

Mechanics of Submitting a Grant Proposal for External Funding

The first stop and most important point of contact for CLA faculty seeking external funding is now Gina Barnes in the CLA Research Office (see <http://www.temple.edu/CLA/research/general/index.html>). Gina is the point person for all CLA faculty and staff who want to submit grant proposals.¹

Step by step guide:

Step 1: PI identifies a solicitation and develops a proposal.

Step 2: PI contacts Gina Barnes in the CLA Research Office to notify her of impending submission and the due date (Phone: (215) 204-9148, gina.barnes@temple.edu). This allows Gina to get your project on the submission calendar. Because Gina supports all CLA faculty regarding pre-award matters, it is important to you to 'help her, help you'. Plan on having your paperwork (outlined in the following steps) completed at least 2 weeks prior to the proposal submission deadline (for more details see [General Grants and Contact Information](#)).

Step 3: Work with Gina to create a Sponsored Projects Approval Form (SPAF). Temple requires that a SPAF be created for the following types of submissions:

- Letters of intent (LOIs), if the letter requires the amount requested or a budget
- New proposals
- Continuations, renewals, supplements, and amendments to current grants
- Contracts, subcontracts, subawards, consortium agreements, or cooperative agreements

The CLA Research Office is also a great resource for budget worksheets in Excel that have the correct formulas already inserted which makes budget creation significantly less time consuming.

Step 4: Become familiar with Temple's electronic application process done using eRA@TU (aka Electronic Research Administration). This system encompasses both the pre and post award part of the grants process. Currently, only NIH and NSF applicants can apply using eRA@TU but other agencies will be added. For additional information, please contact [Kimberly Fahey](#), or visit the [eRA@TU website](#)

Step 5: Discuss the SPAF with the Department Chair. This step gives you an opportunity to benefit from another set of eyes going over your SPAF and notifies the Chair of your intention to apply for external funding (which may involve resource issues such as buy-outs, graduate student funding etc. which the Chair coordinates).

¹ All proposals must eventually go through the Temple University Research Administration (TPA). They have a website with guidelines at http://www.research.temple.edu/ovpr/research_guidelines/spaguide.html. There is also a set of frequently asked questions available. They work in conjunction with Roseanne at OVPR (office of the Vice President for Research Administration, same as TPA). However, most of these interactions are taken care of by Kim Fahey.

Step 6: The PI also needs to develop the following materials:

- Budget, which may be in draft form, to be circulated with SPAF (see Appendix 1 for budget specifics)
- Abstract, proposal, or LOI, which may be in draft form, to be circulated with SPAF
- Subaward materials, if applicable
- Consultant statement of work, if applicable
- Indirect rate statement from funder, if below 26%

Additional materials may vary by sponsor. Please notify Gina Barnes if the sponsor requires any materials beyond what is listed above. For more specific information regarding commonly used information for proposals such as Employer ID Number etc. please see [General Grants and Contact Information](#)).

Step 5: PI submits Sponsored Projects Approval Form (SPAF) with all required signatures, including those of the Chair and the Dean, to CLA (via Kim Fahey) for approval at least 10 working days prior to the due date for the solicitation.

CLA Research Administration Staff

Kimberly Fahey, Director of Research, College of Liberal Arts

As director of Research at CLA, Kim supervises the grant application and management process for all CLA faculty and staff.

Phone: (215)-204-3367

kimberly.fahey@temple.edu

Gina Barnes, Research Coordinator, College of Liberal Arts

Gina provides assistance regarding pre-award matters. You may also contact Gina for assistance to find grant opportunities and with general questions.

Phone: (215) 204-9148

gina.barnes@temple.edu

Elaine Spencer, Manager of Finance and Accounting, College of Liberal Arts

Elaine provides assistance regarding post-award matters. You may also contact Elaine for assistance with general finance questions regarding your grant, other FOAPAL's, Banner, and Cognos.

Phone: (215) 204-0494

elaine.spencer@temple.edu

Appendix 1: Additional Information on Budget Structure

Proposal budgets should include at a minimum:

- all appropriate direct costs items;
- correctly applied fringe benefit and indirect cost rates; and
- funding source requirements.

Furthermore, the budget should conform with one of the budget category patterns currently available in the University's Financial Management System (FMS). A summary of FMS Budget Categories is listed in Appendix E available at http://www.research.temple.edu/ovpr/research_guidelines/spaguide11.html. SPA recognizes that agency requirements do not always permit an exact correlation between FMS account numbers and their budget categories. However, investigators are encouraged to discuss individual issues with their department administrator or SPA staff.

The budget should contain separate figures for University contributions and funds being requested from the agency. Should an award be forthcoming, investigators must inform all appropriate administrative offices of the University's obligations.

Budgets may not be presented to a funding agency without appropriate review by SPA. Therefore, PIs or and/or financial officers should consult SPA early in the proposal development process to ensure preparation of an accurate budget. Upon receipt of the SPAF, the completed proposal and properly signed budget, SPA commences with internal approval of the project.

Budget Specifics

Investigators preparing proposal budgets should consider the following specific policies and procedures:

- **Personnel**

The University encourages the use of external support for academic year (nine or ten months) faculty salaries. Salary support received for sponsored activities conducted during the academic year may result in release time from teaching or service activities. Faculty members are asked to contact their departmental chair and Dean early in the planning stages of their proposal to discuss release time.

Depending on the sponsoring agency's regulations and approval of the Dean, University faculty on academic year appointments may earn additional compensation above base salary during the academic year (see Faculty Guide for details).

During the summer months, faculty on academic year appointments may receive additional salary from a sponsored project. The monthly rate cannot exceed the applicable base salary (1/9 of the academic year salary for each of the summer months: June, July, and August). The salary from the prior academic year determines summer compensation. Faculty must obtain permission from the appropriate Dean and Department Chair to teach during the summer sessions in addition to fulfilling a commitment to the sponsored activity. Faculty who choose to

use their external support for summer salary only are not entitled to release time during the academic year.

The Personnel category should include all individuals necessary to conduct the proposed sponsored activity. The category should list the names of all personnel involved directly in the project; proposed, but unfilled, position titles; individual percentage of time devoted to the proposal; and applicable salary and fringe benefit rates.

- **Compensation**

Compensation includes salary/wages and fringe benefits that an employee receives for their efforts on behalf of the University. University employees are eligible for compensation, which is an allowable direct charge to the project, for all time and effort devoted to a sponsored project.

- **Salary**

Salary charges should be based on the same rate of pay as the individual's other University work. Salaries paid to persons hired exclusively for work on sponsored projects may not be materially different from those paid to other persons in the University with similar qualifications for similar work. Salaries proposed in project budgets for each position are not guaranteed amounts. Actual salaries are subject to approval by the Office of Personnel Services (OPS).

- **Percentage of Effort**

The percentage of effort that a faculty member commits must be equal to or greater than the percentage of total salary drawn from project funds. The work schedule must be adjusted so that total effort does not exceed 100% of available time.

Individual colleges/schools may require faculty to devote a specific amount of time and effort to scholarly activities with appropriate salary recovery to be included in the proposal. The maximum level of support on sponsored activities should not exceed 90%. Funding agencies assume that all investigators have at least some administrative or teaching responsibilities at their institution.

Many external agencies require effort reporting. Effort reporting does not correspond to a specific number of hours worked. Any additional pay for a faculty member must be approved by the appropriate Dean, or in the case of certain Center Directors, by TRA.

- **Graduate Assistant Compensation**

Compensation to graduate assistants involved in sponsored projects should be assessed at the same rate as compensation to graduate assistants assigned to academic departments within the same discipline. During the academic year, graduate assistants are considered full-time if they work fifteen weeks per semester and twenty hours per week. During the summer months, graduate assistants may work more than twenty hours, but should not exceed forty, if course work and research permits.

The Graduate School, or the student's college/school, may contribute graduate tuition support

on sponsored activities. The student's particular department may also contribute funds when full overhead is received, the overhead received exceeds tuition, or when the college/school has recovered costs available to the departments. SPA must approve these cases. Please contact OPS for the minimum amounts for graduate assistantship stipends.

- **Part-time Staff**

Part-time staff is defined as staff working less than thirty-five hours per week. Some part-time employees may be eligible for benefits depending upon the bargaining unit. Rates for part-time employees should be consistent with University rates. Please check with SPA for current rates.

- **Fringe Benefits**

Budgets must include fringe benefits as direct costs to all sponsored projects. If they are full-time, employees on sponsored projects are eligible for University benefits. A full-time appointment for faculty is defined as 80% effort for at least one academic year; for most part-time staff and faculty, the fringe benefit rate is 8%. Post-doctoral employees do not receive full fringe benefits.

- **Hiring Staff**

The PI should submit a HRS Employee Requisition and HRS Position Questionnaire Form (Appendix D, available at http://www.research.temple.edu/ovpr/research_guidelines/spaguide11.html) for classification of each proposed position at the time of the grant or contract submission. Some standard position descriptions are available through OPS. OPS classifies and recruits for positions when an award is made. The hiring of full-and part-time staff on a sponsored activity follows the procedures and receives the approvals of OPS just like regular university hires excepting positions such as graduate (6301), teaching (6302), research (6303), assistants (6303), and post-doctoral employees (6580) which do not require a competitive search or affirmative action procedures. Post-doctoral fellow appointments do require the approval of the Dean (Appendix E, available at http://www.research.temple.edu/ovpr/research_guidelines/spaguide11.html).

- **Consultants**

Consultants on sponsored activities may be either external consultants/independent contractors or internal consultants.

- **External Consultants/Independent Contractor**

All external consultants must meet the requirements set forth in the University Consultant/Independent Contractor Policy and Procedures (Appendix F available at http://www.research.temple.edu/ovpr/research_guidelines/spaguide11.html). Direct questions about whether to classify an individual as an employee or a consultant to OPS.

- **Internal Consultants**

If internal faculty consultants are used on a project, the budget must include a footnote stating that University faculty members are being compensated in addition to base salary. The consultant's time will be limited to the equivalent of one day per week. The rate of compensation should be consistent with the employee's base salary.

- **Equipment**

Equipment costing more than \$500 must be itemized along with estimated costs. The proposal should provide adequate justification for all equipment purchases for the sponsored activity. Equipment purchases from awards ultimately become University property, unless otherwise specified in the award.

- **Travel**

The University Travel and Business Related Expense Policy and Procedures governs all travel and requires strict adherence (Appendix G available at http://www.research.temple.edu/ovpr/research_guidelines/spaguide11.html). The proposal should identify the type and extent of travel and its relationship to the sponsored activity. The authorized university travel agency, World Travel, must handle all University business travel arrangements including transportation, hotel reservations, and other travel related activities. When preparing a precise travel budget, PIs should consult World Travel. If the PI considers foreign travel, the proposal should contain relevant information and budget justification.

- **Indirect Costs**

All proposals submitted for external support must include the current and appropriate University indirect cost rates (Appendix H available at http://www.research.temple.edu/ovpr/research_guidelines/spaguide11.html). There are varying rates for on-campus, off-campus, sponsored activities and instructional projects. In some cases a faculty member may request approval from TRA for an indirect cost rate that is different from current rates. Requests for exceptions must be in writing and approved by TRA prior to submission of the proposal.

Current rates are available at http://www.temple.edu/controller/grant_accounting/index.htm

TRA is the ONLY University office with the authority to approve the appropriate amount of indirect costs. Failure to secure TRA approval may result in reduction of direct cost support.

- **Cost Sharing**

Some funding agencies require the University to share certain cost expenses. These expenses should be discussed with the Department Chair, Dean, and TRA early in the proposal development process. The Department Chair, Dean, and University, must approve all requests for the University to provide matching funds. In certain instances, the investigator may be required to raise the matching funds. The SPAF must identify the project's source of all matching funds.

- **Space and Renovation**

During development of a proposal, a faculty member must consider the amount of space and any renovations that may be necessary to accomplish the specific aims of the proposed sponsored activity. Any requirements for additional space or renovations must be made known to the Department Chair and Dean and must be indicated on the SPAF prior to proposal

submission. Any special configurations of the space as well as the amount and location should be specified on the Administrative Space Allocation Committee (ASpAC) Priority Projects form. It is the responsibility of the Department Chair and Dean to review the space needs with the PI. If the PI's department or Dean cannot provide space, they may make a request to OVP/Research and ASpAC. Predicated on a reasonable request, OVP/Research and ASpAC identifies additional space. If unable to accommodate the project on campus, the University may rent space off campus. Academic relevancy, rental cost, overhead returned to the University, and length of project al factor into the decision.