

9-Month Faculty

37.5 hrs x 36 wks = 1350 hours

Salary = \$40,000 for 9 Mo.

Hourly Rate (HR) = $\frac{\$40,000}{1350 \text{ hrs}} = \$29.63/\text{hr}$

F.B Rate (FBR) = $0.278 \times \$29.63/\text{hr} = \$8.24/\text{hr}$

Indirect Cost Rate (IDCR) = 44.5%
 $0.445 \times \$29.63/\text{hr} = \$13.19/\text{hr}$

Composite Hourly Rate = HR+FBR+IDCR
 $\$29.63 + \$8.24/\text{hr} + \$13.19/\text{hr} = \boxed{\$50.56/\text{hr}}$

12-Month Faculty

37.5 hrs x 52 weeks = 1950 hours

Salary = \$60,000 for 12 Mo.

Hourly Rate (HR) = $\frac{\$60,000}{1950 \text{ hrs.}} = \$30.77/\text{hr}$

F.B. Rate (FBR) = $0.248 \times 30.77/\text{hr} = \$7.63/\text{hr}$

Indirect Cost Rate (IDCR) = 44.5%
 $0.445 \times \$30.77/\text{hr} = \$13.69/\text{hr}$

Composite Hourly Rate = HR+FBR+IDCR
 $\$30.77 + \$7.63/\text{hr} + \$13.69/\text{hr} = \boxed{\$52.09/\text{hr}}$