



Grant Proposal Development Handbook

Office of Sponsored Programs
Southwestern Oklahoma State University
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SOUTHWESTERN OKLAHOMA STATE UNIVERSITY

Guide to the Preparation, Approval, and Submission of Proposals for Grants, Contracts, and Cooperative Agreements

Proposal Development Handbook

A. GENERAL INFORMATION

This handbook provides a single source of reference for present and future Principal Investigators (PI) and Project Directors (PD) who want to go through the process of pursuing external funding opportunities.

1. All grant writers are encouraged to schedule a meeting with the Director of Sponsored Programs to discuss your proposal and compliance issues as early as possible.

2. OFFICE OF SPONSORED PROGRAMS

In the early stages of proposal consideration, there are some issues that should be addressed before proceeding to the development stage.

1. Does the proposed activity further the objectives of SWOSU's mission?
2. Is the proposed activity in the best interests of the University, College, School, and Department?
3. Do the University, College, School, and Department have the necessary staff, facilities, and resources on hand to fulfill the goals of the project?

The response to the questions above will determine if the principal investigator (PI) should proceed to the pre-approval stage, which requires the submission of a Proposal Review and Compliance Form (PRC). If there is uncertainty expressed by the PI it is recommended that a discussion take place with the Chair and /or Dean regarding the details and goals of the proposed project.

B. PROPOSAL REVIEW AND COMPLIANCE

The Proposal Review and Compliance (PRC) Form is a mechanism whereby a proposal idea is reviewed and authorized by the appropriate university officials. *Four* university signatures are required. Additional signatures may be required for some grants. **The Office of Sponsored Programs requests at least ten working days for processing a PRC form. A properly approved PRC form must be on file in OPS office before a proposal can be submitted off campus.**

All requests for external funding of University activities are institutional actions that require the approval of an *Authorized University Official*. OSP will obtain the necessary signature(s) of the University's Authorized Official(s).

NOTE: *The University may elect not to honor obligations undertaken by investigators that have not been properly authorized.*

The principal investigator submits the PRC form for a new grant, contract, or cooperative agreement (or renewal) to the *department chair* for approval. Budgetary information and statements concerning the availability and use of the personnel, space, and facilities for proposed activities must accompany the form. **An abstract describing the proposed activity must be submitted along with the form.**

If approved by the department chair, the PRC form is then submitted to the *Dean* of the appropriate college for review and approval. The Dean's review relates to all academic aspects of the proposal including the extent to which the proposed activity may affect the teaching commitments and research interest of the department, school, and college, and the possible use of university equipment and facilities. **The principal academic review of the program is the responsibility of the Department, School, and the College.**

NOTE: *It is the investigator's responsibility to discuss with the department chair, associate dean or college dean if additional space or renovations will be necessary to perform the proposed research or services. These discussions should be done prior to submitting the proposal to the Office of Sponsored Programs (OSP).*

3. The Grants and Contracts:

Following approval by the College Dean, the PRC form is submitted to the Office of Sponsored Programs for the final institutional review to assure its conformity to university policies, to resolve any financial, administrative or legal questions, and to concur in any commitments of university personnel, equipment, facilities, and services. In addition, the budgetary and other administrative provisions are closely reviewed to verify that all costs, including fringe benefits and indirect cost are provided for, that resource needs are realistically estimated and properly stated, and that proposed matching funds are available and can be satisfactorily documented.

The director of the Office of Sponsored Programs (OSP) reviews the PRC form and attached abstract and recommends approval to the appropriate Authorized University Official. In certain cases, the director will first confer with the Provost.

When all signatures and approvals are obtained, the investigator is ready to begin proposal preparation.

In addition, the REVIEW OF THE PRC FORM may also be based on the following:

C. HUMAN SUBJECTS

SWOSU has a policy covering the protection of the rights, welfare, and personal privacy of *human subjects* and where applicable the approval of investigators involving human subjects. The **SWOSU Committee on the protection of Human Subjects**, as required by Federal law, acts as the institutional review board for research on human subjects at SWOSU, regardless of the source of funds. All uses of humans as subjects (including survey respondents) must be reviewed and approved by the committee prior to submitting the proposal to the agency. The policy statement, [SWOSU Policy and Procedures for the Protection of Human Subjects \(PDF\)](#), and the necessary Application Form ([SWOSU Protection of Human Subjects Committee Application](#)) are available on the SWOSU website, from OSP, or from the Chair of the Protection of Human Subjects Committee.

D. ANIMAL WELFARE

Projects involving animals must be in compliance with all animal welfare regulations for the humane treatment of any live, vertebrate animal used or intended for use in research experimentation, testing, training, or related purposes. Any program or project which will require the use of animal, either for research or instruction, must be submitted on an [Animal Use and Protocol Review Form](#), along with an [Animal Use Protocol Statement](#) outlining the project details. The above two forms must be reviewed and approved by the SWOSU **Animal Care and Use Committee**. [Animal Welfare Guidelines](#) may be found on the OSP website. Some sponsors required that approval be obtained prior to submission of a proposal, or within a specific time after submission. These forms are available on the SWOSU website of Sponsored Programs/Policies and Procedures or from OSP.

E. BIOSAFETY

Research projects involving the use of potentially infectious organisms or recombinant DNA must be in compliance with the [SWOSU BioSafety Guidelines](#). These guidelines are in place to protect the health of university employees and the university environment. Any research of this type must be submitted on a [SWOSU BioSafety Compliance Form for Biochemical/Biological Research](#). This form must be reviewed and approved by the SWOSU **BioSafety Committee**. Some sponsors require that approval be obtained prior to submission of a proposal, or within a

specified time after submission. These Guidelines and Compliance Form are available on the SWOSU website at Sponsored Programs/Policies and Procedures or from OSP.

F. CONFLICT OF INTEREST

Conflicts of Interest are most likely to arise when a proposal is submitted to a company or organization where the investigator(s) has a financial interest. When such potential exists, the Designated University Official will review the circumstances in accordance with SWOSU's Conflict of Interest Policy. The SWOSU [Conflict of Interest Policy](#) along with the [SWOSU Conflict of Interest Disclosure Form](#) is available on the SWOSU website at Sponsored Programs/Policies and Procedures or from OSP.

G. INTELLECTUAL PROPERTY

Intellectual Property is the inherent value produced by human creativity and invention, protected by law from unauthorized exploitation by others, and includes patents, copyrights, trademarks, and other proprietary information. SWOSU's Intellectual Property Policy is intended to encourage a healthy system of rewards and incentives for the creation of intellectual property while at the same time giving proper consideration to the responsibilities that the University has as a public university. SWOSU's Intellectual Property Policy has been developed with the intent to promote and encourage excellence and innovation in scholarly research, teaching, and service by identifying and protecting the rights of the University, its faculty, staff, and students. The Disclosure of Intellectual Property Form should be submitted to the Intellectual Property Committee once the potential for invention of discovery is determined. The [SWOSU Intellectual Property Policy](#) along with the [Disclosure of Intellectual Property Form](#) is available on the SWOSU website at Sponsored Programs/Policies and Procedures or from OSP.

H. GETTING STARTED

Identify your organization's needs. This approach is much more effective than starting with the grant-making organization and trying to create a project to meet their funding priorities.

Identify a project. Look for one that requires outside funding and directly supports SWOSU's mission and strategic plan.

Prepare a preliminary paper. Describe your project in 2-4 pages. Include information such as the problem or need the projects addresses, previous work undertaken to solve the problem, the proposed solution, required resources (including staff time to prepare the proposal), a timeline, and anticipated outcomes. The preliminary paper will help clarify and test your ideas and provide the information necessary to submit to a sponsor.

Research potential sponsors. Searching on the Internet is probably the best and easiest method available. Almost any type of funding organization whether it is a government agency or private

foundation has an information page on the Internet. OSP provides various announcement and resources available for searching.

Some common sources of external funding: Oklahoma State Regents for Higher Learning (OSRHE), Oklahoma Center for the Advancement of Science and Technology (OCAST), National Science Foundation (NSF); National Institutes of Health (NIH), and the Arts Council. For a more completed list contact OSP.

Useful search engines/websites: Community of Science (COS); grants.gov; foundationsearch.com

Ask your colleagues for advice. Employees of SWOSU (or individuals in the same field) can often suggest appropriate organizations or grant programs.

Identify a sponsor. Does SWOSU meet the eligibility requirements outlined in the grant guidelines? Are the university's and the potential sponsor's philosophies a good match?

Obtain guidelines and information on the application procedure. OSP can assist you in obtaining this information. Some sponsors require attendance at a pre-bid or pre-proposal meeting to discuss the guidelines and application procedures. If a specific proposal has this requirement and a representative from SWOSU does not attend, the university is precluded from bidding. This above requirement is one of the important reasons to let OSP see the Request for Proposal (RFP) or Invitation to Bid (ITB) as soon as possible.

Read the guidelines, and follow the directions. Investigators often miss out on grant funds because they do not provide what the sponsor requests.

Ask questions. Unless the guidelines clearly state that you should not approach the sponsor, contact the program officer with any questions. Make sure you are prepared with specific questions before placing the call.

Start writing. Decide who will write the proposal and get started.

I. PROPOSAL PREPERATION

A proposal is a request for support of sponsored research, instruction, services, or other university activity and generally consists of a cover page, brief project summary, technical or narrative section, biographical information on key personnel, and a detailed budget.

OSP is available to assist with the preparation of proposals for external support, particularly, with advice about the budget, cost sharing, indirect costs, employee benefits, format, justification, and other such matters.

Easy contact with the OSP is especially important when a proposal is in response to a Request for Proposal (RFP) that will result in a contract. A copy of the RFP should be provided to OSP with a PRC form for assistance in reviewing contract clauses and in preparing certifications to sponsors. Principal investigators and project directors should ensure that OSP the announcement and necessary guidelines as early as possible in the development process. OSP can procure these documents from the agency at your request.

Most federal and state sponsors publish guidelines that list proposal requirements and instructions on how to prepare a proposal. **Read the program announcement carefully!** In an RFP, or other type of formal request, these guidelines can be very detailed with specific forms required to accompany proposal text. Often there are limitations for page length, type, size, title length, or supporting document. The proposal should conform to these formal requirements. Sponsors frequently revise proposal guidelines and other requirements. Guidelines can vary not only between sponsors, but also among programs within agencies. Often times, proposals are rejected before they are even read because the basic instructions and guideline were not followed exactly as written.

When no guidelines are provided, there are some general rules to follow. A cover page should always accompany your proposal. It should include a signature line for the *Authorized University official*, and a list of items such as title, PI(s) name(s), submitting department, school, college, funding request, and performance period.

Page numbers are essential and a table of contents is helpful to reviewers. An abstract accompanying the proposal should be both concise and complete. Agencies often use abstracts in their publications or annual reports.

The proposal text or narrative should include a clear statement of the project goals and objectives as well as a description of the proposed work. Be specific about the proposed activities. Your preliminary studies or those by other investigators should be summarized. In the text, care should be taken to explain the need for unusual or large expenses such as equipment, special travel, or use of special facilities.

Describe in detail the roles of the various people involved in the project. Identify the project leaders and describe their roles, qualifications, and credentials to undertake specific project tasks. References should be included and, when necessary, a full biography.

The reviewers will want to know how the project will be evaluated. What formative and summative measures will be used to assess the success of the project?

A good research proposal stems from a good concept and should be a significant improvement over current practice. The better the idea the more likely the proposal is to be funded.

Listed below are some ideas of what agency reviewers look for in a well-designed proposal. Some of the ideas are relevant for all proposals; some are designed for content specific proposals:

- A clear, concise definition or description of the project
- A clear presentation of the problem to be addressed
- A realistic budget
- The competency of the PIs to carry out the project
- Some degree of institutional or departmental support
- A clear plan that includes well-defined tasks, checkpoints, and deliverables
- Realistic objectives that can be accomplished within the project period
- Collaboration within and without the institution including industry
- Knowledge of similar prior or concurrent efforts
- Integration of the results into the institutional academic structure
- A well thought-out plan for evaluation of the outcomes
- Commitment to continue the project after the period of federal support has ended

When a “**Letter of Intent**” is requested by the funding agency prior to proposal submission, the PI should submit the “Letter of Intent” to OSP prior to its submission to the funding agency. At that time, the procedure will be determined as to who signs the “Letter of Intent” and who will submit it to the funding agency. Contact the Office of Sponsored Programs regarding “Letter of Intent” questions.

A **Pre-Proposal Submission** required by the funding agency will follow the same procedures as a full proposal. A PRC should be submitted in a timely manner and all established proposal submission procedures should be followed. Contact the Office of Sponsored Programs regarding questions on the Pre-Proposal Submissions.

J. BUDGET PREPARATION

The budget is often reviewed separately from the proposal, the PI should provide a detailed budget with accompanying justification notes, which identify the role of each person (including staff support), included in the project budget and that details the use of all funds requested. OPS can assist with calculations for compensation and fringe benefits, F&A (indirect) costs, or faculty release time.

4. Personnel Services

Personnel effort on sponsored programs is normally expressed as a percentage of an employee’s annual base salary in relation to the estimated time that the employee will spend on the project. For faculty and professional employees, SWOSU has required **time and effort reports** that must be submitted before a particular payroll action can be processed. To download the Time and Effort Reporting Forms click on: [Time and Effort Reporting](#) – Policy, Summer, Academic, Weekly Timesheet.

For non-professional and clerical positions, compensation should be based on hours multiplied by the appropriate hourly rate. The *Human Resources Office* can help with calculating the appropriate hourly rate. Normally, the university will not allow a higher hourly rate than is currently being used for similar positions.

Compensation for student workers is usually limited to the federal minimum wage rate unless the PI or PD has received a special approval from the *Human Resources Office*.

Consultants

Salary requests for non-university personnel who can qualify for independent contractor status should be listed as consultants. Consultants are independent contractors and not employees of the university. The Internal Revenue's Code of Common Law governs designation of independent contractor status. Detailed review procedures such as the [Employee/Independent Contractors Checklist](#) Form should be utilized if a project anticipates using consultants.

Fringe Benefits

Fringe benefits are expenses directly associated with employment and are applicable to all salaries and wages including student employees. SWOSU fringes may include University-paid FICA, contributions to retirements, unemployment, workers' compensation, disability, life and health insurance. The rates tend to be different depending on the actual salaries of the individuals involved and their employment status. For the purpose of estimating fringe benefit rates, contact the Grants and Contracts Accountant for specific fringe rate estimates for the purpose of preparing a Proposal Review and Compliance (PRC) Form.

Also, contact the Grants and Contracts Accountant regarding Faculty Summer Employment, Part-Time Employment, and Student Employment.

Travel

Indicate the number and estimated cost of trips as well as the destination of **each trip** and the number of individuals on each trip. The estimated cost should normally include airfare or other mode of transportation, the number of days of per diem, lodging, and ground transportation (mileage, parking fees, shuttle, taxi, etc.), in accordance with state and university policy. The official state travel policy guidelines, as well as university guidelines are available online under [Office of Business Affairs - Travel](#) on the SWOSU webpage.

Supplies

This category includes, but is not limited, general office supplies, duplication and publication cost, lab supplies, computer/printer/copier supplies, and communications costs. This category can have a wide variety of items charged as supplies. Keep in mind that many federal granting agencies do not allow general office supplies as direct charges. These federal agencies have placed restrictions and limitations on this category as required in [OMB Uniform Guidance](#). Non-federal sources of funding have not as of yet placed these same restrictions on general office

supplies. It is best to check carefully the solicitation guidelines before writing the above types of supplies into the budget.

Capital Equipment

Itemize capital equipment (\$2,500 and above) to be purchased, providing a description, cost estimate, and justification of need. *Keep in mind that many federal programs do not allow equipment purchases.* The cost of a single unit of equipment should include related expenses such as accessories needed to make it operable, installation fees, delivery costs, insurance, and taxes, if any. It is possible that the granting agency will ask for evidence of the cost estimates that are supplied with the budget justification. It is a good practice to have the idea to check the University purchasing guidelines, i.e., bids, quotes, if it is known that equipment will be purchased.

Room and Board

For those grant programs that have a summer workshop component, a major part of the budget can be for meal and lodging. **Meal** charges can be calculated per individual meal or by a daily rate. The *Director of Auxiliary Services* should be contacted for rate and reservations. Lodging is charged on a per night basis. The *Director of Student Housing and Activities* should be contacted for rate and reservations if any of the dorms are going to be utilized.

The rates for meal and lodging can be combined into one daily rate for convenient budgetary purposes. The *Director of Auxiliary Services* should be contacted for the most current rate.

Tuition

If a grant program is funded to cover the cost of workshop tuition, the Business Affairs Office should be contacted for the current tuition rate. The Project Director is responsible for providing the Business Affairs Office with the necessary information such as name and date of the workshop and a detailed list of participants. If the workshop is going to be for graduate credit, the College of Professional and Graduate Studies should be contacted for guidelines.

Stipends

A major part of many grant budgets is participant stipends, Stipends are usually given as an incentive to attend. A stipend can also be given to help offset travel, meals, and lodging, if those items are not separately budgeted. As a general rule, a stipend cannot be tied to any type of required duty, but the stipend can be tied to attendance.

Facilities and Administrative (F&A or Indirect) Costs

F&A expenses are those expenses essential to the conduct of sponsored activities but which cannot be readily or easily identified and directly charged to the individual projects. SWOSU's Indirect Cost Rate (IDC) is negotiated and approved by the Departments of Health and Human Services, SWOSU's *cognizant federal agency*. Effective July 1, 2004, SWOSU's IDC rate for sponsored activities **on campus** is 45% of direct salaries and wages including all fringe benefits. SWOSU's **off campus** rate is 17% of direct salaries and wages including all fringe benefits.

There are many exceptions to these rates; therefore it is a good idea to check with OSP when working on a proposal.

Cost Sharing (SWOSU Match Funds)

Some Federal sponsors require cost sharing as a requirement of receiving a grant or contract. If cost sharing is required, the RFP or other grant proposal guidelines will list the percentage required to cost share.

The SWOSU policy on awarding Matching funds for grants, contracts, and cooperative agreements are as follows:

If requests for proposals from agencies require the university to cost share, the university will comply to the extent possible.

If requests for proposals state cost sharing is expected or will “enhance” the likelihood of funding, every effort will be made to award matching requests up to a maximum of 10 %.

Matching funds may not be awarded when these funds are not required or will not enhance the chances of funding.

At the present time, SWOSU may provide match funds up to 10 percent. This range in percentage depends on the type of grant. A FRP or solicited proposal that goes through a competitive or bidding process, can qualify for up to a 10% SWOSU match. If the proposal is unsolicited and does not go through a competitive or bidding process, it can qualify for up to a 5 % SWOSU match. The PI should list required or requested non-required match funds on the PRC form under the SWOSU support column. The decision to grant the requested match funds will be made by the OSP Director and other Authorized University Officials.

NOTE: Match funds are subject to budget limitations and will not be given in all cases.

Institutional Information:

SWOSU Institutional Research- The Office of Institutional Research publishes a Fact Book each year that contains information about enrollment, degrees granted, and faculty statistics. For the most recent information, you can find the current SWOSU Fact Book at [SWOSU 2016 Fact Book](#)

SWOSU History:

[SWOSU History](#)

Other SWOSU information:

- leadership commitment at all levels to quality teaching and learning
- offers 15 nationally-accredited academic programs-the most among Oklahoma’s

- regional universities
- small class sizes in upper-level course (average class size is 20:1)
- Nationally recognized and successful Doctorate of Pharmacy Program
- Nationally recognized and successful Nursing Program
- accessibility and affordability (only public four-year university in southwestern Oklahoma)
- in 2002, assisted in establishment of the Tribal College for the Comanche Tribe of Oklahoma
- in 2006, entered a memorandum of understanding with the Cheyenne-Arapaho Tribal College Board of Oklahoma to establish a tribal college on the Weatherford campus. The College Board is affiliated with the Cheyenne-Arapaho Tribes of Oklahoma.

K. DEADLINES FOR PROPOSALS

To be certain of meeting application deadlines, **the proposal should be submitted to OSP at least seven days prior** to the date on which the proposal must be submitted. However, if the proposal involves complex administrative or academic issues or collaborative arrangements with external groups, sufficient additional time should be given for the internal review. **Four (4) days prior to the date on which the proposal must be mailed to ensure that the proposal is received and accepted by the funding agency.**

Normally the original completed proposal should be submitted to OSP, but if time does not permit, a nearly completed draft can be submitted for review. The procedure should be followed prior to submitting a completed proposal to the funding agency. It has also been suggested that the PI find an individual who has no working knowledge of the subject matter to read the proposal. This allows for a more objective opinion.

It must be possible for a meaningful review to take place before a proposal is submitted to an agency. Early submission to OSP for review allows for a thorough examination of all aspects of the proposal. OPS will complete a check for all required documentation such as investigator vitae, letters of collaborations, the IRS letter regarding tax-exempt status, and all other elements of the proposal.

Prior to awarding the grant, contract, or cooperative agreement, SWOSU will require Letters Commitment that identifies any support from all outside entities or individuals. Such support does not have to be monetary in nature. (If possible, these Letters of Commitment should be obtained prior to submission of the proposal to the funding agency). If the submitted proposal is funded, OSP will negotiate agreements or contracts regarding outside support when appropriate.

Duplications procedures are followed according to sponsor guidelines. Adequate preparation time must be allowed for OSP to make the required number of copies. Additional copies are made for local distribution for the PI, CO-PI, and the Business Affairs Office. (OSP will incur these costs). OSP prepares the proposal package for mailing or by electronic submission according to sponsor

guidelines and mails or electronically submits the proposal in a timely manner. If mailed, the proposals are usually sent by an express mail carrier. OSP will track and verify the delivery to the extent possible.

Electronic submission of a proposal is currently the responsibility of OSP. A proposal should not be sent off campus without first obtaining the review and approval of OSP even if the submission is electronic. The National Science Foundations (NSF) requires all proposals to be sent electronically via Fastlane or grants.gov. Many other agencies are converting their systems to electronic submission. Most federal agencies require submission through grants.gov. **All proposals to be submitted through electronic submission should be submitted to OSP at least 7 days prior to the deadline to ensure that the proposal is received and accepted by the funding agency. For electronic submissions other than grants.gov, Era commons, NSF Fastlane, or Dept. of Ed e-grants, it is very important to contact us as early as possible so that OSP can set up Authorized Users for your proposal submission. Contact OSP if your proposal is to be sent electronically. Procedures for the electronic submission will be established at that time.**

ALL PROPOSAL SUBMISSIONS FOR EXTERNAL FUNDING SHOULD BE SUBMITTED TO THE FUNDING AGENCY BY OSP. Unauthorized individuals do not have the authority to submit proposals for the University.

L. NEGOTIATIONS

All awards received by a SWOSU employee are actually made to the University on the individual's behalf. SWOSU assumes all financial responsibility and guarantees that the project will be completed.

To accept an award, a number of steps are required. First, OSP must receive notification that the sponsor wishes to support the project.

Second, OSP, the PI, and other University officials will review the award's terms and conditions and recommend to the President, and/or Vice President that the University should either accept the award as offered or with changes outlines in their recommendations, or in some cases even turn down the award. It may require the University to negotiate with the sponsor about a particular issue concerning the award. Most of the time this is a budget issue. Only after all issues and concerns of both the University and Sponsor are agreed on, will the University accept the award. Contracts, unlike most grant or cooperative agreements, are more complicated in nature and will take more time to negotiate.

Funds are not released to the University until the project's official start date. This date is predicated upon the above acceptance of all terms of the award by both parties. Grant start dates are set by the sponsor in the award documents. The PI may have an award letter stating that the award is to begin on a specific date, but until both the University and the sponsor sign all award documents, agreements, or contracts, the project may not officially begin.

M. SUBCONTRACTS

If a subcontract is included in the project, the PI must inform OSP that a subcontractor agreement will be necessary if the proposal is funded. OSP will negotiate and prepare a subcontract agreement between SWOSU and the third part with applicable terms and conditions.

N. POST AWARD ACCOUNTING

When all the award agreements are approved and signed by both parties, OSP will issue a letter announcing the award to the PI and other appropriate university officials. At this point, the award is transferred to the **Business Affairs Office (Post Award Accounting)** where it is managed until closeout.

The Grants and Contracts Accountant will review and establish the appropriate expense categories for the budget, will set up the grant on the Administrative VAX system, and forward a completed **Awarded Budget Detail Form** to the PI. This form will list the line item expense categories that will be needed to initiate spending of awarded funds. The PI, in cooperation with the grants and contracts accountant, manages awarded funds and initiates all expenditures.

The Principal Investigator, Program Director, or Administrator/Faculty person responsible for grant employees will need to initiate an EMPLOYMENT AND PAY ACTION FORM for all grant positions. As a reminder, the above-mentioned form must be through the approval process and in the Payroll Office by the 10th of the month. Several signatures must be obtained for approval for the person to be placed on the payroll. This EMPLOYMENT AND PAY ACTION FORM can be found on the SWOSU Forms web page as [Employment and Pay Action Form](#). Time and effort Forms must accompany all Pay Actions Forms for grants and contracts compensation.

Principal Investigators are encouraged to contact the Office of Sponsored Programs (OSP) for assistance. OSP is located in Room 201, Administration Building. Please visit the OSP homepage ([Office of Sponsored Programs](#)) for additional resources related to grants, contracts or cooperative agreements.

Grant Writing Glossary

Abstract: A written summary of the grant program from one paragraph to one page in length, usually written by the applicant. The abstract, also known as an Executive Summary, is sometimes used by the funding agency as a press release to describe the funded program.

Activities: Actions identified to achieve the objectives identified in a grant programs. Several activities may be required to achieve an objective.

Allowable Activities or Cost: Project activities and expenses described in the programs guidelines that can be included in the proposed budget.

Annual Performance Report: A report required by the funding agency and prepared by the grantee than can include a description of program accomplishments, progress toward program objectives, and budget information.

Application: The formal document submitted to a funding agency describing the program and budget to be funded and often accompanies by supporting documentation. The application is generally the most complete presentation of the project and is often the basis for the grant agreement.

Application for Federal Assistance: The cover page of a grant application asking for information on the grantee.

Authorized Organization Representative (AOR): A person designated in the Grants.gov system, by the Business Office, that serves to safeguard the College from individuals who may attempt to submit grant application packages without permission.

Award: The formal, written documentation from the funding source informing as applicant that it will receive grant funding. Also, agreements, including grants, subgrants, cooperative agreements, and contracts.

Awarding Agency: The organization responsible for administering a discretionary grant award.

Budget: The estimated cost of project activities.

Budget Monitoring: The process used to ensure that grant funds are used in the manner intended by the funder.

Catalog of Federal Assistance (CFDA): Lists the domestic assistance programs of all deferral agencies. CDFA gives information about a program's authorization, fiscal details, accomplishments, regulations, guidelines, eligibility requirements, information contacts, as well as applications and award process.

CDFA Number: Identifying number for a federal assistance program, composed of a unique two-digit prefix to identify the federal agency, followed by a period and a unique three-digit code for each authorized program. For example, all U.S. Department of Health and Human Services (HHS) grants are 93.XXX.

Concept Paper: An abbreviated form of the grant application, typically two to three pages, often used in seeking corporate or foundation funding. At the minimum, this paper should include a problem statement, program narrative, and budget.

Contract: A mechanism for the procurement of a specific service or product with specific obligations for both the PI and Sponsor.

Direct Costs: Cost directly associated with operating a grant program that is reimbursed by the funding agency. Direct costs typically include staff, consultants or contractual expenses, equipment, travel, and supplies.

Drawdown of Funds: the process used to access grant monies from public agencies.

DUNS Number: The Data Universal Numbering System (DUNS) number required for every applicant to apply for a grant with the federal government. The DUNS number is a unique nine-character identification number provided (at no charge) by the commercial company, Dun and Bradstreet.

Eligible Activities: Specific activities authorized by legislation and for which government grant programs can use available funds.

Eligibility Criteria: Standards that an applicant must meet to qualify as a grant recipient.

External Funding: Financial resources secured outside of levied taxes, state funding, and tuition.

Evaluation Plan: The process identified by which a grant project will assess its effectiveness and outcomes.

Federal Register: Foundations, organization or governmental agency providing the grant award.

Grant: An award of money of directed assistance to perform an activity or project whose outcome is less certain than that from a contract.

Grant Accountant: The person responsible for the oversight of budget compliant and financial reporting for Federal, state, and local grant programs.

Grant Agreement: A contract entered into by grantee and grantor. Typically based on the application submitted by the grantee, the grant agreement commits the grantee to carry out certain activities, within a stipulated time frame, for a specific amount of money. It often incorporates regulations that govern the use of grant funds. The Grant Agreement may include more restrictive conditions that were proposed in the application (or are required by law) and may be for less money than originally sought.

Grantee: The agency receiving the grant funds and the responsibilities of administering the program and fiscally managing the grant (also known as the recipient).

Grantor: The agency, corporation, foundation, or governmental unit that awards grants (also known as the funder, funding agency, or grant maker).

Guidelines: The directions explaining what activities an agency wants to fund, what applications must contain, how applications must be prepared, and how proposals will be reviewed.

In-Kind Contributions: A non-cash donation of labor, facilities, or equipment to carry out a project. Typically, skilled and professional labor can be valued at the prevailing rate for the field. However, volunteer work performed by a professional or skilled laborer outside of their field is generally computed at some standard or minimum rate.

Indirect Cost: Costs not readily identifiable with operating a grant program (also known as overhead). These are usually expenses related to administration and facilities; for example, the percentage of time that the Executive Director spends on a grant. Generally, indirect costs are reimbursed by the funding source only if an indirect cost rate has been negotiated and approved by the grantor.

Indirect Cost Rate: A percentage established by a federal department or agency for a grantee organization that the grantee uses in computing the amount it charges to the grant to reimburse itself for indirect cost incurred in doing the work of the grant project. For example, the amount of time a bookkeeper funded by local funds spends providing payroll support to grant-paid staff. Research conducted by faculty and staff using human participants is overseen by SWOSU Institutional Review Board. Its purpose is to facilitate human subjects research and to ensure the rights and welfare of human subjects are protected during their production.

Outcome Measures: Indicators that focus on the direct results of a proposal grant program on its target population.

Pre-Application: A condensed version of a grant application. A pre-application is submitted before a full application is prepared. It is often used by grantors to determine which applicants will be invited to submit a full application.

Preliminary Proposal: A condensed version of a full proposal. They may also be referred to as a pre-application document.

Principal Investigator: The title is used most often in research grants for the person who will direct a grant project.

Program Office: Conducts and/or coordinates the daily work of administering the grant program, including the review and ranking of applications.

Program Officer: An employee of a funder (government or private) who manages a specific program of grant funding and oversees grant competitions. Program officers also supervise and provide technical assistance to a particular funded grant.

Project: The proposed program or plan for which grant funds are being requested.

Project Director: The person who oversees the grant activity and is responsible for assuring the grant is conducted in accordance with all conditions and Federal regulations. Project Director typically describes a person directing a demonstration, training, or educational grant.

Proposal: A written application submitted to a funding source describing a program and requesting funding for its support. Government proposals are more formal and are written according to the terms described in the request for proposals. Corporate and foundation proposals are less structured and may follow a preliminary letter of inquiry.

Proposal Submission: The process through which a proposal is delivered to the funder.

Request for Proposals (RFP): A formal solicitation by a grant seeking applications from potential grantee, An RFP describes what groups are eligible to apply (e.g., nonprofits, universities, and states), the background of the programs, recent research, what each applicant is required to include in its application, how much money the grantor plans to award and to how many groups, the dollar amounts in terms of the range of the awards, and other relevant information.

Review Criteria: A recipient of pass-through grant funds from a grantee and not directly from a grantor. A Sub-grantee is held to all of the regulations of the original grant plus any conditions added by the grantee (also known as sub-recipient).

Supplanting: Deliberately reducing state or local funds because of the existence of federal funds. This practice is generally unacceptable in federally funded programs. For example, if an agency pays an employee from local funds for performing a certain job, but then receives a federal grant and begins to pay that employee from federal funds to perform the same job, this would be supplanting.

Sustainability: The ability of program planner and managers to provide from program funding beyond the life of the current grant application. Funders often prefer the fund programs that exhibit this potential.

Sustainability Plan: The plan by which a grant funded program will continue after funding ends.

Target Population: The identified, intended beneficiaries (persons, organizations, communities, or other groups) or the services of the grant project.

Technical Assistance: An activity, generally utilizing the services of an expert, aimed at enhancing capacity or improving programs and systems or solving specific problems.