THE
PRINCIPAL INVESTIGATOR'S GUIDE

FOR

GRANTS, CONTRACTS & COOPERATIVE AGREEMENTS

TABLE OF CONTENTS

INTRODUCTION: OVERVIEW OF THE OFFICE OF RESEARCH ADMINISTRATION (ORA)

The Office of Research Administration (formerly Office of Sponsored Programs and Research (OSPR), under the Division of Research and Economic Development (D-RED), is the administrative unit charged with the responsibility for developing, sponsoring and coordinating all research and research-related activities at the University. ORA serves as the central coordinating unit for the University for externally sponsored research activities and projects. It assumes the initiatives as well as assist faculty in the identification of potential funding sources, development of research proposals, and interaction with program officers at sponsoring agencies. The Office of Research Administration processes, monitors, and facilitates the evaluation of all sponsored research projects to ensure that all grants and contracts are consistent with institutional goals, policies and procedures.

Morgan State University requires that any application for a sponsored project, initiated by afaculty or employee of the University, be submitted by the institution. This makes the institutional reviews, approval and authorization of all proposals critically important.

The reputation of the University and its faculty, as well as the institution's success in winning extramural funding is dependent on the interplay of several factors. These factors include the quality of proposals submitted, the integrity and professionalism of Principal Investigator/Project Director (PI/PD) and the fiscal responsibility of both the investigator and the institution in the management of sponsored projects.

Accordingly, this manual addresses issues most commonly encountered in sponsored programs to both elucidate and increase awareness of these issues. The ORA staff is available to answer questions that may not have been covered or adequately addressed, help find solutions to unusual problems, and assist PI/PD to comply with existing University policies and sponsor requirements.

WHAT IS A SPONSORED PROJECT?

A sponsored project is any activity supported by external funds awarded to the University due to some formal communication. The communication may be a contract, a letter, an application, or a written proposal signed by an authorized University official. Such communication must be reviewed and processed by ORA. Typically, a sponsored program also has one or more of the following attributes:

An award is contingent upon the University accepting specific staff performance and/or achieving specific performance targets.

- A line item budget with restrictions on the use of funds by function or activity, and/or restrictions on the transfer of funds among budget categories.
- Requirement for programmatic or technical report.
- Requirement for fiscal report and/or external audit.
- Provision for the disposition of intangible property such as patents, copyrights, inventions, and licenses, which may result from the activity.

Overall, it is important for PIs/PDs to keep in mind that if the university receive an award from a private agency or foundation for academic purposes and requires a technical and financial report, it must be processed with the Office of Research Administration.

Excluded from this definition of Sponsored Project are the following:

- Gifts and bequests to the University;
- General development campaigns which result in funds collected by the Morgan State University Foundation
- Student financial aid; (except as it is provided by a sponsored project);

Federal awarding agencies may use any of the following legally binding instruments to provide extramural funding for sponsored research and projects: grant, cooperative agreement or contract. In each instance, the agency decides on the appropriate award instrument. The distinctions among these instruments are explained in 2 CFR Part 200 Uniform Guidance.

- Direct payments to individuals such as faculty fellowships.

Grants	**Cooperative Agreement**	**Contract**
A grant is used when the principal purpose of the transaction is to accomplish a public purpose of support or stimulation authorized by Federal Statute. Substantial involvement between the sponsor and the recipient **is not** expected when carrying out the activity. The exact course of the work and its outcome cannot be defined precisely.	A cooperative agreement is used when the principal purpose of the transaction is to accomplish a public purpose of support or stimulation authorized by Federal Statute, and substantial involvement between the sponsor and recipient **is** anticipated during the performance of the work. The nature of the involvement can be defined and specified in advance.	A contract is used when the primary purpose of the transaction is acquisition of property or services for the direct benefit or use of the Federal Government. There is substantial sponsor involvement and contract performance is monitored closely to ensure accomplishment of the contract goals.

WHY A SPONSORED PROJECT?

A significant proportion of the funds that the University uses to support research, enhance its facilities, develop new academic programs, and undertake other developmental, training and educational activities for the public good are derived from extramural sources. For these reasons, colleges and universities encourage faculty and staff to obtain extramural funding through grants, cooperative agreements and contracts.

WHO IS RESPONSIBLE FOR COORDINATING THIS ACTIVITY?

The Office of Research Administration (ORA), under the Division of Research and Economic Development, has the primary administrative responsibility of providing needed services and support in the University's efforts to obtain external funding. These needs include:

- Maintaining an office to assist the faculty in identifying funding sources,
- Developing grant capabilities in preparing sponsored proposals
- Adhering to the institutional and funding sources' rules and regulations, and
- Maintaining compliance with set policies and procedures.

HOW DOES IT WORK?

Winning an award for a sponsored project is a multi-step process as noted in Figure 2 & Figure 3. This handbook will facilitate this process and serve as a guide to both new and experienced investigators in developing applications for extramural funding, and in meeting the responsibilities expected from Principal Investigators or Project Directors when funded. It is modified as University policies and sponsors' guidelines change.

Figure 1

WHO CAN ACCEPT THE ROLE OF PI/PD?

Following are suggestions:

- Full-time tenure track faculty members (regardless of academic rank) are eligible to serve as PI/PD;

- Individuals holding certain other University appointments are allowed to serve as Principal Investigators for projects that relate to their official duties, within the following limitations:

Such persons (e.g., directors, senior administrators, visiting faculty or retired faculty) are eligible to serve as PI/PD upon approval by the Dean. In such cases, a formal Memorandum of Designation must be signed and on file with ORA; if an Adjunct Faculty, a full-time faculty member may be required to serve as a co-PI/PD;

- Full-time regular staff with appropriate qualification are eligible to serve as PI/PD.

- Some individual fellowship application guidelines require that the Fellow be listed as PI/PD (e.g. NIH National Research Service Awards). In these cases a Sponsor or Mentor meeting the eligibility criteria suggested above must be named as project director on MSU proposal records. This individual is responsible for administrative and scientific oversight of the project.

CAN CO-INVESTIGATORS OR KEY PERSONNEL FROM EXTERNAL INSTITUTIONS BE COMPESATED ON SPONSORED PROJECT?

A Co-investigator/Co-PI/collaborator from another institution may be paid for effort on a Morgan's sponsored project under a subaward agreement. Usually, an institutional Letter of Support or Subrecipient Letter of Commitment is required from the external institution.

ROLES & RESPONSBILITIES

Principal Investigator: A Principal Investigator (PI/PD) is an individual who assumes full responsibility for a sponsored research project. This includes oversight and training of research assistants, managing of fiscal matters, administration of informed consent, protecting participant confidentiality, as well as initiative or monitoring the following:
• Research funding opportunities. • Develop and complete proposals. • Request budget review by ORA. • Conduct and manage research supported by the grants or contract per periodof performance (PoP). • Be knowledgeable of regulatory requirement of sponsor, terms and conditions. • Understand university policies and procedures related to sponsored program administration. • Attend post award briefing • Authorize and manage all fiscal matters. • Ensure all cost charged to the grants specifically benefit the project and areallowable per the terms and conditions of the award. • Ensure all cost are allowable and allocable. • Cost share or match, only when required and approved by Chair and Dean. • Ensure all staff under award having necessary training for research involving human subjects, animals or hazardous materials. • If applicable, certify effort for personnel. • Approve and oversee subcontract efforts. • Provide technical reports according the sponsor requirements (quarterly, annuallyor completion). • Work with Restricted Funds Accounting to ensure correctness of information priorto preparation of invoice. • Provide oversight of all persons working on the project, including visiting scientists, trainees, post docs, students and other staff to ensure that they follow proper laboratory and research procedures, understand and comply with all applicable rules and regulations, and adhere to high ethical standards in carrying out the project. • Ensure all closeout documents are submitted. • Secure all research and programmatic records conducted or produced for the awardfor the period required by audit retention clause of the award.
Principal Investigator Department Staff: Individuals working within the department of Principal Investigator who assist in the management of award. These persons:
• Provide assistance with proposal development • Assist in preparation of administrative reports for sponsor. • Assist in management of financial status of Principal Investigators award, ensuring spending and monitoring is correct. • Process monthly reconciliations of purchase cards and award spending, reallocatingto proper index and budget. • Assist in financial management of budget, award, and expenditures.

ROLES & RESPONSBILITIES

Research Administration:
The dedicated staff that assist Principal Investigators in developing and submitting proposals and funding.

- Maintain up-to-date funding information and related materials from a variety offunding agencies, including public, private and corporate sponsors.
- Offer proposal writing workshops and seminars.
- Provide assistance to faculty and staff in clarifying and interpreting agencyguidelines, requirements, regulations, as well as University policies and procedures.
- Assist Principal Investigators in proposal preparation by creating workspace, editing and evaluation of proposals.
- Works with Principal Investigator on proposal budget.
- Process proposals for internal reviews and approval.
- Assist Principal Investigators in proposal duplication and transmittal to sponsors.
- Post-submission inquiries and tracking.
- Provide Principal Investigators with post-award briefs.
- Coordinate compliance with federal and state government regulations andUniversity policies.
- Maintain official University Sponsored Programs award files.
- Assist with post-award monitoring for adherence to sponsor terms and conditions.
- Assist in effort reporting process.
- Evaluate client-initiated subcontracts to ensure the protection of Universityinterests.
- Develop and monitor University-initiated contracts, subcontracts and sub-agreements
- Serve as official University point-of-contact between the sponsor and theinstitution.
- Review, implement, and monitor the University's research administration policiesand procedures, as well as contributing to the formulation of new policies asnecessary.
- Coordinate responsible conduct of research (RCR), Institutional Review Board(IRB), and Institutional Animal Care and Use Committee (ICUAC).
- Facilitate with funding agencies and subcontractors to reach agreements satisfactoryto sponsors, faculty and the University.

Office of Technology Transfer

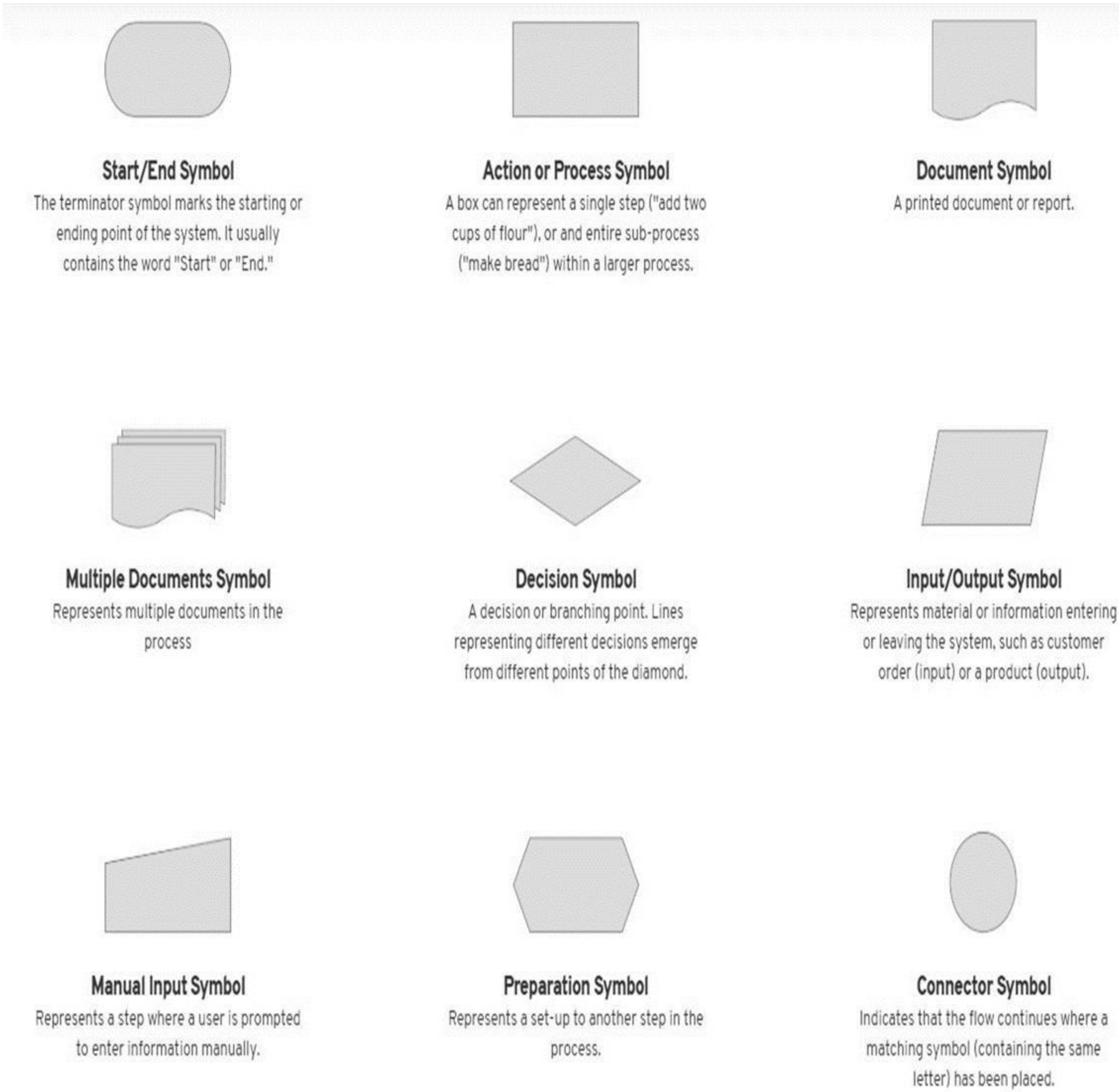
- Protect and manage innovations created at the University by utilizing patents,trademarks, and copyright procedures as needed via Office of Technology Transfer (OTT).
- Facilitate the transfer of University technology useful in the promotion ofeconomic development and newfound relationships with industry.
- Ensure that invention disclosures are reported to their respective agency and remainingin compliance with government legislation, i.e. Bayh-Dole Act.

Restricted Funds Accounting (ORFA):
Responsible for the fiscal accounting and management of all research grants, contracts, and cooperative agreements. They are typically responsible for the following:

- Enter award information into University financial system, creating funding/budgetcodes for awards.
- Prepare financial invoices, letter of credit and collection notices.
- Assist in maintaining journal entries, cost and payroll redistributions.
- Prepare financial reports throughout period of performance.
- Prepare closeout documents and submit to agency.

FLOWCHART SYMBOLS AND THEIR DESIGNATIONS

The following symbols are used throughout this document to highlight information that is of particular interest, importance or designation:



Processing Grants/Cooperative Agreements Proposals & Awards

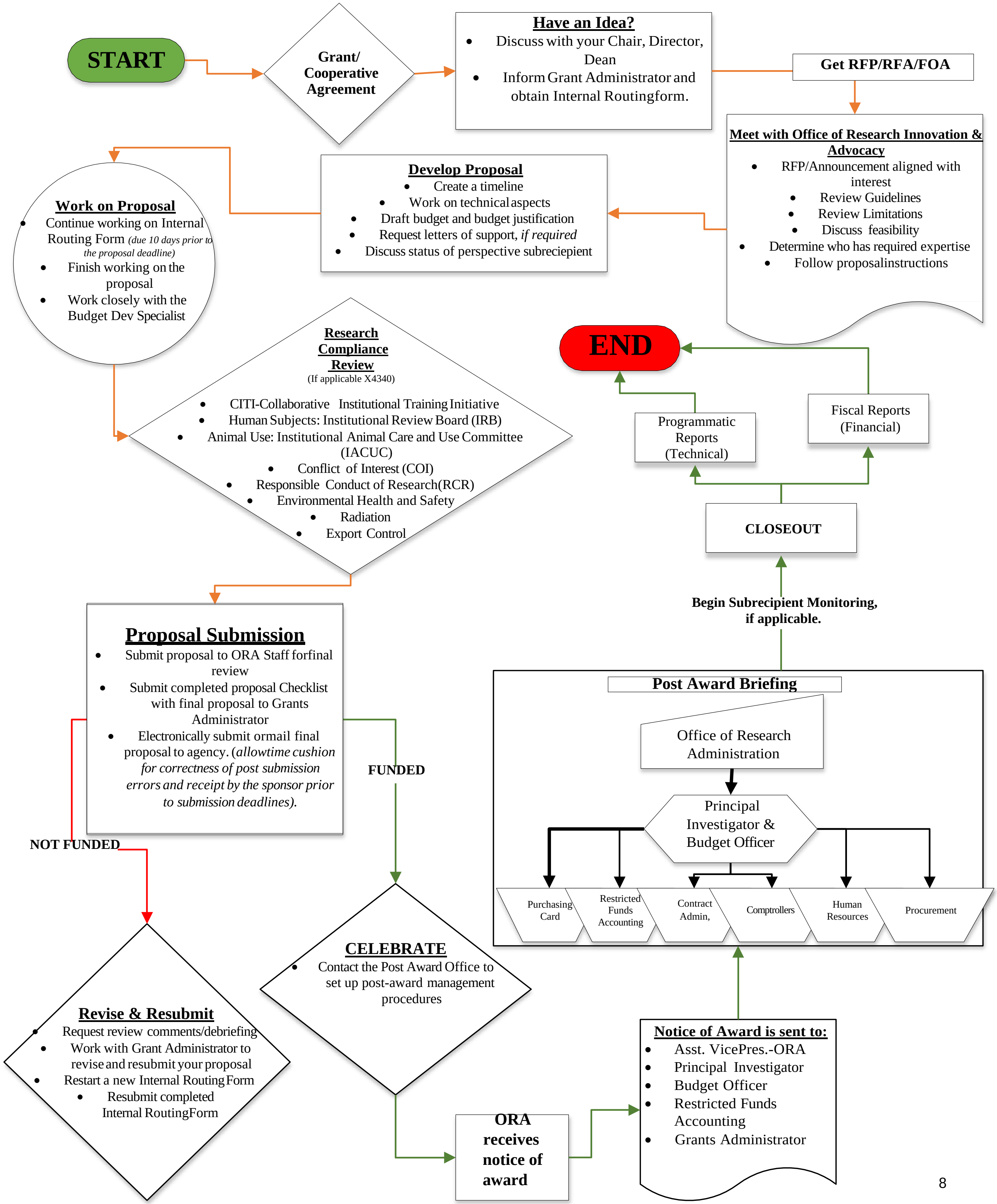


Figure 2

Division of Research & Economic Development
Managing Contract Proposal & Award Process

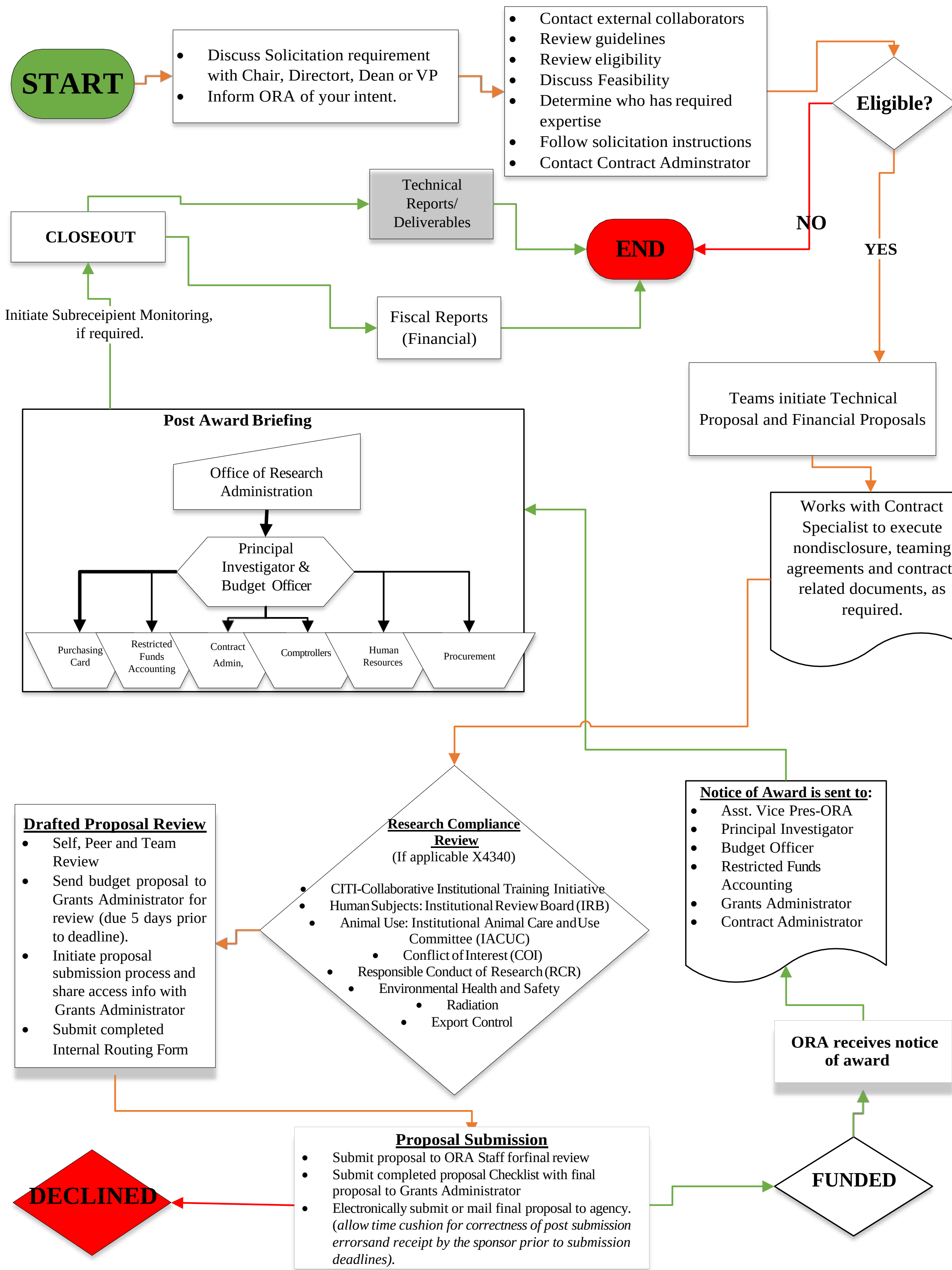


Figure 3

PRE-AWARD PROCESS

DEVELOP AN IDEA

Develop an idea for grant and a research program that can be developed and utilized for future application following research support. Things to think about:

- What is my idea?
- Have I gathered the necessary preliminary data or information to begin the proposal and executive summary?
- Is there current research on the same idea?
- Is my goal to patent the idea?
- Do I need a partner within the University? Outside the university?
- How can this research turn into application?
- Will this be a success?
- What is the competitiveness of the grant process and funding agency?
- How fundable is my idea?

FUNDING INFORMATION

Table 1

4 Types of Funding	
Grant-PI/PD. Initiated: Accomplish a public purpose that is important to society.	**Cooperative Agreement:** Substantial involvement between funder/sponsor and PI/PD.
Contract-Procurement for Services: Provides services for direct benefit or use to the funding agency. PI/PD carryout the expected deliverables.	**Endowment-Gift:** Contribution of money, services or property from an external Donor voluntarily to the University that may be restricted or unrestricted. The only University obligation may be a commitment to use the gift as the donor specifies. Gifts are generally administered by the Division of Institutional Advancement

FUNDING SOURCES

A list of resources is available to assist prospective investigators in identifying a potential sponsor. It encompasses electronic resources, periodicals, brochures, newsletters, and basic references. This list includes:

Morgan State University Subscribed Databases:
The Office of Research Administration subscribes to a funding opportunity database, which is available to users from computers with the MSU IP addresses. You can use this database to do your own funding search that provide capability campus-wide to search for funding opportunities electronically. This database include:

Sponsored Programs Information Network **(SPIN)** provides detailed and timely information about thousands of Federal, non-federal and international funding opportunities. This is a user-friendly database which searches can be initiated through general keywords (Quick search) or specific criteria categories (Advanced search).

- Access SPIN at https://spin.infoedglobal.com/Authorize/Login and get search instructions.

CONTINUED
FUNDING SOURCES

SMARTS/GENIUS

A subsystem of SPIN, SMARTS/GENIUS notifies the registered participant of new funding opportunities via e-mail. You can create a profile, and begin receiving the e-mail alerts. This service is available, upon request, to the faculty or other research staff who may need assistance in identifying potential funding sources for their ideas.

Federal Funding Sources:

- Department of Defense (DOD)
- Department of Education (Dept. of Ed.)
- Department of Health and Human Services (DHHS):
    - NIH, ACF, AHRQ, CDC, FDA, HRSA, SAMHSA
- Department of Homeland Security (DHS)*
- Department of Housing and Urban Development (HUD)
- Department of Justice (DOJ)
- Department of Transportation (DOT)
- Environmental Protection Agency (EPA)
- National Aeronautics and Space Administration(NASA)
- National Endowment for the Humanities (NEH)
- National Institute of Standards and Technology (NIST)
- National Science Foundation (NSF)
- National Oceanic and AtmosphericAdministration (NOAA)
- National Security Agency (NSA)
- Social Security Administration (SSA)
- Department of Commerce (DOC)
- Department of Labor (DOL)

Other Funding Sources:

- Maryland Governor's Grants Office
- Maryland Higher Education Commission (MHEC)
- Grants.gov
- Fund for the Improvement of Postsecondary Education (FIPSE)
- GCR
- Illinois Research Information Service (IRIS)
- Grants.net
- State Highway Administration
- Fedbizopps.gov
- Grantmaker Websites (https://candid.org/)

There are over 70,000 private and community foundations in the U.S. Examples are:

- Robert Wood Johnson Foundation
- Ford Foundation
- William K. Kellogg Foundation
- Carnegie Corporation
- American Cancer Society
- Alfred P. Sloan Foundation
- Howard Hughes Medical Institute
- Commonwealth Fund
- Andrew Mellon Foundation
- Juvenile Diabetes Foundation International

FUNDING SOURCES INFORMATION

Specific Government Agencies

- **Centers for Disease Control and Prevention (CDC): Grants - Funding Opportunity Announcements**
  http://www.cdc.gov/od/pgo/funding/grants/foamain.shtm
  Contains links to announcements, applications and forms, assurances certifications and frequently asked questions.
- **Health Resources and Service Administration (HRSA): Grants: Find, Apply, Review, Manage, Report**
  http://www.hrsa.gov/grants/
  Contains information regarding available grants, the grant cycles, and links to a list of grants administration references. The site links to HSRA grant preview and grant guidance information.
- **Institute of Museum and Library Services (IMLS)**
  http://www.imls.gov/
  Through the Grants to States program, the ILMS provides funds to state libraries to support statewide initiatives and services or distribute the funds through sub-grant competitions or cooperative agreements.
- **National Science Foundation (NSF): Find Funding**
  http://www.nsf.gov/funding/
  Contains Guide to Programs, Overview of NSF Programs, Grant Proposal Guide and the Grant Policy Manual. The user can search the Online Document System for forms, policies and procedures, program announcements and project directory. There is a FAQ as well as links to electronic forms, regulations and outreach programs. NSF also has begun to implement FastLane, an electronic grants management initiative.
- **National Endowment for the Humanities (NEH): Grant programs offered by NEH**
  http://www.neh.gov/grants/
  Includes application guides and deadlines, information on the Digital Humanities Initiative with links to start up and challenge grants, and how to register and apply using Grants.gov.
- **Office of Minority Health (OHM): Funding**
  https://minorityhealth.hhs.gov/omh/browse.aspx?lvl=3&lvlid=43
  Provides information to support minority heath projects. Information includes private and public foundations, directories, and community resources. The site has a search engine and allows the user to browse by the following subject categories: funding resources, grants, foundations and financial aid. A highlighted list of funding resources and new opportunities is now available. The Resource Center provides free search services for information on funding and other resources related to minority health.

- **Office of Telecommunications and Information Applications (OTIA)**
  http://www.ntia.doc.gov/otiahome/otiahome.html
  Assists state and local governments, educational and health care entities, libraries, public service agencies, and other groups in effectively using telecommunications and information technologies to better provide public services and advance other national goals.
- **Rural Assistance Center (RAC): Funding**
  http://www.raconline.org/funding/
  Includes funding tips, opportunities, news and information guides.
- **Substance Abuse & Mental Health Services Administration (SAMHSA): SAMHSAGrants**
  http://www.samhsa.gov/grants/
  Describes new grant opportunities and provides information needed by applicants in responding to SAMHSA Requests for Applications (RFAs).

Multi-Agency Sites

- **Infoed – Sponsored Programs Information Network (SPIN/PDN)**
  https://spin.infoedglobal.com/Authorize/Login
  A comprehensive source of grant and award information for federal and regional governments, foundations, professional societies, associations, and corporations.
- **The Grantsmanship Center: Funding Sources**
  http://tgci.com/funding.shtml
  Links to federal, state, community foundations (by state) and international funding sources.
- **Grants.Gov**
  http://www.grants.gov/
  Grants.gov offers one-stop shopping for information on applying for grants at all federal agencies. The Web site includes information on over $350 billion in grant funds administered by over 900 grant programs at the federal government's 26 grant-making agencies. The Department of Health and Human Services is the managing partner for the Federal Grants.gov initiative.

- **USA.gov for Nonprofits**
  http://www.usa.gov/Business/Nonprofit.shtml
  This site is designed to help nonprofit organizations access online Federal information and services. It contains information about grants, regulations, taxes, and other services. In the section "Non-Profit Resources", check out "Grants and Non-Financial support" which is searchable by Cabinet Department, Federal Agency and Notice of Funding Availability (NOFA). NOFAs are announcements that appear in the Federal Register daily.
- **USDA National Agricultural Library: Funding Resources**
  https://www.nal.usda.gov/ric/guide-to-funding-resources
  Click on "Funding Resources" under "Browse by Subject" to find links to Rural Funding Sources, the Federal Funding Sources for Rural Areas Database, and *A Guide to Funding Resources*
- **U.S. General Services Administration (GSA): Catalog of Federal Domestic Assistance**
  https://beta.sam.gov/
  The Catalog of Federal Domestic Assistance (CFDA) is a catalog of Federal programs, projects, services, and activities providing assistance or benefits to the American public. The catalog contains financial assistance programs administered by departments and establishments of the Federal government. The search engine supports phrase searching; using quotes and Boolean operators; Adjacent (ADJ), AND, OR, and NOT in all caps.

Selected Private Funders

- **Foundation Center**
  https://candid.org
  Provides access to searching private, community and corporate foundations, and the foundation finder for address information. The starting points section includes an online Orientation to Grant-seeking, the Guide to Funding Research and a Proposal Writing Course. An Online Librarian is available to answer questions not covered in the FAQ. LNPS Online allows the user to search philanthropy literature.
- **W.K. Kellogg Foundation: Grant-seeking**
  https://www.wkkf.org/grantseekers
  Health programming at the W.K. Kellogg Foundation focuses explicitly on improving individual and community health, improving access and quality of health care as a means to that end.

PROPOSAL PREPARATION

Following identification of a funding source or potential sponsor, the next important task is to prepare a strong proposal for submission to the agency. The proposal is the primary vehicle by which the prospective project director communicates an idea and plan to a sponsor. It informs why, how, when and by whom the activities being proposed will be done.

Please see the below links for examples of research proposals for various disciplines:

- https://penmypaper.com/blog/research-paper-abstract/
- https://penmypaper.com/blog/how-to-write-a-good-research-proposal/
- https://www.grants.gov/web/grants/learn-grants/grants-101/pre-award-phase.html
- https://www.grants.gov/web/grants/grantors/grantor-tools-and-tips.html
- https://www.niaid.nih.gov/grants-contracts/sample-applications

COVER PAGE

Before a PI/PD creates a cover page, they should READ the proposal thoroughly and make a checklist of every section with the required items as part of the submission. If working as a team, create a shared google drive and determine who will be responsible for gathering what information. This person should also put the checklist and all relevant grant documents into the shared folders.

Pay particular attention to any information provided about the review criteria. In fact, create a document with section required for submission. Paste the instructions and review criteria just below each section the sponsor includes in the solicitation.

Most sponsoring agencies provide their official cover sheets. If one is not provided as a template, the PI/PD should develop a cover page that includes the following:

- Title of the proposed research
- CFDA #
- Name and address of the sponsor
- Name and address of Morgan State University
- DUNS #
- Name and Title of the Principal Investigator
- Total amount requested
- Proposed duration of research, typically given in months
- Authorizing signature of the Vice President for Research and Economic Development or Designee.

Samples of official cover pages (face sheets) for various agencies and a generic cover page found in the Appendix.

TECHNICAL COMPONENTS OF PROPOSAL

Proposals generally have the following components as part of the application.

- **Abstract/Executive Summary**
  The abstract provides a brief summary of the project, and in most cases, within a space limitation specified by the sponsor. It is important to use words economically and efficiently in writing the abstract. The abstract should be clear, and should accurately reflect and parallel the content of the proposal without exceeding the sponsor's page limit. It should include the problem to be addressed, the objectives to be achieved, the approach to be used and the total cost of the project. Although it appears first in the proposal, the abstract should be written last with the thought that it may be the only part of the proposal that is read by some agency reviewers. It should be clear, succinct and effective in generating interest for the project.
- **Introduction/Background**
  This section of the proposal allows the investigator to briefly sketch the background for the proposal; demonstrate knowledge of the field by critically evaluating existing knowledge; specifically identify gaps the project is expected to fill; and persuasively and concisely state the importance of the project. It is useful in this section to relate the aims of the project to the broad long-term goal.
- **Goals & Objectives**
  In this section the PIs/PDs states the broad long-term goal and the expected outcome(s) of the proposal. This should be followed with a listing of specific objectives which should be clear, brief, realistic, and measurable.
- **Methodology**
  Having stated what is to be done in the specific objectives, the sponsor must now be told how these objectives will be achieved in this section of the proposal. The discussion should relate the specific approach to specific objectives and explain why the ones proposed are best suited to achieve the project objectives. In some proposals, this section may include the projected sequence or timetable for the project.
- **Key Personnel**
  This section answers the question, "who will do what is being proposed?" It should include a brief description of the qualifications, relevant experiences and specific roles of all the key personnel, listing the Principal Investigator first. Personnel critical to the successful completion of the project should be included even if no salary is requested. In the appropriate section, relevant publications of key personnel must be listed.
- **Evaluation**
  Most sponsored projects, especially training programs or demonstration projects, may require an evaluation component. The narrative in this section should relate the evaluation to the stated objectives; describe evaluation method and data to be used; give time frame and describe resources and personnel that will be involved; and discuss the intended use of the evaluation results.

BUDGET

Developing a Budget or Cost Proposal

The budget, also called a cost proposal, is equally as important as the technical proposal. This comprehensive planning document integrates all of the details for attaining the objectives of the proposal. The budgetary process should take into account preparation for the long- range goals, as well as the short-term objectives.

Practically all proposals are funded on the basis of a line-by-line budget, which typically includes both direct cost and facilities and administrative cost (indirect cost). The project budget is the instrument through which the cost of the project's activities plans, priorities, and organization are expressed. The funding agency grants a certain amount of money to the project on the basis of the line-by-line budget estimate.

Budget Elements

Direct Cost

Direct cost is defined as the cost of the project that will be paid directly to personnel or a vendor and is clearly assignable to a project activity (direct cost includes everything with exception of indirect cost). These costs consist of personnel salaries (senior and other), fringe benefits, equipment, travel, and participant support.

Most government granting agencies expect that the project director will adhere to the budget and may require prior approval before certain changes are made. A number of foundations also require prior approval for budget modifications subsequent to an award. Typically, such approvals must be requested and approved in writing.

Table 2

Personnel Salaries & Wages	**Senior Personnel Salaries & Wages:** Salaries requested must be consistent with the regular practices of Morgan State University. In addition to making provisions for the above categories, it is imperative that the budget includes funds to cover fringe benefits for both regular and contractual employee. **Other Personnel** • Post Doctoral • Lab Technician • Graduate Students • Undergraduate Students • Teaching Assistantship • Secretarial/Clerical
Fringe Benefits	Employee benefits such as social security, worker's compensation, retirement, unemployment, health insurance, etc. should be factored into this object using the appropriate rates, which currently are: Included in the budget should be provisions for the following cost categories: • Regular employees 42% of the gross salary • Contractual employees 9% of the gross salary
Equipment	Refers to an item of property that has the acquisition cost of $5,000 or more and an expected service life of more than one year. A brief description and justification to show the purpose function, and cost of the equipment is necessary. A written quote is required in many cases.

Travel	Includes domestic and international for fieldwork, attendance at conferences and seminars needed by the investigator to enhance his/her ability to perform the work of the proposal, or to present the results of the project. Domestic travel includes travel in the United States, its possessions, and travel to Puerto Rico and Canada. All other travel is considered foreign travel. Government sponsors generally require persons traveling under a grant or contract to travel by U.S. flagged carriers, if available. The current 2020 reimbursable rates under the State of Maryland are: • Use of personal automobile - $.575 per mile. • Portage is $1 per bag. • For meals – Breakfast 13.00 Lunch 15.00 Dinner 28.00 Total per Day $56.00 Gratuities are included in the above rates for meals. Due to price fluctuations from state to state, the employee who travels out-of-state and is entitled to meal reimbursement may receive an adjusted amount depending upon geographical location. https://www.morgan.edu/finance_and_management/office_of_the_comptroller/university_travel.html
Participant Support	Participant support cost is used to defray the cast of students participating in a training activity, conference, or symposium related to the project. Faculty and staff can be participants if funds are used exclusively for training and conferences and if approved by funding agencies. It includes stipends, subsistence allowances, travel, registration fees paid on behalf of or to participants or trainees involved in the project. The number of participants to be supported must be entered in the parentheses on the proposal budget. Participant support costs must be specified, itemized and justified in the budget justification section of the proposal. Indirect costs (F&A) are not allowed on participant support costs. Participant support costs must be accounted for separately should an award be made. **Persons (students) compensated for services rendered on a sponsored project based on the hours worked are considered employees, NOT participants.** • **Who is a participant?** A participant is defined as a non-MSU employee who is the recipient, not the provider, of a service or training associated with a workshop, conference, seminar, symposium or other short-term instructional or information sharing activity. Participants do not perform work or services for the project or program unless it is for their own benefit. Participants may include students, scholars, and scientists from other institutions, representatives from the private sector, teachers, and state or local government agency personnel. • **What costs are not considered Participant Support Costs?** Participant Support Costs do not include honoraria for guest speakers, expenses for the PI, project staff or collaborators to attend project meetings, conferences, or seminars, payments to GRAs, or payments made to research subjects as an incentive for recruitment or participation in a research project. Morgan employees are not considered participants therefore costs incurred for Morgan employees do not qualify as Participant Support Costs.

	Stipend For some educational projects conducted at local school districts, however, the participants being trained are employees. In such cases, the costs must be classified as participant support if payment is made through a stipend or training allowance method. Accounting mechanisms are in place (i.e., sub-account code) to differentiate between regular salary and stipend payments. **Travel** Funds may be requested for the travel costs of participants. If so, the restrictions regarding class of accommodations and use of US-Flag air carriers are applicable. **Subsistence** Subsistence allowances is based on the type and duration of the activity. Such allowances must be reasonable, in conformance with the policy of the proposing organization and limited to the days of attendance at the conference plus the actual travel time required to reach the conference location. Where meals or lodgings are furnished without charge or at a nominal cost (e.g., as part of the registration fee), the per diem or subsistence allowance should be correspondingly reduced.

Other Direct Cost

Other direct cost include those cost that are not appropriate to include in as requested by the sponsor and must be allowable, reasonable and directly allocable to the supported activity. . These may consist of materials and supplies, consultant services, computer services, communications, subawards, tuition, etc.

Table 3

Materials and Supplies	Include items such as printing instructional materials, office supplies and audiovisual and computer supplies. The budget should indicate in general terms the type of expendable materials and supplies that are required to meet the goals of the project.
Publication/ Document	Documenting, preparing, publishing or otherwise making available to others the findings and products of the work conducted under the grant
Consultant Services	A consultant provides advice or services and may participate significantly in the sponsored project. Since inter-departmental or intra-institutional consulting is regarded as professional courtesy, MSU faculty may not be listed as consultants. They should be listed as project personnel if they contribute substantively and measurably to the development or execution of a project. In the budget justification a description of the services or activities to be performed by each proposed consultant in the project should be provided, as well as an estimate of time required, and the rate of payment, usually per hour or per day. Payment for consultant services should be comparable to the normal or customary fees charged and received by the consultant for comparable services on sponsored projects. PIs should check sponsor proposal instructions for any required limit on the rate of payment.
Computer Services	This can include the following: • Maintaining of special computer related equipment • Data processing • The cost of computer services, including computer-based retrieval of scientific, technical and educational information
Communications	Can include postage, mailing service and telecommunication charges.

Subawards	Subawards are called subgrants, subagreements, or subcontracts. These are issued to a subrecipient for assistance in carrying out a specified programmatic effort on the sponsored project, and the University passes-through a portion of the sponsored award to the other entity. All the terms and conditions that are part of the prime award, which are applicable to the type of subrecipient entity involved, must be included in the subaward document. The term subaward also includes awards made by a subrecipient to a lower tier subrecipient with prior approval. PIs/PDs must make clear provisions in the budget to pay for such subawards if they are included in the proposal. Each subagreement should be identified separately, and followed with a brief explanation of the services that the sub-awardee or subcontractor will provide, and the appropriateness and reasonableness of the cost. ***Sub-agreements, sub-awards, and subcontracts are not executed until the award or contract is received by the University.***
Other	These costs can include such expenses as tuition, grants, scholarships and awards. They are provided for support of graduate or undergraduate research assistants to help carry out the proposed research. Tuition remission is not taxable.

Indirect Cost
The applicable negotiated indirect cost rate must be used in computing indirect cost for a proposal. The amount of the indirect cost should be calculated by applying to the specified portions within the budget proposal. These amounts should be specified in the budget justification.

Table 4

Facilities and Administrative Cost	(Formerly Indirect Cost) appears as a single separate item in the budget. This item is not University profit; rather, it represents the total real costs to the university in support of the project, which cannot be directly attributed to a project activity. This includes a portion of the University's overall administrative cost, such as purchasing and procurement, personnel, payroll, building and equipment maintenance, office space, utilities, maintenance of the library and research administration. The current F&A cost is 51% of the modified total direct cost at Morgan State University, approved by the U.S. Department of Health and Human Services, Division of Cost Allocation, Region III. The modified total direct cost (MTDC) is the total direct cost excluding capital expenditures, equipment, charges for patient care, student tuition remission, rental costs of off-site facilities, scholarships, and fellowships as well as the portion of each subgrant and subcontract in excess of $25,000.

Other Budget Element
Other budget elements that may be required by some funding agencies

Table 5

In-kind contribution	The value of such items as equipment, facilities, and supplies that a grantee contributes as its share of project costs. The value of these services must be approved by the PIs/PDs Department Head and Dean of the College or School because funding of such expenses comes from that departmental budget. Explanation for the source(s) of funds to cover this item should be clearly spelled out and a copy of the explanation attached to the proposal when forwarded for review and signature to ORA. Principal Investigators should contact ORA staff for assistance with in-kind contribution or cost-sharing issues. All in-kind time and services must be documented. PIs/PDs should not volunteer in-kind contributions or matching unless explicitly required by the sponsor.
Matching funds	(Cost-sharing) are funds equal to some percentage of the total project cost. Some funding agencies may require that the applicant institution provide matching funds. The costs of such items as travel, computer time, supplies, printing or telecommunications may also be used for matching under some circumstances. Contributions of salaries and fringe benefits must be approved by the Dean of the College or School and the Vice President for Research and Economic Development. Contributions of facilities and administrative cost (indirect cost) must be approved by the Vice President for Research and Economic Development. PIs/PDs should contact ORA for assistance or clarification on matching funds. ***Note: Voluntary matching or cost sharing is prohibited. PIs/PDs should contact ORA for assistance or clarification where such matching is required by the funder. Institution will only match fund when required by agency.***
Third Party in-kind contribution	The value of non-cash contributions provided by non- Federal third parties. Third party in-kind contributions may be in the form of real property, equipment, supplies, and other expendable property, and the value of goods and services directly benefiting and specifically identifiable to the project or program. Since the budget format and allowable costs vary from one funding agency to another, it is advisable to obtain a copy of the application guidelines, program brochure, or grant policy manual from the appropriate agency to ensure that all criteria have been satisfied. Pertinent sections of the sponsor guidelines should also be submitted along with the completed budget to ORA to prevent processing delays if questions should arise regarding the cost proposal.

CHECKLIST FOR PROPOSED BUDGET ITEMS

(Not an inclusive list)

Personnel

- Academic Personnel
- Graduate Assistants
- Student Assistants
- Computer Programmers
- Tabulators
- Secretaries
- Editorial Assistants
- Administrative Aides
- Technicians
- Other Hourly Personnel
- Other Salaried Personnel

Fringe Benefits

- FICA Employment Retirement & Workers Compensation
- Healthcare Insurance

Materials and Supplies

- Office Supplies
- Test Materials/Instruments
- Computers (under $5,000)
- Animals
- Animal Food
- Laboratory Supplies
- Chemicals
- Electronic Supplies
- Project-related Books and Periodicals

Travel

- Transportation/Mileage
- Per Diem: Meals and Lodging
- Administrative Travel/Mileage
- Field Work
- Professional Meetings
- Participant Travel/Mileage
- Vehicle Rental
- Project Director's Meeting
- Parking Tolls and Taxis

Equipment *(including shipping and handling)*

- Special Purpose/Research Equipment
- General Purpose/Office Equipment
- Equipment Rental
- Equipment Installation
- Accessories Included with Equipment Acquisition
- Computers ($5,000 or more)

Contracted and Campus Services

- Photographic Services
- Consultants *(honorarium fees, travel, per diem)*
- Subcontractors
- Printing
- Report Preparation/Editorial Services
- Audio-Visual Production
- Central Computer Use
- Duplication Services
- Printing Services
- Library-Interlibrary Loan, On-Line Databases, Searches

Other

- Communications (*long distance phone, postage, fax, express delivery service)*
- Software
- Space Rental
- Alterations and Renovations
- Tuition/Fees
- Journal Page and Charges
- Recruiting Costs for New Personnel (*advertising, etc.)*
- Maintenance Contracts

Indirect Costs

- Negotiated Allowable Rate (*or the maximum permitted if less than the negotiated rate)*

SAMPLE BUDGET AND BUDGET JUSTIFICATION

YEAR 1

FOR NSF USE ONLY

ORGANIZATION **Morgan State University**				PROPOSAL NO.	
PRINCIPAL INVESTIGATOR/PROJECT DIRECTOR	AWARD NO.			Proposed	Granted
					Funds Granted by NSF
A. SENIOR PERSONNEL: PI/PD, Co-PI´S, Faculty and Other Senior Associates (List each separately with title, A.7. show number in brackets)	NSF Funded Person-months			Funds Requested By Proposer	
0. First Name M Last Na Title	CAL	ACAD	SUMR		
1. John C Doe Assistant Professor (Dept of Science)	0.00	0.00	2.00	$17,890	
(1) TOTAL SENIOR PERSONNEL(1-6)				$17,890	
B. OTHER PERSONNEL (SHOW NUMBERS IN BRACKETS)					
1. (0) POST DOCTORAL ASSOCIATES	0.00	0.00	0.00	$0	
2. (0) OTHER PROFESSIONALS (TECHNICIAN, PROGRAMMER, ETC.)	0.00	0.00	0.00	$0	
3. (0) GRADUATE STUDENTS				$0	
4. (0) UNDERGRADUATE STUDENTS				$0	
5. (0) SECRETARIAL - CLERICAL (IF CHARGED DIRECTLY)				$0	
6. (0) OTHER				$0	
TOTAL SALARIES AND WAGES (A+B)				$17,890	
C. FRINGE BENEFITS (IF CHARGED AS DIRECT COSTS)				$1,610	
TOTAL SALARIES, WAGES AND FRINGE BENEFITS (A+B+C)				$19,500	
D. PERMANENT EQUIPMENT (LIST ITEM AND DOLLAR AMOUNT FOR EACH ITEM EXCEEDING $5,000) equipment item 1 $0					
TOTAL EQUIPMENT				$0	
E. TRAVEL 1. DOMESTIC (INCL. U.S. POSSESSIONS)				$4,827	
2. INTERNATIONAL				$0	
F. PARTICIPANT SUPPORT COSTS 1. STIPENDS $48,000 2. TRAVEL $12,000 3. SUBSISTENCE $0 4. OTHER $0					
(6) TOTAL NUMBER OFPARTICIPANTS				$60,000	
G. OTHER DIRECT COSTS					
1. MATERIALS AND SUPPLIES				$18,876	
2. PUBLICATION COSTS/DOCUMENTATION/DISSEMINATION				$1,000	
3. CONSULTANT SERVICES				$15,000	
4. COMPUTERS SERVICES				$400	
5. SUBAWARDS				$0	
6. OTHER				$0	
TOTAL OTHER DIRECT COSTS				$35,276	
H. TOTAL DIRECT COSTS (A THROUGH G)				$119,603	
I. INDIRECT COSTS (SPECIFY RATE AND BASE) Name of indirect cost item: MTDC; Base: $59,603	Rate: 51.00%	IDC: 30398			
TOTAL INDIRECT COSTS				$30,398	
J. TOTAL DIRECT AND INDIRECT COSTS (H+I)				$150,001	
K. SMALL BUSINESS FEE (For further information, see the Small Business Innovation Research (SBIR) solicitation.)				$0	
L. AMOUNT OF THIS REQUEST (J) OR (J MINUS K)				$150,001	
M. COST SHARING: PROPOSED LEVEL AGREED LEVEL IF DIFFERENT $				$0	
PI/PD NAME: PIFullName; DATE: 1/1/1999	**FOR NSF USE ONLY** INDIRECT COST RATE VERIFICATION				Initials-ORG
ORG. REP. NAME: InstRepFullName; DATE: 1/1/1999	Date Checked		Date Rate of Sheet		

*SIGNATURES REQUIRED ONLY FOR REVISED BUDGET (GPG III.B)

SAMPLE BUDGET JUSTIFICATION

Budget Justification (Updated)

A. SENIOR PERSONNEL: PI $17,890

- **PI Wages:** Dr. Doe will serve as PI on this project. He is responsible for managing majority of the aspects pertaining to this project including the infusion, implementation, and evaluation of the proposed objectives; data collection from the administered evaluations; analysis/interpretation and timely submission of all reports, both written and financial; mentoring of undergraduate research assistances, train students to perform proper evaluation and data collection procedures; and dissemination of project results in related workshops, conferences, and journal venues. The PI's expertise in the field of science education and computer interaction informs his time commitment to this project, and his experience on related research projects will lead to successful completion of this particular project within the timeline given for this grant. Dr. Doe is on a 9.5-month appointment @ a salary of $84, 975 and committed to the project for 2 summer month per year.
    - **Total: 2 x $8,945 = $17,890**

B. SALARY AND WAGES – OTHER PERSONNEL

- No other personnel will be supported through this proposal.

C. FRINGE BENEFITS $1,610

- Fringe benefits during the summer are 9%.
    - **Total: 9% x $17,890 = $1,610**

D. EQUIPMENT

- No equipment is being request through this proposal.

E. TRAVEL $4,827

- **Domestic Travel (Two Academic Conferences):** The PI will attend SIGCSE 2020 (Portland, Oregon) since this particular community typically recognizes the PIs proposed work. During the PIs travel to SIGCSE 2020, he will meet with members of his External Evaluator and Advisory Group (who annually attend this conference) to conduct a Face-to-Face meeting regarding the project. He will also look to establish peer networks and expand upon collaboration opportunities in relation to this area of study during his attendance at this conference. Likewise, the PI will attend a second domestic conference similar to SIGCSE that also recognizes this type of work (ex. SIGCHI, HFES, ERN, or Richard E. Tapia) with the intent to further expand on his peer networks and collaboration opportunities. Overall, it is the objective that the PI will ultimately disseminate results from this proposed project at these particular conference venues. It is estimated that the cost of these conferences (collectively) are as follows: conference registrations $1200, flights $750 (per conference), hotel costs $200 per night for four nights (per conference), meals $45 per day for 4 days (per conference).
    - **Total: $1200 + ($750 x 2 conferences) + (4 nights x 2 conferences (($200/ night x 2 conferences) + ($45/day x 2 conferences)) =$4,660.00**

- **Domestic Travel (NSF HRD Meeting):** As an NSF awardee, the PI would be required to attend a two-day NSF HRD meeting in Alexandria, VA. It is estimated that the cost for attending the NSF HRD meeting are as follows: travel by car to Alexandria $77 and $45 per day for 2 days for Meals & Incidental Expenses (M&IE).

- **Total:** (**2 days *(70 miles* $0.55 mileage rate)) + ($45/day *2 days) = $167**

F. PARTICIPANT SUPPORT COSTS $60,000

- Six undergraduates will receive support for stipends and travel as part of their participation on this project.

  Stipend: 12 months support for six undergraduates is requested ($48,000.00). Each student will receive an $8,000.00 stipend a year for their participation on this project.

  Travel: Funds in the amount of $2,000.00 per student each year is requested ($12,000.00). All students will be required to attend at least one local or national conference each year (ex. Emerging Research National, Grace Hopper, or Richard E. Tapia). They will also be required to present research derived from this project at these aforementioned conferences.

  - **Total: (6 x $8,000.00) + (6 x $2,000) = $60,000**

G. OTHER DIRECT COSTS $18,876

- **Materials and Supplies:** Funds are requested at a total of **$18,876.00** to purchase complementary materials and supplies that will be critical for completing the proposed tasks for this project. These items are detailed as follows:

  Items to be purchased:

  1) **Six high performance desktop hard-drives** ($700 – Dell – Inspiron Desktop – Intel Core i5 – 12GB Memory – 1TB Hard Drive – Black with Silver Trim) = **$4200.00**
  2) **Seven monitor screens** ($630 – Dell 34 Curved Monitor: P3418HW) = **$4410.00**
  3) **One printer** (Brother HL-L2340DW Compact Laser Printer, Monochrome, Wireless, Duplex Printing) = **$125.00**
  4) **Four mobile white boards** ($275 – Luxor, 72” x 40”, Magnetic Double Sided Whiteboard with Aluminum Frame) = **$1,100.00**
  5) **Four video camcorders** ($1,000.00 – Panasonic – 4K Ultra HD Camcorder with Wireless Smartphone Twin Video Capture HC-VX870K Black) = **$4,000.00**
  6) **Four video camcorder tripod stands** ($75 – InnerTeck Tripod – 70 Inches Professional Camera Tripod) = **$300.00**
  7) **Four video camcorder microphones** ($150 – RODE – VideoMic GO On-Camera Shotgun Microphone – Black) = **$600.00**
  8) **Memory storage cards (for each of the four video camcorders)** ($100 – Panasonic Lumix DMC-FZ300 Digital Camera Memory Card 2x 64GB Secure Digital Class 10 Extreme Capacity (Sdxc) Memory Card (2 Pack)) = **$400.00**
  9) **Four voice recorders** ($65 – Sony – Digital Voice Recorder Model: ICDPX370) = **$260.00**
  10) **Twenty desktop web cameras** ($60 – Logitech HD Pro Webcam C920, Widescreen Video Calling and Recording) = **$1200.00**
  11) **A security keypad** (Lockey 2835 Marine Grade Mechanical Keyless Lock**) = $175.00**
  12) **Miscellaneous funds** are being requested at a total of **$2,106.00** to replace or service any faulty or broken supplies aforementioned.

Justification of Items: Each undergraduate research assistant will be assigned a high-performance desktop hard-drive and a curved monitor for their workstation. These items are ideal for housing data collected from the proposed evaluations, conducting sophisticated data analysis, and developing manuscripts and related documents to disseminate findings that are derived from this project. Even though the PI already has a computational Desktop system that was purchased by Computer Science department for research purposes, a curved monitor for the PI's workstation is ideal for conducting data analysis, and developing manuscripts and related documents for dissemination for this particular research project. Likewise, a screen monitor to complement the PI's current Desktop would provide the ideal dual monitor system for the PI's workstation. The research assistants will also need a printer in order to print evaluation instruments that will be used during this project. There will also be cases where certain evaluation instruments will be placed online (see Subsection 3 – Computers Services for further details). Mobile whiteboards will be required to enable the students to perform problem-solving sessions that involve conceptualizations of discussed programming paradigm and code usage. The combination of video camcorders, tripods, and microphones will be used to record and capture student activity during these programming conceptualization sessions involving the use of the whiteboards. The memory cards will be used to save, store, and secure the feedback generated from the students' interactions for analysis. The web cameras will be attached to the lab computers in the classroom in order to capture both visual and audio feedback exhibited from the students regarding their interaction with the IDE and non-IDE tools. Since focus group/interview discussions will also be conducted as part of this project, voice recorders are needed to accurately capture the participants' feedback. Since these requested materials are expensive and sensitive, a security keypad is also requested to be placed on the entry door of the lab space that houses these materials as well as the undergraduate research assistants' workstation will be secure when neither the undergraduate research assistants or the PI is in the lab. Miscellaneous funds are also requested to service or replace any faulty or broken supply throughout the year.

- **Total: (6 x \$700) + (7 x \$630) + \$125 + (4 x \$275) + (4 x \$1,000) + (4 x \$75) + (4 x \$150) + (4 x \$100) + (4 x \$65) + (20 x \$60) + \$175 + \$2,106 = \$18,876**

- **Publication Costs:** Funds are being requested of **$1,000.00** to publish the early results that are derived from this project. We project that the results will be verifiable and provide data that will produce information to be disseminated through conferences and publications in peer-reviewed journals as a result of this research. The amount will cover journal page costs as well as the production of posters for research meetings.

  - **Total: $1,000**

- **Consultant Services:** Funds are being request of **$15,000.00** to fund both the Education Research Evaluator (**Dr. Jane Wilson)** and to provide honorariums to the members of the Advisory Group. Dr. Williams will receive funding of **$5,000.00** for her services on this project, **$2,000.00** to attend the SIGCSE 2020 conference with the PI, and **$2,000.00** to travel to the PI's institution, Morgan State University, to conduct some of the summative and formative evaluations in person, and to have a face-to-face meeting with the PI to discuss the current successes of the project as well as aspects that could be enhanced. Likewise, Drs. Blue, Wines and Manning will receive an honorarium of **$2,000.00** each for their role as the Advisory Group for this project.
  ***Justification*:** Dr. Wilson will be responsible for assisting the PI with determining the overall and conclusive outcomes from this project through the employed evaluations (both formative and summative) as they relate to student performance, programming proficiency, cognitive loads, mental models, and emotional traits. Through their respective expertise in CS Education, Drs. Blue,

Wines, and Manning will be responsible for providing advisement and mentorship to the PI to aid in his ability to conduct ideal research practices and protocols that will lead to successful outcomes for this project.

- **Total: $5,000 + $2,000 + $2,000 + (3 x $2,000) = $15,000**

- **Computers Services:** Funds are being requested of **$400.00** to purchase a survey account (**SurveyMonkey Annual Advantage Plan**) that will house certain survey assessments online. The data captured from these online assessments will be extracted, housed, and secured on the computers located at PI's and research assistants' workstations. SurveyMonkey allows users to purchase accounts using an annual rate (as well as monthly). It is currently estimated that their annual rate for the *Annual Advantage* Plan is $400.00 annually.

  - **Total: $400**

- **Subawards:**
  No funds requested.

- **Other:**

  No funds requested.

H. TOTAL DIRECT COSTS $119,603

- The total direct costs are the sum of items A through G.
  - **Total: $119,603**

I. INDIRECT COSTS $30,398

Facilities and Administrative costs (or ***Indirect Costs***) at Morgan State University are 51% of the Modified Total Direct Cost (MTDC) that excludes equipment, tuition, participant support, and the subcontract amounts greater than $25,000. See table below for calculated Indirect Costs:

MTDC (Base) Formula	***Indirect Cost Calculation***
Total Direct Cost – Participant Costs = MTDC (Base) $119,603.00- $60,000.00 = $59,603.00	*51% * MTDC (Base) = IDC* **51% * $59,603.00 = $30,398.00**
TOTAL INDIRECT COST	**$30,398.00**

J. TOTAL DIRECT AND INDIRECT COSTS $150,001

- The total direct and indirect costs are the sum of items H and I.
  - **Total: $150,001.00**

K. RESIDUAL FUNDS

- None

L. AMOUNT OF THIS REQUEST

- The total amount of this request is **<u>$150,00</u>1.00**

M. COST SHARING

- None

COMPLIANCE

Assurances and Certifications

The Vice President for Research and Economic Development or the Assistant Vice President for Research Administration are the Authorized Organizational Representative (AOR) to sign supporting assurances and certifications required by sponsoring agencies. The Vice President for Finance and Management signs certifications regarding fiscal matters.

The ORA staff will provide PIs/PDs whatever assistance is necessary to complete all required assurances and certifications for proposals.

Human Subjects in Research

Morgan State University adheres to a rigorous policy for the protection of human research subjects in accordance with the United States Department of Health and Human Services regulations, 45 CFR 46. All research projects involving human subjects that are conducted under the auspices of the University, regardless of the funding source, must be reviewed and approved by the Institutional Review Board (IRB). The Office of Research Administration is the administrative unit responsible for coordinating the functions of the IRB.

Proposals involving human subjects should be submitted to ORA for assignment to the appropriate IRB, including the *proposed research protocols* and informed consent forms. A model consent form necessary for documenting informed consent of human subjects can be found in the Appendix (A-4) and online at http://www.morgan.edu/research_and_economic_development/human_subjects_research/irb_forms.html. Copies of the consent form may also be obtained from ORA or from the ORA webpage. Principal Investigators should allow at least 30 days for completion of IRB review. Following IRB review, the Principal Investigator will be advised of the outcome in writing, whether approval, disapproval, or deferred approval with suggestions for modifying the proposed protocol. Under no circumstances will a research project involving human subjects be allowed to proceed without prior IRB review and approval.

Questions regarding IRB Process may be directed to the IRB Administrator at 443-885-4340.

NIH has a requirement for documentation of education on the protection of human research participants for all investigators who submit NIH applications for grants or proposals for contracts and receive new or non-competing awards for research involving human subjects. A convenient and freeon - line tutorial for meeting this requirement is available at: Protecting Human Research Participants (http://phrp.nihtraining.com

Use of Vertebrate Animals in Research

Federal regulations require that the University assure the humane care and use of animals as research subjects in accordance with the Animal Welfare Act (P.L. 99-158). The Public Health Service (PHS) Policy further requires that institutions must have on file in the Office for Protection from Research Risks (OPRR) of the National Institutes of Health (NIH) an approved Animal Welfare Assurance document before they can receive PHS research funds.

Accordingly, the policy of Morgan State University is to take appropriate measures for the proper care and humane treatment of animals used in research, testing, and education conducted under the jurisdiction of the Institution.

To ensure compliance with this policy, the University has established the Institutional Animal Care and Use Committee (IACUC), which has the responsibility for monitoring and approving all research protocols that are conducted under the auspices of the Institution involving vertebrate animals.

Prospective investigators whose research may require the use of vertebrate animals should submit their proposals including the protocols to IACUC at least 30 days prior to sponsor deadlines to allow enough time for the IACUC Committee to review the proposal protocols. Questions regarding the use of animals in research may be directed to the IACUC Chairperson at 443-885-1530.

Hazardous Materials and Biosafety

PI/PD are expected to exercise all appropriate precautions when working with potentially hazardous materials.

Administrations and/or engineering controls must be determined prior to use of such materials. When necessary, the University safety director may assign a trained industrial hygienist or other technically qualified person to provide assistance. All incidents and potentially unsafe conditions must be reported immediately to the safety director.

Radiation Safety

The Nuclear Regulatory Commission (NRC) has licensed the University to use specific radioisotopes for research, instruction and training. Under the license the University has specific responsibilities, which it must fulfill in order to be in compliance.

A researcher proposing to use radioisotopes must meet the following requirements:

- Ensure that the University is licensed to use the proposed isotope(s).
- Have adequate training in the safe use of radioactive materials.
- Strictly adhere to all requirements for ordering, handling, storing, and disposing ofthe radioactive material.

The University Radiation Safety Officer is Christopher G. Evans and can be reached at 443-885-4451. All researchers contemplating the use of radioactive materials should first contact Chris Evans for specific guidelines and licensing procedures.

Recombinant DNA

In conducting research, that involves the use of Recombinant DNA or other hazardous biological agents, PIs/PDs must assume the following responsibilities in accordance with NIH guidelines:

1. Determine real and potential biohazards;
2. Determine the appropriate level of biological and physical containment;
3. Select the laboratory techniques and microbiological practices;
4. Devise safe procedures to minimize the risk of human and/or environmentalcontamination;
5. Determine the applicability of various precautionary medical practices;
6. Obtain approval of proposed research protocol;
7. Apply for approval from the appropriate NIH committee on Recombinant DNA;
8. Ensure that staff is appropriately trained in both safety practices and in procedures for dealing with accidents;
9. Supervise the safety performance of the staff.

The investigator must promptly report all accidents, extended illness of a worker, or any other incidents that may pose danger to humans or the environment to the appropriate Dean and the Vice President for Research and Economic Development, who will in turn alert the Biohazards committee and other relevant institutional authorities. A member from ORA will make any required reports to the NIH.

PROPOSAL COMPLETION CHECKLIST

The final copy of the proposal should look neat and should be bound only when requested. Preparing a good proposal may take anywhere from several weeks to several months; a rigid timetable may not be suitable for every application. However, setting deadlines for completing certain critical timelines will reduce the chances of submitting a hastily prepared proposal to the funding agency. Often, hastily prepared proposals are weakened because they tend to contain obvious mistakes or omissions. Some reviewers may interpret an unprofessional looking proposal as a reflection of how the Principal Investigator/University conducts research.

Table 4

QUESTION	**YES**	**NO**	**N/A**
1. Do you have a title that reflects the nature of the proposed research or project?			
2. Has the problem be clearly stated and has a good case been made for its solution?			
3. Are the project objectives clear, succinct, measurable and achievable?			
4. Is there an appropriate and logical plan for achieving the project objectives?			
5. Is there a tentative timetable for your project?			
6. Has the budget computations been checked?			
7. Is the budget justification/narrative included?			
8. Are the facilities and equipment consistent with the equipment requested in the budget? If so, have quotes been obtained?			
9. Is your abstract/survey appropriate and parallel with the final version of your technical proposal?			
10. Has a biographical sketch for each professional person listed under Key Personnel and Consultants?			
11. Is a Letter of Collaboration for each external collaborator and consultant on their letterhead?			
12. Are the necessary documentation for any consortium arrangements included?			
13. Are all assurances and certifications duly completed and properly signed?			
14. Has there been an internal review, via Internal Processing form, of the proposal/contract?			
15. Are all the pages numbered correctly and consecutively?			
16. Has the spelling and the grammar been checked?			
17. Are the CFDA # and DUNS # included?			
18. Has the Principal Investigator signed the application, if applicable?			
19. Has the authorized organizational representative(s) signed the application?			

____________________ ____________________ ____________

Print Name Signature Date

PROPOSAL PROCESSING: INTERNAL REVIEW, APPROVAL AND SIGNATURES

All proposals submitted to funding agencies by faculty or other employees of the University must go through internal review and approval prior to submission.

Primary Responsibilities

The various steps in the review chain have specific responsibilities designed to strengthen the quality of the proposal, its responsiveness to the requirements of the funding agency as well as to protect the interests of the University. The following are the primary responsibilities of the stakeholders in the chain:

- **The Principal Investigator is responsible for:**
  a. Proposal Development
  b. Technical Merit
  c. Budget Appropriateness
  d. Evaluation Section

- **Chairperson/Department Head <u>reviews</u> proposal to:**
  a.Assure academic soundness;
  b.Assure consistency with departmental goals;
  c.Assure availability of resources if awarded;
  d.Reconcile faculty release time with other responsibilities;
  e.Ascertain the contribution of proposed project to departmental advancement.

- **Dean <u>reviews</u> proposal to:**
  a.Become conversant with sponsored activities undertaken within the school or college;
  b.Ensure that proposed activity is consistent with university-wide academic policies and goals;
  c.Ensure that problems such as academic appointments, release time, leave, space allocation etc. are resolved;
  d.Ensure that the University is appropriately reimbursed for faculty time;
  e.Ensure that technical merit of proposal meets institutional standards;
  f. Ensure that source(s) of funds for any matching or cost-sharing commitments are identified, documented, and authorized.

- **Office of Research Administration <u>reviews</u> proposal to:**
  a.Ensure compliance with the University's fiscal policies;
  b.Ensure correctness of direct cost, salaries and fringe benefits computations;
  c. Verify cost sharing and in-kind contributions;
  d. Assure that University is appropriately reimbursed for services;
  e. Verify budget totals.
  f. Coordinate the internal review process;
  g.Ensure compliance with sponsor guidelines and policies;
  h.Ascertain compliance with institutional policies and mission objectives;
  i. Verify proper authorization of institutional commitments regarding matching, cost-sharing or in-kind contribution;
  j. Ensure approval by appropriate Institutional Review Board(s) when necessary.

All proposals for internal review must be accompanied by agency guidelines or instructions and the University internal processing form, a copy of which is included in the Appendix (A-1). Copies of the form may obtained from ORA or the ORA website. PIs/PDs should submit their proposals to

ORA for processing and final approval only after the proposals have been reviewed, and the processing form endorsed by the chairperson/department head and dean, respectively. ORA will obtain all other necessary endorsements and final approvals before the proposals are transmitted to the sponsor. The review process may take several days to complete; therefore, PIs/PDs should plan to submit their proposals to ORA at least five (5) days prior to the funding agency's deadline, to ensure that the deadline can be met.

The PIs/PDs should submit one hard copy of the proposal and an electronic copy in Microsoft Word with the budget in the Excel spreadsheet format.

Special Note Concerning Electronic Submissions
If the proposal is submitted electronically, the internal processing and administrative approval(s) must be completed before submission.

Signature Authority on Proposals
Generally, the Vice President for Research and Economic Development or his designee is the authorized signee on proposals. The Vice President for Research and Economic Development signs grants and cooperative agreements, whereas the Vice President for Finance & Management (VPFM) signs contracts. However, some funding agencies may require that the chief executive officer endorse the proposal. In such cases, it may be necessary to obtain the signature of the President.

Proposal Transmittal
If there is uncertainty regarding the authorizing signatory, the signature space on the proposal cover sheet should be left blank, and an ORA staff will fill in the appropriate official.

Upon completion of internal review and approval, ORA will advise the Principal Investigator that the proposal is ready for transmittal to the funding agency.

Two options are available for forwarding proposals per instructions from agency:

1. The PI/PD may choose to pick up the proposal from ORA and assume the responsibilityfor transmittal, only if required by selected Maryland State agencies.
2. ORA transmits proposals electronically through Grants.gov.

INTERNAL ROUTING FORM

<table>
<tr><td colspan="2">1. Date Submitted to D-RED:</td><td colspan="2">2. Time Submitted:</td></tr>
<tr><td colspan="4">Form Completed By</td></tr>
<tr><td>3. Last Name</td><td>4. First Name</td><td>5. Position</td><td>6. Email Address</td></tr>
<tr><td colspan="4">Principal Investigator and Institution</td></tr>
<tr><td>7. Last Name</td><td>8. First Name</td><td>9. School or College</td><td>10. Department, Center or Institute</td></tr>
<tr><td>11. Email Address</td><td>12. Cell Phone No.</td><td>13. Office Phone No.</td><td>14. Preferred method of contact
Text Email Cell Office</td></tr>
<tr><td colspan="2">15. Is this a resubmission?</td><td colspan="2">16. Funding / Sponsoring Agency or Organization</td></tr>
<tr><td>17. Announcement Number</td><td colspan="2">18. CFDA Number</td><td>19. Amount Requested</td></tr>
<tr><td colspan="4">20. Proposal Title</td></tr>
<tr><td colspan="4">Other Key Personnel</td></tr>
<tr><td>21. Investigator Name</td><td>22. College / University</td><td>23. Email Address</td><td>24. Cell Phone No.</td></tr>
<tr><td></td><td></td><td></td><td></td></tr>
<tr><td></td><td></td><td></td><td></td></tr>
<tr><td></td><td></td><td></td><td></td></tr>
<tr><td colspan="4">Funding and Project Information</td></tr>
<tr><td colspan="2">25. Type of Funding Federal State
Local Other</td><td colspan="2">26. Location of work On-Campus Off-Campus</td></tr>
<tr><td colspan="2">27. Type of Project Grant Contract Sub
Cooperative Agreement Supplement</td><td colspan="2">28. Indirect Cost Rate (unless otherwise specified in the RFP this should be the standard university rate of 51%):</td></tr>
<tr><td>29. Proposal Due Date</td><td>30. Project Start Date</td><td>31. Project End Date</td><td>32. Expected Notification Date</td></tr>
<tr><td colspan="4">33. Is cost-share mandatory? Yes No If yes, what amount / percent:</td></tr>
<tr><td colspan="4">34. Does this project require a signed MOU/MOA, Education Partnership Agreement, or any pre-project agreements?
Yes No</td></tr>
<tr><td colspan="4">35. Are you seeking funding via Interagency agreement (IA)? Yes No
If yes, state the Maryland Agency: ____
Contact: Ms. Kimberly Williams, Kimberly.williams@morgan.edu AND Dr. Timothy Akers, timothy.akers@morgan.edu, for immediate assistance.</td></tr>
<tr><td colspan="4">FOR INTERNAL USE ONLY</td></tr>
<tr><td colspan="2">36. Proposal Number</td><td colspan="2">37. Date Submitted</td></tr>
<tr><td colspan="4">QUESTIONS? CONTACT</td></tr>
<tr><td colspan="2">Grant Manager: Ailing Zhang
Phone: 443.885.4118
Email: ailing.zhang@morgan.edu Portfolio:
All MSU Proposal Submissions</td><td colspan="2">Research Budget Develop Specialist: Deshun Li
Phone: 443.885.3309
Email: deshun.li@morgan.edu
Portfolio: ALL Budgets submissions</td></tr>
</table>

INTERNAL ROUTING FORM PAGE 2		
PI NAME:	**PROPOSAL TITLE:**	
37. CONFLICT OF INTEREST (CoI): Is there a need to disclose a Conflict of Interest? Do you have interest, service, employment or other relationship with a collaborator or partner?	⌋ YES NO	If yes, please attach additional sheet and explain.
38. Will the project will require the following resources: Renovation, Construction, or Space?	⌋ YES NO	
39. Purchase or maintenance of equipment, apparatus, or furniture **NOT** included in the proposal	⌋ YES NO	
40. Expanded utility (or Network) services to support project (e.g., Computers, Fume Hoods, Air-Conditioning)	⌋ YES NO	
41. Additional personnel requiring funds NOT included in the proposal or likely to require support of space AFTER the project	⌋ YES NO	

42. Faculty release time requested?	⌋ YES NO If yes, what percent per semester?	Fall_______% Spring_______% Summer_______%

43. Human subjects research?	YES NO	If Yes, has protocol been reviewed by IRB?	YES NO
44. Animal subjects research?	YES NO	If yes, has protocol been reviewed by IACUC?	YES NO

45. Planned or potential use of radioactive materials? *(Note: PI must be a permit holder or authorized under a current permit)*	⌋ YES NO	If yes, please attach additional sheet and provide a brief summary
46. Planned or potential use of (a) ionizing radiation device *(e.g., accelerators, x-ray machines [diagnostic, therapy, diffraction], electron microscope, reactor or fusion devices) and/or (b) non- ionizing radiation device (e.g., laser, ultraviolet, microwave, radio or ultrasonic frequency)?*	⌋ YES NO	
47. Does this project involve the Morgan Community Mile?	⌋ YES NO	
48. Have you been barred, suspended or excluded from participating in Federal or State funded projects/programs?	⌋ YES NO	
49. Have you been convicted in the preceding three years of any offenses listed in 2 CFR part 180.800(a) or had a civil judgement for one of those offenses within that time period?	⌋ YES NO	
50. Are you presently indicted for or criminally or civilly charged by a governmental entity (Federal, State, Local) with commission of any of the offenses listed in 2 CFR part 180.800(a)?	⌋ YES NO	

CERTIFICATION

I certify that:

1) This project has been thoroughly discussed with my Department Head and that I have not committed the institution to expenses which are not covered in the grant except for "in-kind" contributions or cost share which I have thoroughly discussed with the Department Head and the Dean, who both have agreed to fund such expenses from their budgets;
2) The information submitted within the application is true, complete and accurate to the best of the principal investigator's (PI) knowledge;
3) Any false, fictitious, or fraudulent statement or claim may subject the PI to criminal, civil, or administrative penalties of local, state, and federal statutes;
4) The PI agrees to accept responsibility for the scientific conduct of the project and to provide the required progress reports if a grant is awarded as a result of the application.

PI (or Project/Program Director) Signature:____Date: ____________________

Co-PI (or Co-Project/Program Director) Signature:_____________________________________Date: ____________________

Primary Applicant	**MSU Co-PI/Co-PD**
Department Chair Signature:__________________Date: __________	Department Chair Signature:__________________Date: __________
Dean Signature:__________________________Date: __________	Dean Signature:__________________________Date: __________

Grants Administrator Signature:____Date: __________________

Grant Manager Signature:____Date: __________________

AVP for Research Administration Signature:__________________________________Date: __________________

PROPOSAL PROCESSING FAQ

What if I need to revise my proposal?
Sometimes, negotiations with the sponsor may dictate that either the cost proposal or the technical proposal or both be revised before an award is made. In such instances, the revisions must go through the same internal processing procedures for review and approval as the initial proposal.

What if my proposal is declined?

If the sponsor declines a proposal, ORA should be informed IMMEDIATELY so that records may be updated. The PI/PD should contact the sponsoring agency for reviewers comments. These critical comments are often helpful especially if a resubmission to the same agency or to another sponsor is contemplated.

What if my proposal needs to be withdrawn?

If a proposal is to be withdrawn for any reason, ORA should be contacted prior to submission of the withdrawal request to the agency. Generally, the withdrawal request should be generated and transmitted by ORA.

PROPOSAL DEVELOPMENT & SUBMISSION OVERVIEW

At this point, the Principal Investigator and the Office of Research Administration have worked together in developing reviewing and submitting the proposal.

- After submission, agency will provide confirmation and a tracking number for theproposal. This is provided to the ORA and the PIs/PDs.
    - PIs/PDs can visit online agency portal to check status of proposal.
- Decision-making usually takes about 3-9 months, dependent on sponsor.
    - A decision is sent to the ORA and then sent to PIs/PDs. (Awarded or Declined).

Table 5

Awarded	Declined
• Celebrate! • Contact ORA and Restricted Funds Accounting (RFA) for the processing of the award. • Meet with ORA to begin award administration regarding Post Award briefing.	• PIs/PDs should review the proposals critiques made by the agency to understand the strengths and weaknesses of the proposal.

<u>14 Reasons Why Proposal Are Rejected</u>

1. Missed deadline.
2. Guidelines were not followed.
3. So what? Your idea is not innovative.
4. Not currently a significant issue.
5. Idea did not align with sponsor priorities.
6. Proposal incomplete.
7. Incomplete literature review.
8. Insufficient knowledge of subject area.
9. No pilot study, if applicable
10. Methodology is not sound.
11. Proposed costs were not allowable, allocable or reasonable.
12. Poorly written.
13. Not interdisciplinary.

POST AWARD MANAGEMENT

Award Acceptance

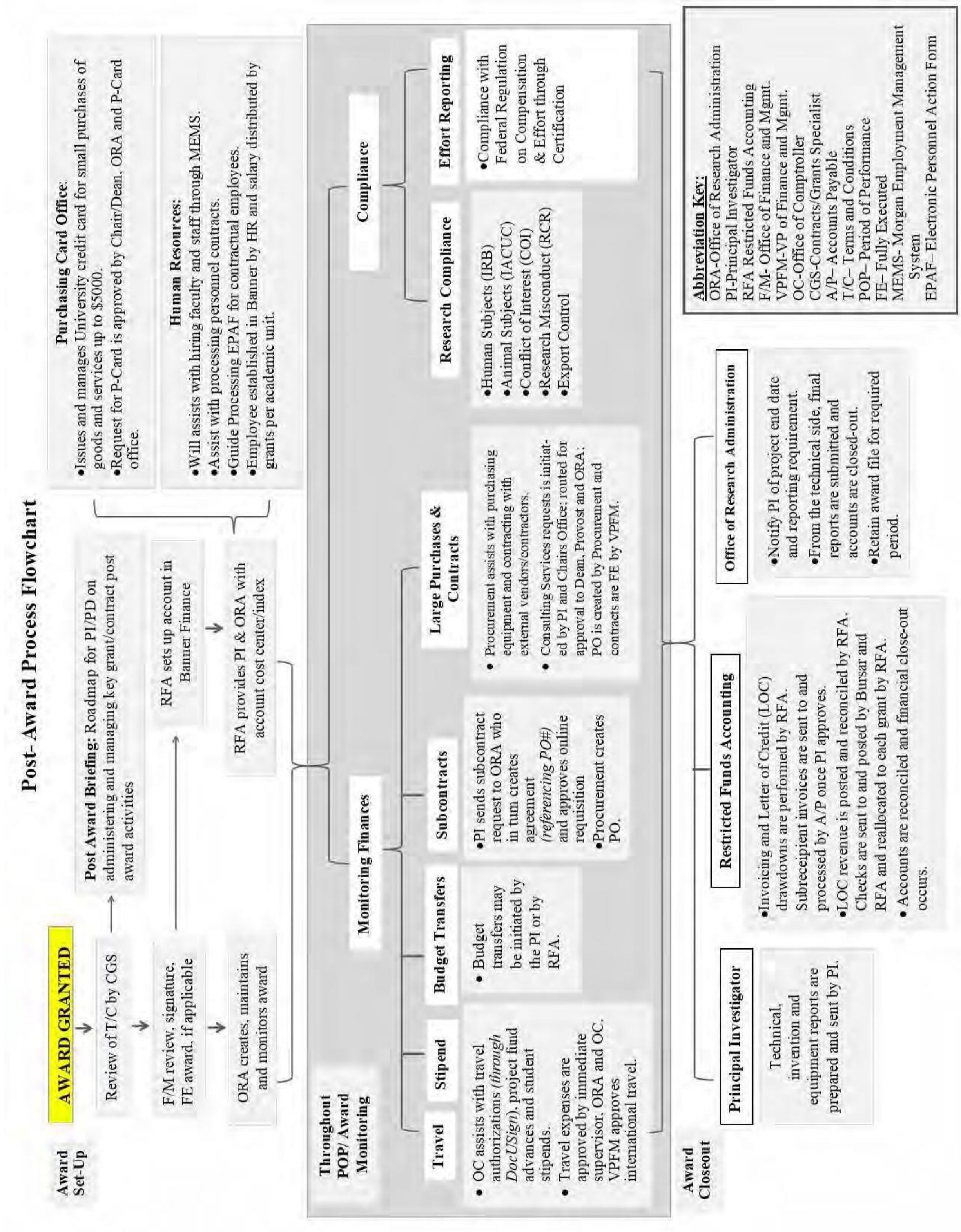


Figure 4

Notification of a sponsored program award to the University may be simply an award letter, a purchase order, a detailed contract, or an agreement spelling out the terms and conditions of the award. The award is made to the University, not an individual.

Generally, the notification of award goes to the Assistant VP for RA who will send copies to the PI/PD and the VP for Finance and Management. The Office of Restricted Funds Accounting will also be notified. If award notices (or letters of decline) are sent directly from the funding agency to the Principal Investigator or other University officials, original copies should be forwarded to ORA.

> **Note:** *Awards for proposals that did not undergo the normal internal processing, review, and approval through ORA may be refused by the University. In all cases, the University is not obligated to accept an award.*

Setting up the Award

Restricted Funds Accounting
Project Account Number

After an award has been formally accepted by the University, the relevant documents are sent to the RFA, which then assigns an Index or Budget code number for the award and sets up the account in the University's financial reporting system (Banner). The Comptroller's Office is notified as well. This process typically takes three days or less. ORA is notified once the Index/Budget code number is assigned.

POST AWARD MANAGEMENT SUPPORT

A Post-Award briefing is required and arranged by ORA

Office of Research Administration: The ORA staff will assist you in all post-award activities and will help address any concerns and questions you may have about the award, with respect to institutional processes, compliance requirements, financial administration of projects, as well as help obtain sponsor approvals and no-cost extensions as needed.

Particular functions include:

- Assistance with award extension requests, continuations, renewals and modification
- Changes in principal investigators/key personnel
- Subaward agreements
- Human subjects, animal subjects, hazardous material, financial conflict of interestcompliance and export controls.
- Award closeout
- MOUs, non-disclosures agreements, teaming agreements, etc

Office of Human Resources

- Assist with hiring faculty and staff
- Assist with processing personnel contracts

Office of Procurement

- Assist with purchasing equipment
- Assist with contracting with external vendors/contractors

Office of the Comptroller

- Assist with travel authorization
- Grants access to use your budget code/index in Banner

Purchasing Card Office

- Issues and manages University credit card for small purchases of goods and services up to $5,000.00

Principal Investigators should be aware that they are responsible not only for meeting the technical requirements of the award, but also they are responsible for the award.

Therefore, they should always ensure that:

- Allocations are available for object code expenditures;
- Expenditures have been properly approved;
- Expenditures are consistent with proposed budget;
- Expenditures are consistent with sponsor guidelines and University policies.
- Spend, Monitor & Report

SPENDING

Personnel Hiring:
Although all personnel hiring at the University is processed by the University's Office of Human Resources, all requisitions for hiring under sponsored project accounts must have prior ORA approval before submission to the Human Resources Office for processing. PIs/PDs should contact the Human Resources Office to get answers to questions on University hiring policies and procedures, and to obtain the appropriate forms as soon as possible following the notification of award; some forms are online (See Human Resources under Division of Finance & Management). One should initiate the processing of requisitions before the proposed starting date for new personnel.

A Principal Investigator shall not engage new personnel to work on a project before a legally binding personnel contract becomes effective. Payment for such services rendered prior to the effective date of the approved contract may be disallowed and may become the personal liability of a Principal Investigator or designee who ignores this provision.

Purchasing:
All requisitions for purchasing equipment and materials for sponsored projects are submitted electronically using the Finance Management System (BANNER). The routing queue for the requisition approval process will be electronically forwarded to the department & divisional authorities: Director/Dean, Vice President and the Budget Officer in ORA. Once approved by the Budget Officer, the requisition populates in Procurement for final processing and execution. PIs/PDs are strongly encouraged to verify appropriate funding in budget prior to requisition submission. PIs/PDs should find the following suggestions from the Procurement Office helpful:

> ***All goods such as supplies, materials and equipment are requested with a purchase requisition or procurement card, irrespective of funding source. Services such as consultants, transportation services, equipment rentals, maintenance agreements, entertainment, etc., are requested by submitting a requisition and supporting contracts. Purchase requisitions are completed online.***

Processing time begins when the item is received in the Procurement Office. The State of Maryland Procurement Regulations requires that the procurement of certain commodities, services, and maintenance agreements be obtained through competitive methods (price quotes, verbal bids, sealed bids, etc.). Minority Business Enterprise (MBE) participation is encouraged. The following is a summary of State Regulations that must be followed with regard to all procurements: (https://www.morgan.edu/finance_and_management/office_of_procurement_and_property_control/commodities.html)

Commodities Purchases (excluding furniture)
Departments with Procurement Credit Cards are allowed to make purchases up to $5,000 without prior authorization from the Procurement Department. All other purchase requestsare submitted via purchase requisitions to the University Comptroller's Office for fund certification. Requisitions of $2,500 to $5,000 require 3 quotes and should be maintained as a part of the end users record (solicited by the requesting department). Normal processing time for the issuance of a University purchase order to a vendor is approximately four (4) working days after receipt in the Procurement Department. Once the vendor is selected, the vendor ID must be placed in the electronic requisition.

All procurements reasonably expected to be greater than $5,000 must be processed by the Procurement Department. Purchases of $5,000 to $25,000 must be posted on the bid board for 3 to 10 days. Processing time requires 10 business working days. Purchases in excess of $25,000 must be published in the eMaryland Marketplace for at least 30 days. These purchases require at least 45 working days to process.

All goods such as supplies, materials and equipment are requested through BANNER with a purchase requisition or procurement card, irrespective of fund source. Services such as consultants, transportation services, equipment rentals, maintenance agreements, entertainment, etc., are requested by submitting an electronic requisition, in Banner.

Commodities Purchases (Furniture)
Unless a waiver is provided, furniture must be procured from Maryland Correctional Enterprise (MCE). Waiver requests must be submitted (in narrative form) along with the requisition explaining the reason for the waiver. The Procurement Department will evaluate, along with SUI, and respond expeditiously. NOTE: A bid quote will not have to be obtained for furniture, supplies, etc., available through State contracts.

Other Contractual Services (excluding Maintenance Agreements and Data Processing)
Requests $2,500 to $5,000 require 3 bids, see Putting Together the Pieces (MSU's website under Procurement) (solicited by the requesting department). The requesting department must submit quotation documents indicating bidder's name, address, telephone number, and bid quote. The department must maintain quotes in their records. Processing time is approximately either (8) working days subsequent to receipt of documents, depending on the availability of the item or service.

All procurements valued in excess of $5,000 must be processed by the Procurement Department. Purchases valued $5,000 to $25,000 must be posted on the bid board for up to 10 days. Requestors are required to provide specifications or scope of service depending on the type of item or service. It is very important, therefore, that a great deal of care be taken in the development of specifications or scope of service to ensure that the requestor obtains the level of service or product quality that is desired. These purchases require 10 working days to process. Purchases in excess of $25,000 must be published in the eMaryland Marketplace for at least 30 days. Requestors must provide very comprehensive specifications or scope of service to ensure that the desired product or service is procured. These purchases require at least 45 to 60 working days to process.

Data Processing
Data processing equipment and services are usually available through State contracts. A bid quote is not required for State contract supplies and services. Requests for materials that are not handled through State contract will follow above guidelines

Maintenance Agreements
A bid quote is not required for maintenance agreements, if only one source exists which meets the requirements as related to the comparability of the equipment or service for existing equipment.

Ethics Law – Procurement Provisions

The purpose of this memorandum is to provide an overview to the Public Ethics Law (Md. Code Ann., State Gov't. §15-508 (Supp. 2005) related to procurement issues and the ethics provisions contained in the State General Procurement Law (Md. Code Ann., State Fin. & Proc. Title 11 et seq. (Supp. 2005)). It also provides some guidance on these issues based on questions to which the Commission and Commission staff have responded both formally and informally.

Procurement Specifications Involvement (Section 15-508) – In 1994, pursuant to the recommendations from the Legislative Joint Task Force on Maryland's Procurement Law, the General Assembly enacted amendments to the Public Ethics Law to restrict certain activities of individuals who are involved in assisting executive agencies in drafting specifications, invitations of bids, and requests for proposals. It is important to understand:

a. Executive agencies include all State executive branch agencies (including community colleges, each county's Sheriff's office and State Attorney's office, and some otheragencies that might be considered local for some purposes.

b. If an individual assists an executive agency in drafting specifications, invitations of bids, or requests for proposals, the individual and the entity or person that employs the individualmay not submit a bid or proposal in that procurement or assist or represent another person in submitting a bid or proposal.

SOLE SOURCE DETERMINIATION/PROCUREMENT

Purpose?
The purpose of a sole source determination is to procure goods and/or services that no other entity can provide. The service that the vendor offers is so unique that no one else can make it, do it or sell it. In some cases the vendor has proprietary code that others have to obtain permission to access. To make sure that there is only a single provider of the service, conduct an internet search on what you are interested in on the web and call vendors for clarification. While this is not a complicated process, Procurement must ensure that the appropriate procurement method is being used to ensure competition.

When Should a Sole Source be used?
If the vendor is the only one that can build a certain type of equipment or an individual belongs to an small unique group of people who possess a very rare and specialized skill, types of examples would qualify as sole source. When in doubt, give Procurement a call at 443-885-3074. Any buyer can help you with questions that you may have. You can also consult MSU's Policies and Procedures Manual on MSU's web page.

Sole Source Procurement
A Sole Source Determination Form must be submitted with a requisition explaining the reason why the purchase is a sole source request. The Procurement Department will evaluate and respond expeditiously.

Form?
Give Procurement a call 443-885-3074 for a copy. You can also access the form from the Faculty and Staff link on MSU's web page by selecting Online Forms (4 pg. document).

Emergency Procurement
Emergencies are considered when unforeseen circumstances arise. An Emergency Justification Form must be submitted with a requisition explaining the reason for the emergency request. The Procurement Department will evaluate and respond expeditiously. All supporting documents must be submitted to Procurement department as it relates to the request. The requisition number should be places on the supporting documentation for identification purposes.

Additional Procurement Procedure Information
1. If feasible, when contracting for services, a standard form contract should be utilized. If this is not practical, the requestor shall develop an appropriate contract in consultation with the University's General Counsel's Office through the respective Vice President's Office. The contract should be approved for legal form and sufficiency prior to the bidding of services. Delay in the development ofa legally sufficient contract will delay procurement of services.

2. All food service requests must be coordinated through the University's Events Office (443-885-4143).

Note: Most of the procurement processes have been automated and can be executed electronically via the University BANNER system. All PI/PD should contact the Procurement Office (443-885-3074) for guidance and training on using the procurement module in the BANNER system.

All equipment purchased with extramural funds must be properly tagged and inventoried by the Department of Procurement and Property Control. PI/PD should contact the department at the Washington Service Center on 443-885-3114 for the appropriate procedures.

Since title to all equipment purchased under a sponsored project is vested in the State, under Federal Regulations, the PI/PD cannot dispose of, or transfer equipment without proper approval.

Traveling:

In-State Travel-Investigators whose projects involve in-state travel should follow the following steps for reimbursement of travel expenses:

1. Complete State of Maryland Expense Account Form. (This form may be obtained onlineat http://www.dbm.maryland.gov/agencies/Pages/FleetManagementServices.aspx).
2. Follow instruction on the Form and obtain the required signatures(department head, supervisor, dean, or division vice president as applicable).
3. ORA verifies funds availability and approves.
4. ORA forward request to the Comptroller's Office for processing and reimbursement.

Out-of-State Travel- Investigators whose projects involve out-of-state travel should follow the following steps for authorization of travel expenses. The University has an established procedure for approval of out-of-state travel that applies to all employees. Faculty should contact the University general accounting unit on 443-885-3045 for travel questions. For travel under Sponsored Project Accounts, the following steps apply in the approval process:

1. Complete a pre-numbered out-of-state approval request form. (This form may be obtained http://www.morgan.edu/Documents/ADMINISTRATION/Comptroller/COMP01_travel-outofstate-requestform.pdf)
2. Follow instructions on the form and obtain the required signatures (departmental head, supervisor, dean, or division vice president as applicable).
3. Submit form with the appropriate signatures to the Office of Research Administration.
4. ORA verifies funds availability and appropriateness and approves.
5. The request is sent from ORA to the Comptroller.
6. Final approval is given and out-of-state authorization is issued by the Vice Presidentfor Research and Economic Development.
7. PIs/PDs pick up authorization form from the office of the Vice President for Research and Economic Development. This form should be attached to theexpense account report form after the trip for reimbursement.
8. ORA forwards request to the Comptroller's Office for processing and reimbursement.
9. Principal Investigators who wish to receive a travel advance should ensure that a completed advance request form is attached to the travel approval form initially. In such cases, the investigator will normally be advanced 70% of the estimated totalcost, if the travel is approved.

The Office of the Provost requires investigators to submit their travel approval requests to ORA at least thirty (30) days prior to the intended date of travel.

Virtually all sponsors require prior approval for travel overseas unless the sponsored project is to be conducted outside the continental United States, or the necessity for such travel was explained in the proposal. Government policies governing international travel require that U.S. flagged carriers must be used wherever possible.

Principal Investigators planning international travel should submit their requests not less than 30 days in advance of the contemplated travel date to allow sufficient processing time, and to enable PIs/PDs to take advantage of any discount travel rates. The procedures are similar to those for out-of-state travel.

Special Travel Exemptions:

For PI/PD under certain special awards (e.g., NASA/USRA) the Comptroller will do the final processing and grant final approval of all travel requests

MONITORING

Changing Principal Investigator: Circumstances may occasionally arise which necessitate the selection of a new Principal Investigator or Co-PI/PD for an active sponsored project. The new appointment can only be made with the concurrence of the departmental head, the dean of the school or college and ultimately, the sponsor. The request for a change should provide an explanation of why the change is necessary and also include the vita of the new Principal Investigator and/or Co-PIs/PDs, and should be channeled through the Assistant Vice President for ORA to the sponsor.

No-Cost Extension: If a PI determine that more time will be needed to complete work on a sponsored project beyond the expiration date of the award, a no-cost extension may be requested from the sponsor. The Principal Investigator should notify ORA in writing about the need for a no-cost extension at least forty-five (45) days prior to the expiration date of the award. ORA will work with the Principal Investigator to obtain the sponsor's approval.

Transfer of Award from Another Institution: A new faculty member may wish to transfer an award from a previous institution from another to the University. Such a transfer must have the approval of both the sponsor and the previous institution. If approval is granted, the Principal Investigator should prepare a new or revised proposal for internal processing and submit to ORA for further processing.

Transfer of Award to Another Institution: Occasionally, a Principal Investigator may accept an appointment in another institution before the expiration of an award received while employed by the University. If the University elects to retain the project, a new Principal Investigator will be appointed to take over the project, following the process described in the preceding section. The departing Principal Investigator may be retained in the project using a subaward or a consultant agreement.

Should the University elect not to retain the project, the departing Principal Investigator must send a request to transfer the unspent portion of the award to the new institution. Such a transfer must be approved by the department head, the dean of the school or college, and ultimately by the sponsoring agency. Approved transfers occur only after final accounting and certification by the responsible grant accountant that all incurred obligations have been settled, and a balance remains for transfer to thenew institution.

Expanded Authorities: In an effort to simplify grants management for grantee institutions, NIH has waived cost- related and other prior-approval requirements for many activities and expenditures, and provided authority for these activities and expenditures to the grantee. These operating authorities are termed "expanded authorities." The following chart presents a summary of expanded authorities.

Summary of Expanded Authorities	
May exercise as expanded authority	Except for…(see below)
Carryover of unobligated balances from one budget period to the next	Centers (P50, P60, P30, other), cooperative agreements (U), Kirschstein-NRSA institutional research training grants (T), non-Fast Track Phase I SBIR and STTR awards (R43 and R41), clinical trials, and awards to individuals, or if the NGA indicates otherwise.
Cost-related prior approvals, including research patient care costs and equipment	If the scope would change.
Extension of final budget period of a project period without additional NIH funds	If the grantee already has given itself one extension of up to 12 months.
Transfer of performance of substantive programmatic work to a third party (by consortium agreement)	If the transfer would be to a foreign component or it would result in a change in scope.

Prior-Approval Requirements 2CFR Part 200

The chart below, which is provided for guidance only, summarizes the activities and/or expenditures that require NIH prior approval. For the prior-approval requirements specified, approval is required whether or not the change has a budgetary impact and whether or not the grant also is subject to expanded authorities.

Summary of Actions Requiring NIH Prior Approval	
NIH prior approval is required for	the following circumstances listed below:
Alterations & Renovations (A&R)	Re-budgeting into A&R costs that would exceed 25 percent of the total approved budget for a budget period. If re-budgeting would not meet this threshold but would result in a change in scope.
Capital expenditures (construction, land, or building acquisition)	All instances when purchase proposed; any proposal to convey, transfer, assign, mortgage, lease, or in any other manner encumber real property acquired with NIH grant funds.
Change in scope	All instances.
Changes in status of key personnel	Withdrawal from the project; absence for any continuous period of 3 months or more; reduction of time devoted to project by 25 percent or more from level in approved application.
Change of grantee organization	All instances.
Carryover of unobligated balances	If the NGA indicates that the grantee does not have the authority to automatically carry over balances.
Deviation from award terms and conditions	All instances. Includes undertaking any activities disapproved or restricted as a condition of the award.
Foreign component added to a grant to a domestic organization	All instances.
Need for additional NIH funding	All instances, including extension of a final budget period of a project period with additional funds.

Retention of research grant funds when K award made	All instances.

Summary of Actions Requiring NIH Prior Approval	
NIH prior approval is required for	the following circumstances listed below:
Second no-cost extension or extension greater than 12 months	All instances.
Transfer of funds between construction and non-construction work.	All instances.
Transferring amounts from trainee costs	All instances.

The University's approval process for all procurements and expenses of sponsored projects is somewhat more restrictive than agency requirements for prior approval authority. However, ORA will provide whatever assistance is necessary to Principal Investigators to facilitate the procurement process. In all cases, Principal Investigators seeking approval for procurements and expenses under sponsored projects should ensure that such procurements and expenses are allowable under the award. Incurring pre-award costs becomes the risk of the University if funding is reduced or not approved by the sponsor. The University, therefore, does not readily approve such cost risks.

In many cases, budgets may also be adjusted by the grantee institutions without prior approval. However, since the amounts vary by sponsor, please see ORA prior to planning expenditures based on budget line item adjustments. In all cases, formal University approval must be rendered by ORA in conjunction with the funding sponsor

SUBRECIPIENT MONITORING

Introduction/Purpose
As a condition of its acceptance of funding from sponsors, the University has the obligation in its role as prime recipient to undertake certain stewardship activities to comply with federal, state and local regulations. Responsible stewardship of sponsor funding requires oversight and monitoring of subawards issues by Morgan State University. Federal sponsors under 2 CFR 200.331 require determination of eligibility, compliance with award terms and conditions and monitoring of federal pass through funds awarded by the University to its subrecipients.

The intent of the procedure is to:

- Promote proper stewardship of funds paid to subrecipients;
- Promote appropriate institutional and Principal Investigator responsibilityand accountability for contractual subrecipient relationships;
- Promote compliance with federal, state and other legal requirements related tosubrecipient monitoring;
- Ensure that the University and its primary sponsors receive value for the subawardfunds expended;
- Ensure achievement of Scope of Work;
- Ensure appropriate determination of a subrecipient relationship and eligibility

Applicability
This procedure applies to all subawards issued under the sponsored awards made to Morgan State University regardless of the primary source of funding. The procedure does not apply to consultant agreements or procurement of goods or services from vendors.

Definitions

Subaward
A ***subaward*** is issued to a **subrecipient** for assistance in carrying out a specified programmatic effort on the sponsored project, and the University passes-through a portion of the sponsored award to the other entity. Subawards are called subgrants, subagreements, or subcontracts. All the terms and conditions that are part of the prime award, which are applicable to the type of **subrecipient** entity involved, must be included in the subaward document. The term subaward also includes awards made by a **s**ubrecipient to a lower tier **s**ubrecipient with prior approval.

Subrecipient
A ***subrecipient*** is a legal entity to which a subaward is made and which is accountable for the use of the funds provided in carrying out a portion of Morgan State University's programmatic effort under a sponsored project. A **s**ubrecipien**t** has responsibility for programmatic and/or administrative decision-making and adherence to the applicable sponsored program compliance requirements.

Procurement
A ***procurement*** is the mechanism generally used by the University to purchase goods or services for the benefit of the sponsored project. The entity paid for the goods or services is a ***vendor***.

Vendor
Vendors provide goods or services necessary to conduct the research or other programmatic effort and are not responsible for the results of the effort. Vendors provide similar goods or services to many different purchasers. A vendor is only required to meet the terms of the procurement instrument and is not subject to compliance requirements of a sponsored program.

GENERATING A SUBAWARD

1. MSU receives an award with approval for a subaward scope of work.

2. A Subaward Request Form ***is initiated for each proposed subrecipient*** by the PI/PD. The PI works with the Contracts Specialist to collect the required information and documents necessary to complete the subaward request, including Statement of work (SOW), Budget and Budget Justification, Deliverables, and Performance Period. The Subaward Request Form helps ensure that the request is complete and all required documents are attached in order to establish a subaward.

3. Once the subaward request packet is complete and endorsed by the PI, the request is submitted by the PI to the Contracts Specialist in ORA. The Contracts Specialist reviews the packet to ensure completeness and accuracy and conducts a compliance review. If the request is actionable, the Contracts Specialist enters the subaward data in the record and assigns a tracking ID.

4. Contracts Specialist processes the agreement for administrative endorsement by VPRED on behalf of MSU. The partially executed agreement is transmitted to the recipient institution with a copy to the PI.

5. The fully executed agreement signed by the recipient institution is returned to the Contracts Specialist. The fully excuted agreement is filed and copies forwarded to ORA, RFA, PI and other pertinent entities.

NOTE: F&A is assessed on the first $25,000 of each subaward for a project period. When the renewal comes around, the F&A is assessed again, on the first $25,000 of each subaward. However, it is not assessed beyond the first $25,000 on continuation proposals.

Division of Research and Economic Development
Processing or Issuing Subaward/Subcontract Agreements
(MSU as Prime Institution)

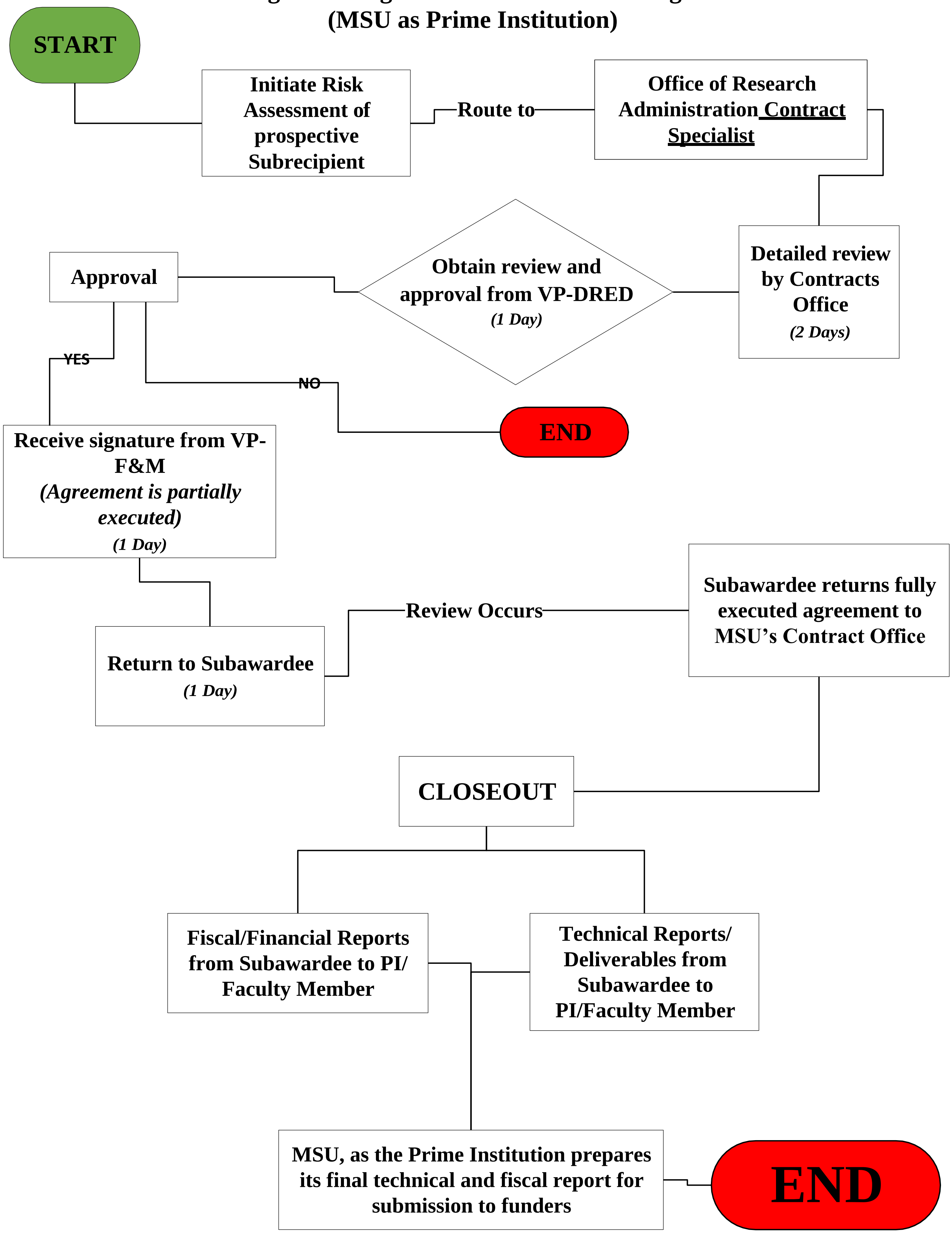


Figure 5

Managing Subaward/Subcontract Agreements

(Morgan State University as the Subrecipient)

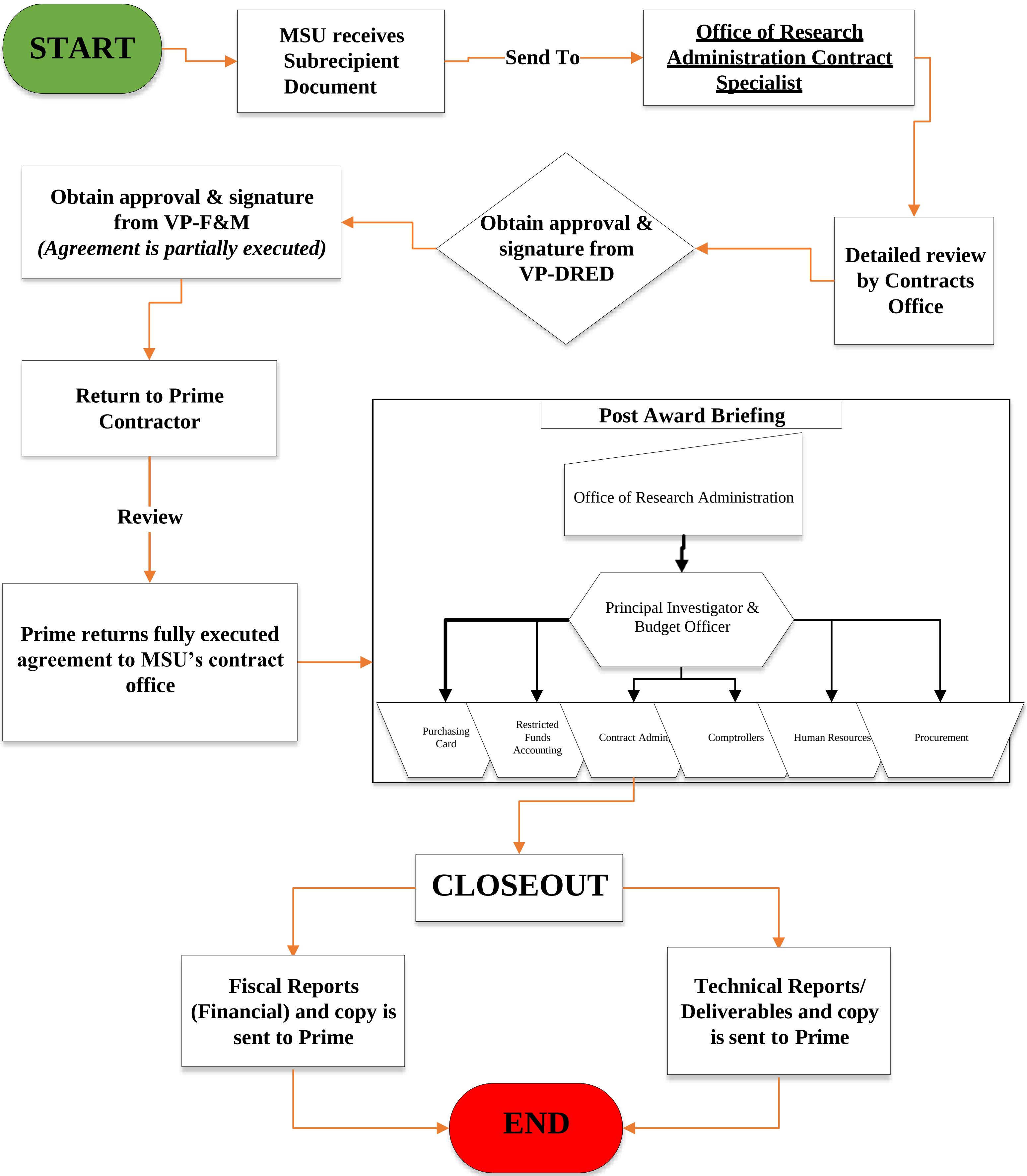


Figure 6

SUBAWARD ISSUANCE REQUIREMENTS

Subrecipient Review/Risk Assessment

Specific subaward issuance responsibilities include the:

1. Determining activity or activities as a subward, which appropriately reflect an assistance ship relationship in support of carrying out a portion of the Federal award.

2. Issuing subaward only to eligible organizations and entities.

3. Providing clear *identification* of the required award performance and management information;

4. Evaluating of each subrecipient risk of noncompliance with the award terms and conditions;

5. Imposing of specific subaward conditions required to mitigate risk, if applicable;

6. Monitoring of subrecipient compliance with award terms and conditions;

7. Ensuring each subrecipient of federal pass-through funds is audited as required;

8. Ensuring adjustments are made to records and/or award terms, if auditing or monitoring requires such adjustments; and

9. Ensuring that actions for noncompliance are taken.

SUBRECIPIENT MONITORING REQUIREMENTS

The University shall perform the following core compliance activities with regard to monitoring subrecipients:

- Assess subrecipients risk of noncompliance/nonperformance;
- Routine receipt and review of Technical Performance Reports to ensure performance goals are achieved;
- Routine review of Expense-to-Budget to ensure that funds are used by subrecipient for purposes authorized in the negotiated agreement;
- Conduct periodic desk audits or onsite visits, as required;
- Confirm subrecipients expending an aggregate of $750,000 or more in Federal funds during the subrecipients' fiscal year are compliant with 2 CFR 200 Subpart F audit requirements;
- Review of Single Audit and other audit reports filed by subrecipient; determine whether identified audit findings could have implications for noncompliance for MSU determination whether action may be required with regard to those subawards.
- Take action regarding subrecipient sanctions in cases of noncompliance or continued inability or unwillingness to have required audits or to correct non-compliant findings.
- Rank subrecipient from greatest risk (high risk) to the least risk (low risk). *(see next page)*

- [6]**Types and Levels of Monitoring**: Based on the results of the risk assessment, a subrecipient will be assessed as being a low, medium, or high risk. These risk levels will determine which monitoring standards and procedures the monitors should use.
- The **high risk** monitoring level will include more intense testing of financial and program data and reporting. The basic objectives of high risk monitoring are:
  - The reliability of internal controls.
  - To verify that program objectives met.
  - The reliability of the subrecipient financial and programmatic reports.
  - To test if costs and services are allowable and eligible.
- The subrecipient classified as **medium risk** are monitored for compliance issues focusingon allowable costs and program eligibility. The basic objectives of medium risk monitoring are:
  - To verify that program objectives are being met.
  - To test the reliability of the subrecipient's financial and programmaticreports.
  - To test if costs and services are allowable and eligible.
- The subrecipient classified as **low risk** will be monitored for operational changes. Low risk monitoring can be conducted by the District agency, through completing a desk review, conducting a telephone interview, or analyzing the results of an assurance questionnaire. Low risk entities are subrecipient that expend less than $25,000 annually and other subrecipient assessed as being a low risk. The objective of the low risk monitoring is to identify major operational changes. Based on the desk review, the telephone interview, or the results of the assurance questionnaire, a determination will be made as to whether or not to revise the initial risk assessment and if additional monitoring is needed.

- Prepare Subrecipient Risk Assessment Matrix

SUBRECIPIENT MONITORING ROLES & RESPONSIBILITIES (MSU)

Principal Investigators (PI/PD)

- Principal Investigators (PI/PD) have responsibility for the appropriate determination of subrecipient vendor relationship, selection of subrecipient, and monitoring subrecipientsto ensure compliance with federally mandated and subaward terms and conditions.

- The PI/PD, consistent with the University’s Conflict of Interest Policy, is responsible for disclosing any interests or relationships with the subrecipient entity. If a conflict exists, it will be managed consistent with the University’s Conflict of Interest Policy

- PI/PD have responsibility for initiating the Subaward Request Form

- PI/PD have primary responsibility for the timely review of financial and technicalperformance reports.

- PI/PD have primary responsibility for reviewing subrecipients ’requests for payments toensure that payment is consistent with the effort performed. All invoices should be reviewed and if no performance or financial noncompliance, issues are identified. The invoices should be submitted for payment within one week of receipt.

- PI/PD are responsible for notifying the Office of Research Administration and Restricted Funds Accounting immediately regarding concerns of subawardee noncompliance or nonperformance.

[6] *Government of the District of Columbia Subrecipient Monitoring Manual;*

ROLES & RESPONSIBILITIES CONTINUED (MSU)

Office of Research Administration

- The Office of Research Adminsitration (ORA) has primary responsibilityfor assisting PIs/PDs in developing their subaward agreements.
- ORA is responsible for ensuring that subrecipients are not identified on the federalexcluded parties, debarred or suspended list using www. SAM.gov.
- ORA is responsible for the determination of whether an activity reflects a subawardee or vendor relationship.
- ORA is responsible for issuing subawards and ensuring the appropriate inclusion ofrequired information and flow-down of terms and conditions to subrecipients.
- ORA is responsible for conducting subawardee risk assessments and establishing termsand conditions that mitigate risk associated;
- ORA has responsibility for ensuring that the University's subrecipient monitoring procedures are compliant with Federal and other applicable regulations. In addition these procedures are consistent with sound business practices, such as:
    - Monitor subrecipient s through site visits, limited audits or other means;
    - Obtain a written acknowledgment on whether the subrecipient has complied with the audit requirements of 2 CFR 200 for a Single Audit and the required audits are completed within nine months from the end of the subrecipient's audit period;
    - Request written acknowledgement of audit at the end of each project year;
    - Determine whether prompt and appropriate corrective actions have been taken onall audit findings;
    - Require subrecipients to make financial records and statements available toindependent auditors;
    - Require subrecipients to submit protocol approvals for institutional compliance requirements, such as human subjects and animals in research protocol approvals,or other research related approvals that may be required; and
    - Secure Conflict of Interest Disclosures and Time Effort reports for key personnel, if required.
- ORA has responsibility, when required, for providing subawardees with education,training and guidance on interpreting applicable regulations and award terms and conditions.
- ORA will follow up with phone calls or emails if reports are not received within two weeksof initial request for certifications/reports.
- If a subrecipient fails to send reports or fails to take corrective action, the Assistant Vice President for Research Administration will work with the subawardee entity to seek resolution. If a mutually acceptable resolution cannot be reached, ORA will terminate the award.
- ORA is responsible for securing and retaining subaward audit certifications or/and reports for three years or longer, depending on the circumstances, as per 2 CFR 200.333.

Office of Restricted Funds Accounting (ORFA)

- ORFA will review invoices for budget with financial requirements of the subaward.
- The ORFA, in concert with ORA and the PIs/PD, will determine if there isnoncompliance and will seek corrective actions and make any required adjustments as needed to the University's records.
- Invoices approved by ORFA and PO will be paid by the Office of the Comptroller.
- ORFA will retain financial disbursement records for three years or longer, depending onthe circumstances, as per 2 CFR 200.333.

Subawardee Risk Assessment, Mitigation, and Monitoring

The University should evaluate each subrecipient for eligibility and risk of noncompliance with sponsor terms and conditions of the subaward for purposes of determining the appropriate subrecipient monitoring, which may include consideration of such factors as:

(1) Eligibility determination verified with the System for Award Management (SAM.gov); (2)The subrecipient prior experience with the same or similar subawards;
(3) The results of previous audits including whether or not the subrecipient receives a Single Audit, and the extent to which the same or similar subaward has been audited as a majorprogram;
(4) Whether the subrecipient has new personnel or new or substantially changed systems;
(5) The extent and results of awarding agency monitoring (e.g., if the subrecipient also receives Federal awards directly from a Federal awarding agency); and
(6) Financial solvency.

If deemed appropriate, consider imposing specific subaward conditions upon a subrecipient such as: (1)

Requiring payments as reimbursements rather than advance payments;
(2) Withholding authority to proceed to the next phase until receipt of evidence of acceptable performance within a given period of performance;
(3) Requiring additional, more detailed financial reports; (4)
Requiring additional projectmonitoring;
(5) Requiring the subrecipient to obtain technical or management assistance; or
(6) Establishing additional prior approvals.

If specific subaward conditions are imposed the University must:
(1) Reviewing financial and programmatic reports required by the University.
(2) Following-up and ensuring that the subrecipient takes timely and appropriate action on all deficiencies pertaining to the Federal award provided to the subrecipient from the pass-through entity detected through audits, on-site reviews, and other means.
(3) Issuing a management decision for audit findings pertaining to the Federal award provided to the subrecipient from the pass- through entity as maybe required.
Management decision.

Depending upon the University's assessment of the risk posed by the subrecipient, the following monitoring tools may be useful for the University to ensure proper accountability and compliance with program requirements and achievement of performance goals: (1) Providing subrecipients with training and technical assistance on program-related matters; and
(2) Performing on-site reviews of the subrecipient program operations;
(3) With prior written approval from the sponsor, a University may provide subawards based on fixed amounts up to the Simplified Acquisition Threshold, provided that the subawards meet the requirements for fixed amount awards

2 CFR 200 Subpart F, Audit Requirements requires that audit reports be issued 9 months following the end of the Subrecipient federal fiscal year. The manager, using the above database will determine the pool of subrecipients for which an Audit Confirmation is required (see Appendix IV). Audit confirmation requests will be sent by May 1 each year.

The University is responsible for reviewing incoming audit confirmations and Single Audit reports and for maintaining a file of such for review by the University’s auditors. If the following conditions are identified in a subrecipient’s audit:

- Control weakness
- Findings related to funds passed through by the University to the subrecipient
- Subrecipient refuses to provide the audit confirmation and or audit report (e.g. within three months of request)

The University must is responsible for requesting or reviewing the subrecipient Single Audit report and for determining a course of action that may include one or more of the following:

- Determining the adequacy of the subrecipient corrective action plan
- Facilitating an audit of the subrecipient project related records
- In conjunction with University Counsel, suspension of payments, requesting refunds or in extreme cases, revocation of the subcontract

Subrecipient Risk Matrix

Risk Criteria	Low = 1	Medium = 2	High =3	Score
1. Dollar Value of Subaward	<$150,000	$150,00-750,000	>$750,000	
2. Percentage of total subawards	< 5%	5% to 10%	>10%	
3. Program Complexity	Minimal complexity	Average complexity	Significant complexity	
4. Results from Self-Assessment	Good to excellent	Average	Poor	
5. Fixed Cost vs. Cost Reimbursable	Fixed Price contract less than $150,000	Cost Reimbursable contract	Cost Reimbursable contract	
6. Prior Experience with Subrecipient	Good experience with subrecipient	Existing subrecipient new personnel or new systems	New subrecipient	
7. Evidence of trained personneland compliance program	Trained personnel and compliance program	Either trained personnel or compliance program, but not both	Neither trained personnel or compliance program	
8. Cooperates w/timely responses	Previous info timely	Provides info, not timely	Does not provide info	
9. Single Audit or agreed upon procedures	No findings	Minor Findings	Significant funds or not audit	
10. Timely correction of findings	Timey within 6 months	Completed > 6 months	Not responded to findings	
11. No previous F/S Audit	Previous S/F audit	n/a	No previous S/F audit	
12. Results from review of documents for monthly draw	No problems	A few issues	Major problems	
13. Foreign or Domestic Entity	Domestic	-----------	Foreign	
14. Maturity of the subrecipient's organization	Mature	Mature but not research oriented	Sartup or Significant change	
15. Organization type	University	Nonprofit	Industry	
16. Award type	Grant	Cooperative Agreement	Contract	
17. Procurement systems	Approved	Not approved but has P&Ps	Questionable	
18. Negotiated F&A rate	Yes, MTDC	Yes, Simplified	No	
19. Single Audit	Yes, unqualified	Yes, qualified	No	
20. Prior experience with MSU	Extensive	Limited	No experience	
21. ITAR/EAR Type of work	No	-----------	Yes	
22. IACUC/IRB Compliance	No		Yes	
23. MSU Sponsor Type	Federal	Private or Foundation	GOCO	
24. Relation of the subrecipient to PI and potential for COI	No COI	-----------	COI exists	
25. PI's prior experience working with subaward PI	PI is familiar with collaborator	PI is an established researcher, but no prior collaboration	No prior experience or relationship	
25. SOW & Deliverables	Report only	-------------	Tangible products	
26. Cost Sharing	No cost sharing	Cost sharing is < 20% of the award	Cost sharing 20% or more	
			Total Score	
Risk Ranking	27-35	36-49	50+	0

I. DOCUMENTATION

Subrecipient monitoring documentation which must be maintained includes:

1. Subaward Request Form

2. Subaward Risk Assessment Tools

   - Single Audit Compliance
   - Subrecipient Internal Controls Disclosure and
   - Subrecipient Risk Assessment Matrix
   - F&A Rate Agreement, if applicable

3. Amendments imposing or removing additional terms deemed necessary to mitigate risk.

4. PI/PD approved invoices acknowledging programmatic/scientific progress andauthorizing payment.

5. Acknowledgement of compliance with Single Audit requirements

6. Single Audits for which additional review is required

7. Management and corrective action plans

REPORTING

Effort Reporting: All PIs/PD, faculty, professional staff and students paid directly from federal grants and contracts (including federal flow-through sub-contracts) are required to certify their effort electronically at the end of the Fall semester, Spring semester and Summer. This report made available through the Office of Research Administration (ORA). This electronic system provides a mechanism for complying with the Office of Management and Budget (OMB) Uniform Guidance 2 CFR 200.430 Compensation— personal services of the UNIFORM ADMINISTRATIVE REQUIREMENTS, COST PRINCIPLES, AND AUDIT REQUIREMENTS FOR FEDERAL AWARDS. This is formerly known as Office of Management and Budget (OMB) Circular A-21 (Cost Principles for Educational Institutions), requirements for certifying that effort expended on a sponsored project commensurate with the salaries charged against the project.

The automated effort reporting system provides a percentage of distribution between sponsored and non-sponsored programs, for the hours worked. The electronic report may be certified by either the employee, Supervisor or PIs/PD, who has personal familiarity with the employee's compensated effort. Since this is an after-the-fact report, the electronic effort report is generated based on historical payroll data for a specific reporting period.

Technical Reporting: In most cases, sponsors require both progress reports and final reports. Final reports are normally due within 90 days after the end of the project period, and usually include the technical, property (major equipment) and invention reports. The Property and Invention reports must completed even when the project acquired no equipment nor produced an invention. Principal Investigators should take this requirement seriously and ensure that all reports are submitted to the sponsor on or before the due date. Failure to do so may adversely affect future prospects for funding from the agency. The schedule for required technical reports is often incorporated in the award document from the sponsor.

AWARD CLOSEOUT

Project closeout involves much more than simply the expiration of an award. For a sponsored project to be properly closed-out, the Principal Investigator must ensure that the following requirements are met:

- All technical and financial reports required by the sponsor have been submitted on time;
- ORA requires copies of technical reports;
- Any sponsor requirements for the transfer or disposal of property purchased through the award have been met;
- Patent or copyright procedures have been followed, if applicable;
- Proper termination procedures have been followed for contractual personnel hired only forthe duration of the award.

ORA is developing an automated award management information system to remind Principal Investigators of pending project closeout dates.

It is the responsibility of the Principal Investigator to notify the responsible Grant Accountant of any outstanding financial charges so that the sponsor can be properly billed before the final financial report is submitted to the sponsoring agency.

BEST PRACTICES FOR TIMELY SUBMISSION FOR SPONSORED PROJECTS REPORTING

1. Send "Reminder Email about ending of budget period" to PIs/PDs 90 days prior to end of project period, cc to Dean, Chair and Divisional Budget Officer/Academic Affairs;
2. Send "Reminder Email – Progress/Final Technical Report" to PI/PD director/coordinator 60 days prior to end of project period, cc copy to Chair and Dean;
3. Request that a copy of the report(s) be submitted to ORA, Chair or Dean;
4. Verify that report has been submitted and, if possible, received by the appropriate point of contact (POC) at the funding agency.

Additional Steps

- Send the list of overdue reports to the appropriate Dean and Chair and Budget Officers;
- Request Dean and Chair to take necessary steps to resolve the overdue reports within 2 weeks;
- Request that a copy of any reports submitted as a result of these steps be sent to ORA.

Investigator Sanctions

Unsatisfactory response by the PI/PD may result in the following sanctions:

- Suspension of the right to submit proposals for new, renewal, supplemental or continuation funding;
- Suspension of spending funds in currently active sponsored projects.

<u>Sanctions following consultation with Vice President for Research and Economic Development:</u>

- Recommend to Vice President for Research and Economic Development the withholding of salary pending resolution of delinquent report(s)

Approved by: Vice President for Research and Economic Development

GENERAL GUIDANCE & POLICIES FOR MSU

1. **Principal Investigator:** In light of the institutional responsibilities and obligations inherent in the conduct and management of sponsored programs, and the desirability of having the same Principal Investigator throughout the term of an award for purposes of accountability, it is the policy of Morgan State University that a Principal Investigator must be tenured, on tenure track, senior staff, or an administrative officer of the University.

2. **Faculty:** Faculty compensation for work performed on sponsored projects will be based on the faculty member's base salary during the academic year. A faculty member on an academic year salary may receive additional compensation for work on sponsored projects during the summer months. However, the monthly summer rate may not exceed 26.3% of the preceding academic year base salary if on a 9.5-month contract, and 22% of base salary if on 10 month contract.

3. **Consultants:** Consultants are hired under sponsored projects to provide specific and specialized services that the project staff cannot provide. Principal Investigators should ensure that funds are allocated in the initial project budget for consultant services, before engaging a consultant. ORA will offer assistance in the development and processing of consultant agreements. Principal Investigators must show evidence that their selection of a consultant resulted from a fair, open selection process (i.e. evidence of multiple bids). If sole source, the Principal Investigator must provide a justification for the selection of theconsultant.

4. **Compensation Rate:** The Principal Investigator can get a fair idea of the going consultant rate by (1) comparing the fees paid for similar individuals in other projects; (2) comparing the range of fees quoted by individuals under consideration who have similar credentials; (3) comparing the limits paid by federal agencies.

   The National Science Foundation (NSF) removed constraints on consultant payments under NSF awards. Payments, however, should be comparable to the normal customary fees charged and received by the consultant for comparable services, especially on non-government grants and contracts.

5. **Patents:** A patent is a legal right granted by the federal government giving the owner the right to control the manufacture, use, or sale of an invention for a limited period of time. Occasionally, patentable discoveries result from research or educational activitiesperformed at the University.

   The University's Patent Policy covers all faculty, administrators, staff, students, or other individuals who receive financial support from the University, or who use the University materials or facilities in the process of conceiving an idea, discovery, or invention is available on request.

   In the case of sponsored programs, the agreement with the sponsor regulating patents, inventions, discoveries, licensing, etc. will govern. For all federal agencies with which there is no such agreement, the University agrees to provide an irrevocable non-exclusive free license to the government for the use of patents arising from programs that they sponsored. Faculty and other researchers having questions regarding disclosures and patent rights should contact the Office of Research Administration.

6. **Copyrights:** A copyright is an exclusive right granted to authors of creative works of expression, including architectural designs, books, and electronically produced works. These exclusive rights include the right to copy, adapt, and distribute the work. Morgan State University encourages its faculty and other research staff to generate new ideas that can be copyrighted. Faculty who may have questions relating to copyright issues resulting from sponsored projects should contact the Office of Research Administration.

7. **Publications:** Faculty and other University researchers are urged to broadly disseminate the results of their research and accomplishments. This is consistent with the University's goal to foster the growth and dissemination of knowledge. Most sponsoring agencies merely require that their support be acknowledged in publications resulting from projects they sponsored; however, others may require that they also be sent reprints of such review and comment before final submission for publication.

   For example:

   > *Beginning in 2007, the NIH instituted a Public Access Policy that mandates that all peer reviewed articles that arise, in whole or in part, from direct costs funded by NIH, or from NIH staff, that are accepted for publication, be submitted to the National Library of Medicine's PubMed Central to make them publicly available no later than 12 month after the office date of publication to advance science and improve human health.*

   Faculty should review agency regulations on publications before submitting information from sponsored projects for publication. The Assistant Vice President for Research Administration may be contacted if there are any questions.

8. **Misconduct in Academic Research:** Morgan State University expects all investigators to adhere to the highest standards of intellectual honesty, integrity and ethics in formulating, conducting, interpreting and publishing research. It is only in adherence to such standards that researchers fulfill their obligations to the academic community at large. All seekers of knowledge need assurance that the body of data reported in research results can be relied upon for advancement in the various disciplines.

   The University has established formal policies and procedures for dealing with research misconduct in consonance with NIH and NSF guidelines. Under these policies, misconduct in research encompasses such deviations; fabrication, falsification, keeping poor research records, and improprieties of authorship.

   Excluded from this definition are honest errors, or honest difference in interpretations or judgments of data. The process of handling misconduct matters normally consists of three (3) principal phases: Inquiry, Investigation, and Disposition of findings.

   All cases of alleged or suspected misconduct should be reported in confidence to the Research Integrity Officer (RIO) in the Division of Research and Economic Development, who has the responsibility for initiating appropriate action(s). The RIO shall endeavor to complete preliminary assessment of an allegation within fifteen (15) days of receiving allegations.

   Investigators should consult the ORA publication "Misconduct in Academic Research: Policies and Procedures," for details of institutional policies for dealing with this important aspect of the research enterprise. The Office of Research Administration can provide further guidance on issues related to Research Misconduct.

SPONSORED RESEARCH & EXPORT CONTROL LAWS

Although federal laws restricting exports of goods and technology have existed since the 1940s, the federal government has begun placing more emphasis on enforcement generally, and in particular, at universities. Admittedly the preponderance of teaching and research activity at Morgan State University is covered by one or more of several exclusions within the export control laws. However, it is important that PIs/PDs understand how the laws (and the exclusions) may apply to their activities, their compliance obligations, and how the Office of Research Administration (ORA) can assist you.

There are three (3) different federal departments responsible for enforcing the export control laws: the Department of Commerce, through its Export Administration Regulations (EAR); the Department of State, through it International Traffic in Arms Regulations (ITAR); and the Department of Treasury, through its Office of Foreign Assets Control (OFAC).

Broadly speaking, the EAR is intended to limit the export and deemed export of "dual use" items and information. The term, "dual use", generally means items and information the government has designated as having legitimate commercial purposes, but that also can have potential military applications when received or obtained by particular individuals, or for particular purposes, or within particular countries (e.g., certain computers, software, chemicals and biologics). The ITAR govern items and information that are inherently military in nature, according to the government (e.g., encryption technology). OFAC enforces economic and trade sanctions against countries that are "embargoed" and individuals on "specially designated nationals" lists (generally, individuals and organizations the government has listed as terrorists, international narcotics traffickers, or involved in or supportive of activities advancing the proliferation of weapons of mass destruction).

In general, export control regulations apply to:

- Transfer or "Export" of specified items or information to people or entities outside the United States;
- Disclosure of certain information to certain foreign nationals inside the United States (often called "deemed export");
- Training or offering of services involving controlled equipment or information to foreign nationals;
- Transactions with or provision of services to, certain foreign countries or individuals who are on embargo lists.

If an activity does not come within an exception or exclusion, the PIs/PDs may need to obtain a license from the government. Obtaining a license can take anywhere from six weeks to more than twelve months, depending o the particular facts. Sanctions for noncompliance can include civil and criminal penalties (including fines and/or prison sentences for individuals) and administrative penalties (loss of research funding).

While the regulations are broad and apply to virtually all fields of research and teaching, sponsored or not, the vast majority of research and teaching activities at Morgan State University do not require a license. There are several significant exclusions to the licensing requirements, such as:

"Fundamental Research" exclusion. Generally, an export license is **not** needed to conduct basic and applied research in science and engineering at Morgan State University (including work with foreign nationals), ***provided*** that there are no restrictions on access by students or others to, or publication of, the research results; the research is carried out openly; and the results are intended to be, and ordinarily are, published or shared broadly within the scientific community.

“Public Domain” exclusion. Generally, an export license is not necessary before sharing technical data or information with a foreign national inside the U.S. as part of a class instruction, laboratory, or conference or seminar, if the same technical data or information has already been published widely, or is available in libraries or through newsstands, bookstores, subscriptions or free web sites, or is disclosed in published patent applications

“Teaching” exclusion. In general, ITAR exempts information (but not technology and materials) which is “general scientific, mathematical or engineering principles commonly taught in universities.” A closely-related EAR exclusion concerns “educational information” released by instruction in catalog courses and associated teaching laboratories. Thus, in general, in addition to not needing a license to share information as part of a course offering, most foreign nationals may also be trained on how to use most otherwise-controlled PIs/PDs of scientific equipment as part of that class or lab instruction. However, this “teaching exclusion” does not apply to non-public domain information and certain information deemed classified or sensitive by the federal government.

Most items and information a university researcher might want to physically export outside the U.S. will not have a “dual use” and will fall under a broad exception to the EAR licensing requirement. However, it is advisable and prudent to consult with ORA for guidance in determining if a license might be necessary if the item or information comes within one or more of the following broad categories: nuclear materials, information and equipment; chemicals, microorganisms or toxins; materials processing; electronics; computers; telecommunications and information security; lasers and sensors; navigation and avionics; marine items; and propulsion systems, space vehicles and related equipment.

In addition, a license is **not** generally needed to travel to, conduct research in, spend money in, and take equipment to, most foreign countries as normal part of teaching and/or research duties. However, OFAC restrictions apply to a limited number of “embargoed entities” and “specially designated nationals”, which should be checked as part of planning for activities with people or groups outside the U.S. Currently, OFAC restrictions apply to certain activities in the Balkans; Burma; Cuba; Iran; Iraq; Liberia; Libya; North Korea; Sudan; Syria; and Zimbabwe. Updates to the “embargoes entities”, and the specific limitations for each country, may be checked at: http://www.ustreas.gov/offices/eotffc/ofac/sanctions/index.html; and the “specially designated nationals” lists may be scanned at http://www.ustreas.gov/offices/eotffc/ofac/sdn/index.html.)

The ORA is responsible for helping the community understand and comply with export control laws. At the end of this memo, we have attached a summary of some of the key definitions from the regulations, and some online links, that you can use as a guide to better understand the breadth and complexity of the regulations.

SUMMARY OF KEY TERMS & HELPFUL LINKS

The following export control law summary may be helpful: from the Council on Governmental Relations, "Export Controls and Universities: Information and Case Studies", February, 2004, at http://www.cogr.edu.

"Export", as used in the regulations, does not have the common dictionary definition, and has an expansive meaning. Instead, "export" generally means: (1) actual shipment of covered goods or information outside the U.S.; (2) the electronic or digital transmission of covered goods or information outside the U.S.; and (3) release or disclosure, including verbal disclosures or visual inspections, of any covered technology, software or technical data to any foreign national, ***whether in the U.S. or abroad.*** This is a summary of a complicated definition, which is set forth at 15 CFR 734.2, and can be found at http://w3.access.gpo.gov/bis/ear/pdf/734.pdf.

"Technical data" means "information of any kind that can be used, or adapted for use, in the design, production, manufacture, utilization, or reconstruction of articles or materials. The data may take a tangible form, such as a model, prototype, blueprint, or an operating manual; or they may take an intangible form such as technical services." You can review the definition at http://w3.access.gpo.gov/bis/ear/pdf/772.pdf.

"Dual use" means goods and technology that are not inherently military in nature, and are primarily and inherently commercial or potentially commercial in nature, but that the government has decided may have a "dual use" for a military purpose, when received or obtained by particular individuals, or for particular purposes, or within particular countries. "Dual use" is a concept underlying the government's rationale for what items and information, and what individuals and uses, may require a license; however, there are some "purely commercial" items and information that require a license under the EAR.

"Fundamental research" means information (including non-encrypted software code) resulting from basic and applied research in science and engineering conducted at [*Morgan State University*] that is ordinarily published and shared broadly within the scientific community and that is not restricted for proprietary reasons or specific national security reasons. See 15 CFR 734.8, at http://w3.access.gpo.gov/bis/ear/pdf/734.pdf.

The EAR has an overview of questions to ask and steps to take to determine if a license is necessary, which can be found at http://w3.access.gpo.gov/bis/ear/pdf/732.pdf. However, this is a very long and complicated list.

OFAC administers and enforces economic and trade sanctions against countries on OFAC's list of "embargoed entities" and individuals on its "specially designated nationals" lists. In general, there are very significant restrictions on providing services in, or spending money in, the "embargoed entities". Currently, the following countries are on that list: Balkans; Burma; Cuba; Iran; Iraq; Liberia; Libya; North Korea; Sudan; Syria; Zimbabwe. You can check for updates to the "embargoes entities", and the specific limitations for each country, at http://www.ustreas.gov/offices/eotffc/ofac/sanctions/index.html. You can scan the "specially designated nationals" lists at http://www.ustreas.gov/offices/eotffc/ofac/sdn/index.html.

There is a separate list of "embargoed countries" under the EAR, which can be found at http://w3.access.gpo.gov/bis/ear/pdf/746.pdf. Currently, the EAR embargoed countries are: Cuba, Iran, Iraq, and Rwanda. It is well to note that these are not the only countries for which a license to ship physical items or transfer information or technical data might be necessary.

DEFINITIONS

DEFINITIONS

Allocable Costs

A cost is allocable to a sponsored agreement if (1) it is incurred solely to advance the work under the sponsored agreement; (2) it benefits both the sponsored agreement and other work of the institution, in proportions that can be approximated through use of reasonable methods, or (3) it is necessary to the overall operation of the institution and is deemed to be assignable in part to sponsored projects.

Allowable Costs

Costs are allowable and may be reimbursed by the federal government only if they were:

- REASONABLE: A prudent business person would have Purchased this item and paid this price.
- ALLOCABLE: They can be assigned to the activity onsome reasonable basis.
- CONSISTENTLY TREATED: Like costs must be treated the same in like circumstances, as either direct or F & A costs.

Contract

A contract is used when the primary purpose of the transaction is acquisition of property or services for the direct benefit or use of the Federal Government. There is substantial sponsor involvementbetween the sponsor and the recipient.

Cooperative Agreement

A cooperative agreement is used when the primary purpose of the transaction is to accomplish a public purpose of support or stimulation authorized by Federal Statute, and substantial involvement betweenthe sponsor and recipient is anticipated during the performance of the work. The nature of the involvement can be defined and specified in advance.

Direct Costs

Costs that can be identified specifically with a particular sponsored Project, an instructional activity, or any other institutional activity; or that can be directly assigned to such activities relative easily with a high degree of accuracy.

Examples: Salary and benefits for researcher
Supplies for project

Facilities and Administrative Costs (F & A) Indirect Costs

Facilities and administrative (F & A) costs, formerly known as indirect costs, means costs that are incurred for common or joint objectives and, therefore, cannot be identified readily and specifically with a particular activity. The proportion of such costs which benefit the research Activities of the institution can be included in the calculation to determine the F & A rate for federal grants.

Examples: Salary of departmental assistant
Building utility and maintenance costs

Grants

A grant is used when the principal purpose of the transaction is to accomplish a public purpose of support or stimulation authorized by Federal Statue. Substantial involvement between the sponsor and the recipient is not expected when carrying out the activity. The exact course of the work and its outcome cannot be defined precisely.

Reasonable Costs

A cost may be considered reasonable if the nature of the goods or services and the amount of cost involved reflect the action that a prudent person would have taken under the circumstances prevailing at the time the decision to incur the cost was made. Major considerations involved in the determination of the reasonableness of a cost are: (a) whether or not the cost is of a type generally recognized as necessary for the operation of the institution or the performance of the sponsored agreement; (b) the restraints or requirements imposed by such factors as arm's-length bargaining, Federal and State laws and regulations, and sponsored agreement terms and conditions; whether or not the individuals concerned acted with due prudence in the circumstances, considering their responsibilities to the institution, its employees, its students, the Federal Government, and the public at large; and, (d) the extent to which the actionstaken with respect to the incurrence of the cost are consistent with established institutional policies and practices applicable to the work of the institution generally, including sponsored agreements.

Cost Transfer

This is when expenditures are moved from one funding source/line items to another. It is the reassignment of an expense to a sponsored project after the expense was initially charged to another project or other Morgan State University account.

Cost Overrun

These are expenditures in excess of amounts awarded by the sponsoring agency.

APPENDICES

APPENDICES 71-135

A-1

INTERNAL ROUTING FORM

MORGAN STATE UNIVERSITY

D-RED Division of Research & Economic Development

1. Date Submitted to D-RED:		2. Time Submitted:	
Form Completed By			
3. Last Name	4. First Name	5. Position	6. Email Address
Principal Investigator and Institution			
7. Last Name	8. First Name	9. School or College	10. Department, Center or Institute
11. Email Address	12. Cell Phone No.	13. Office Phone No.	14. Preferred method of contact Text Email Cell Office
15. Is this a resubmission?		16. Funding / Sponsoring Agency or Organization	
17. Announcement Number	18. CFDA Number	19. Amount Requested	
20. Proposal Title			
Other Key Personnel			
21. Investigator Name	22. College / University	23. Email Address	24. Cell Phone No.
Funding and Project Information			
25. Type of Funding Federal State Local Other		26. Location of work On-Campus Off-Campus	
27. Type of Project Grant Contract Sub Cooperative Agreement Supplement		28. Indirect Cost Rate (*unless otherwise specified in the RFP this should be the standard university rate of 51%*):	
29. Proposal Due Date	30. Project Start Date	31. Project End Date	32. Expected Notification Date
33. Is there mandatory cost-share? Yes No If yes, what amount / percent:			
34. Does this project require a signed MOU/MOA, Education Partnership Agreement, or any pre-projectagreements? Yes No			
35. Are you seeking funding via Interagency agreement (IA)? Yes No If yes, state the Maryland Agency: ______________________________ Contact: Ms. Kimberly Williams, Kimberly.williams@morgan.edu AND Dr. Timothy Akers, timothy.akers@morgan.edu, for immediate assistance.			
FOR INTERNAL USE ONLY			
35. Proposal Number		36. Date Submitted	
QUESTIONS? CONTACT			
Grant Manager: Ailing Zhang Phone: 443.885.4118 Email: ailing.zhang@morgan.edu Portfolio: All **MSU** Proposal Submissions		Research Budget Develop Specialist: Deshun Li Phone: 443.885.3309 Email: deshun.li@morgan.edu Portfolio: ALL **Budgets** submissions	

INTERNAL ROUTING FORM -- PAGE 2			
PI NAME:	**PROPOSAL TITLE:**		
37. CONFLICT OF INTEREST (CoI): Is there a need to disclose a Conflict of Interest? Do you have interest, service, employment or other relationship with a collaborator or partner?	YES NO	If yes, please attach additional sheet and explain.	
38. Will the project will require the following resources: Renovation, Construction, or Space?	YES NO		
39. Purchase or maintenance of equipment, apparatus, or furniture **NOT** included in the proposal	YES NO		
40. Expanded utility (or Network) services to support project (e.g., Computers, Fume Hoods, Air-Conditioning)	YES NO		
41. Additional personnel requiring funds NOT included in the proposal or likely to require support of space AFTER the project	YES NO		
42. Faculty release time requested?	YES NO If yes, what percent per semester?	Fall_______% Spring_______% Summer_______%	
43. Human subjects research?	YES NO	If Yes, has protocol been reviewed by IRB?	YES NO
44. Animal subjects research?	YES NO	If yes, has protocol been reviewed by IACUC?	YES NO
45. Planned or potential use of radioactive materials? *(Note: PI must be a permit holder or authorized under a current permit)*	YES NO	If yes, please attach additional sheet and provide a brief summary	
46. Planned or potential use of (a) ionizing radiation device *(e.g., accelerators, x-ray machines [diagnostic, therapy, diffraction], electron microscope, reactor or fusion devices) and/or (b) non- ionizing radiation device (e.g., laser, ultraviolet, microwave, radio or ultrasonic frequency)?*	YES NO		
47. Does this project involve the Morgan Community Mile?	YES NO		
48. Have you been barred, suspended or excluded from participating in Federal or State funded projects/programs?	YES NO		
49. Have you been convicted in the preceding three years of any offenses listed in 2 CFR part 180.800(a) or had a civil judgement for one of those offenses within that time period?	YES NO		
50. Are you presently indicted for or criminally or civilly charged by a governmental entity (Federal, State, Local) with commission of any of the offenses listed in 2 CFR part 180.800(a)?	YES NO		

CERTIFICATION

I certify that:

5) This project has been thoroughly discussed with my Department Head and that I have not committed the institution to expenses which are not covered in the grant except for “in-kind” contributions or cost share which I have thoroughly discussed with the Department Head and the Dean, who both have agreed to fund such expenses from their budgets;
6) The information submitted within the application is true, complete and accurate to the best of the principal investigator’s (PI) knowledge;
7) Any false, fictitious, or fraudulent statement or claim may subject the PI to criminal, civil, or administrative penalties of local, state, and federal statutes;
8) The PI agrees toaccept responsibility for the scientific conduct of the project and to provide the required progress reports if a grant is awarded as a result of the application.

PI (or Project/Program Director) Signature:____Date: ____________________

Co-PI (or Co-Project/Program Director) Signature:_______________________________________Date: ____________________

Primary Applicant	**MSU Co-PI/Co-PD**
Department Chair Signature:___________________Date: __________	Department Chair Signature:___________________Date: __________
Dean Signature:____________________________Date: __________	Dean Signature:____________________________Date: __________

Grants Administrator Signature:____Date: __________________

Grant Manager Signature:____Date: __________________

AVP for Research Administration:____Date: __________________

A-2
GRANT APPLICATION

SAMPLE PROPOSAL COVER PAGE

PROPOSAL

to the

SPONSOR

Submitted by

Morgan State University
1700 E. Cold Spring Lane
Baltimore, MD 21251

Title…………………………………………………….

Type of Application:

___New ___Continuation ___Supplement
___Renewal ___Revision

Period of Performance……………………………………

Principal Investigator:... Ph.D.
Associate Professor
Department of…………………

Amount Requested: $x,xxx,xxx

Endorsements:

Principal Investigator: *Authorizing Official:*

____________________Date_________________ Date

_________________ _________________

Abcdef Wxyz
443-885-XXXX

Assistant Vice President
Research Administration 443-885-4505

Department of Health and Human Services Public Health Services **Grant Application** *Do not exceed character length restrictions indicated.*	**LEAVE BLANK—FOR PHS USE ONLY**. Type / Activity / Number Review Group / Formerly Council/Board (Month, Year) / Date Received

1. TITLE OF PROJECT *(Do not exceed 81 characters, including spaces and punctuation.)*

2. RESPONSE TO SPECIFIC REQUEST FOR APPLICATIONS OR PROGRAM ANNOUNCEMENT OR SOLICITATION ☐ NO ☐ YES
(If "Yes," state number and title)
Number: Title:

3. **PROGRAM DIRECTOR/PRINCIPAL INVESTIGATOR**

3a. NAME (Last, first, middle)	3b. DEGREE(S)	3h. eRA Commons User Name
3c. POSITION TITLE	3d. MAILING ADDRESS *(Street, city, state, zip code)*	
3e. DEPARTMENT, SERVICE, LABORATORY, OR EQUIVALENT		
3f. MAJOR SUBDIVISION		
3g. TELEPHONE AND FAX *(Area code, number and extension)* TEL: FAX:	E-MAIL ADDRESS:	

4. HUMAN SUBJECTS RESEARCH ☐ No ☐ Yes	4a. Research Exempt __No ☐ Yes	If "Yes," Exemption No.
4b. Federal-Wide Assurance No.	4c. Clinical Trial ___ No ☐ Yes	4d. NIH-defined Phase III Clinical Trial ☐ No ☐ Yes
5. VERTEBRATE ANIMALS ☐ No ☐ Yes	5a. Animal Welfare Assurance No.	

6. DATES OF PROPOSED PERIOD OF SUPPORT *(month, day, year—MM/DD/YY)*		7. COSTS REQUESTED FOR INITIAL BUDGET PERIOD		8. COSTS REQUESTED FOR PROPOSED PERIOD OF SUPPORT	
From	Through	7a. Direct Costs ($)	7b. Total Costs ($)	8a. Direct Costs ($)	8b. Total Costs ($)

9. APPLICANT ORGANIZATION Name Address	10. TYPE OF ORGANIZATION Public: → ☐ Federal ☐ State ☐ Local Private: → ☐ Private Nonprofit For-profit: → ☐ General ☐ Small Business ☐ Woman-owned ☐ Socially and Economically Disadvantaged
	11. ENTITY IDENTIFICATION NUMBER DUNS NO. / Cong. District
12. ADMINISTRATIVE OFFICIAL TO BE NOTIFIED IF AWARD IS MADE Name Title Address Tel: FAX: E-Mail:	13. OFFICIAL SIGNING FOR APPLICANT ORGANIZATION Name Title Address Tel: FAX: E-Mail:

14. APPLICANT ORGANIZATION CERTIFICATION AND ACCEPTANCE: I certify that the statements herein are true, complete and accurate to the best of my knowledge, and accept the obligation to comply with Public Health Services terms and conditions if a grant is awarded as a result of this application. I am aware that any false, fictitious, or fraudulent statements or claims may subject me to criminal, civil, or administrative penalties.	SIGNATURE OF OFFICIAL NAMED IN 13. *(In ink. "Per" signature not acceptable.)*	DATE

Use only if preparing an application with Multiple PDs/PIs. See http://grants.nih.gov/grants/multi_pi/index.htm for details.

Contact Program Director/Principal Investigator (Last, First, Middle):

3. PROGRAM DIRECTOR / PRINCIPAL INVESTIGATOR

3a. NAME (Last, first, middle)	3b. DEGREE(S)	3h. NIH Commons User Name
3c. POSITION TITLE	3d. MAILING ADDRESS *(Street, city, state, zip code)*	
3e. DEPARTMENT, SERVICE, LABORATORY, OR EQUIVALENT		
3f. MAJOR SUBDIVISION		
3g. TELEPHONE AND FAX *(Area code, number and extension)* TEL: FAX:	E-MAIL ADDRESS:	

3. PROGRAM DIRECTOR / PRINCIPAL INVESTIGATOR

3a. NAME (Last, first, middle)	3b. DEGREE(S)	3h. NIH Commons User Name
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3e. DEPARTMENT, SERVICE, LABORATORY, OR EQUIVALENT		
3f. MAJOR SUBDIVISION		
3g. TELEPHONE AND FAX *(Area code, number and extension)* TEL: FAX:	E-MAIL ADDRESS:	

3. PROGRAM DIRECTOR / PRINCIPAL INVESTIGATOR

3a. NAME (Last, first, middle)	3b. DEGREE(S)	3h. NIH Commons User Name
3c. POSITION TITLE	3d. MAILING ADDRESS *(Street, city, state, zip code)*	
3e. DEPARTMENT, SERVICE, LABORATORY, OR EQUIVALENT		
3f. MAJOR SUBDIVISION		
3g. TELEPHONE AND FAX *(Area code, number and extension)* TEL: FAX:	E-MAIL ADDRESS:	

3. PROGRAM DIRECTOR / PRINCIPAL INVESTIGATOR

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3c. POSITION TITLE	3d. MAILING ADDRESS *(Street, city, state, zip code)*	
3e. DEPARTMENT, SERVICE, LABORATORY, OR EQUIVALENT		
3f. MAJOR SUBDIVISION		
3g. TELEPHONE AND FAX *(Area code, number and extension)* TEL: FAX:	E-MAIL ADDRESS:	

Program Director/Principal Investigator (Last, First, Middle):

PROJECT SUMMARY (See instructions):
RELEVANCE (See instructions):

PROJECT/PERFORMANCE SITE(S) (if additional space is needed, use Project/Performance Site Format Page)

Project/Performance Site Primary Location		
Organizational Name:		
DUNS:		
Street 1:	Street 2:	
City:	County:	State:
Province:	Country:	Zip/Postal Code:
Project/Performance Site Congressional Districts:		
Additional Project/Performance Site Location		
Organizational Name:		
DUNS:		
Street 1:	Street 2:	
City:	County:	State:
Province:	Country:	Zip/Postal Code:
Project/Performance Site Congressional Districts:		

Program Director/Principal Investigator (Last, First, Middle):

SENIOR/KEY PERSONNEL. See instructions. *Use continuation pages as needed* to provide the required information in the format shown below. Start with Program Director(s)/Principal Investigator(s). List all other senior/key personnel in alphabetical order, last name first.

Name	eRA Commons User Name	Organization	Role on Project

OTHER SIGNIFICANT CONTRIBUTORS

Name	Organization	Role on Project

Human Embryonic Stem Cells ☐ **No** ☐ **Yes**

If the proposed project involves human embryonic stem cells, list below the registration number of the specific cell line(s) from the following list: https://grants.nih.gov/stem_cells/registry/current.htm. *Use continuation pages as needed.*

If a specific line cannot be referenced at this time, include a statement that one from the Registry will be used.

Cell Line

The name of the program director/principal investigator must be provided at the top of each printed page and each continuation page.

RESEARCH GRANT
TABLE OF CONTENTS

Page Numbers

* Follow the page limits for these sections indicated in the application instructions, unless the Funding Opportunity Announcement specifies otherwise.

Program Director/Principal Investigator (Last, First, Middle):

DETAILED BUDGET FOR INITIAL BUDGET PERIOD DIRECT COSTS ONLY	FROM	THROUGH

List PERSONNEL *(Applicant organization only)*
Use Cal, Acad, or Summer to Enter Months Devoted to Project
Enter Dollar Amounts Requested *(omit cents)* for Salary Requested and Fringe Benefits

NAME	ROLE ON PROJECT	Cal. Mnths	Acad. Mnths	Summer Mnths	INST.BASE SALARY	SALARY REQUESTED	FRINGE BENEFITS	TOTAL
	PD/PI							0
								0
								0
								0
								0
								0
SUBTOTALS →						0	0	

CONSULTANT COSTS	
EQUIPMENT *(Itemize)*	
SUPPLIES *(Itemize by category)*	
TRAVEL	
INPATIENT CARE COSTS	
OUTPATIENT CARE COSTS	
ALTERATIONS AND RENOVATIONS *(Itemize by category)*	
OTHER EXPENSES *(Itemize by category)*	
CONSORTIUM/CONTRACTUAL COSTS — DIRECT COSTS	
SUBTOTAL DIRECT COSTS FOR INITIAL BUDGET PERIOD *(Item 7a, Face Page)*	**$** 0
CONSORTIUM/CONTRACTUAL COSTS — FACILITIES AND ADMINISTRATIVE COSTS	
TOTAL DIRECT COSTS FOR INITIAL BUDGET PERIOD	**$** 0

Program Director/Principal Investigator (Last, First, Middle):

BUDGET FOR ENTIRE PROPOSED PROJECT PERIOD
DIRECT COSTS ONLY

BUDGET CATEGORY TOTALS	INITIAL BUDGET PERIOD *(from Form Page 4)*	2nd ADDITIONAL YEAR OF SUPPORT REQUESTED	3rd ADDITIONAL YEAR OF SUPPORT REQUESTED	4th ADDITIONAL YEAR OF SUPPORT REQUESTED	5th ADDITIONAL YEAR OF SUPPORT REQUESTED
PERSONNEL: *Salary and fringe benefits. Applicant organization only*.					
CONSULTANT COSTS					
EQUIPMENT					
SUPPLIES					
TRAVEL					
INPATIENT CARE COSTS					
OUTPATIENT CARE COSTS					
ALTERATIONS AND RENOVATIONS					
OTHER EXPENSES					
DIRECT CONSORTIUM/ CONTRACTUAL COSTS					
SUBTOTAL DIRECT COSTS *(Sum = Item 8a, Face Page)*	0	0	0	0	0
F&A CONSORTIUM/ CONTRACTUAL COSTS					
TOTAL DIRECT COSTS	0	0	0	0	0
TOTAL DIRECT COSTS FOR ENTIRE PROPOSED PROJECT PERIOD					**$** 0

JUSTIFICATION. Follow the budget justification instructions exactly. Use continuation pages as needed.

RESOURCES

Follow the 398 application instructions in Part I, 4.7 Resources.

CHECKLIST

TYPE OF APPLICATION *(Check all that apply.)*

☐ NEW application. *(This application is being submitted to the PHS for the first time.)*

☐ RESUBMISSION of application number: ______

(This application replaces a prior unfunded version of a new, renewal, or revision application.)

☐ RENEWAL of grant number: ______

(This application is to extend a funded grant beyond its current project period.)

☐ REVISION to grant number: ______

(This application is for additional funds to supplement a currently funded grant.)

☐ CHANGE of program director/principal investigator.

Name of former program director/principal investigator: ______

☐ CHANGE of Grantee Institution. Name of former institution: ______

☐ FOREIGN application ☐ Domestic Grant with foreign involvement List Country(ies) Involved: ______

INVENTIONS AND PATENTS *(Renewal appl. only)* ☐ No ☐ Yes

If "Yes," ☐ Previously reported ☐ Not previously reported

1.* PROGRAM INCOME *(See instructions.)

All applications must indicate whether program income is anticipated during the period(s) for which grant support is request. If program income is anticipated, use the format below to reflect the amount and source(s).

Budget Period	Anticipated Amount	Source(s)

2.* ASSURANCES/CERTIFICATIONS *(See instructions.)

In signing the application Face Page, the authorized organizational representative agrees to comply with the policies, assurances and/or certifications listed in the application instructions when applicable. Descriptions of individual assurances/certifications are provided in the NIH Grants Policy Statement, Section 4: Public Policy Requirements, Objectives and Other Appropriation Mandates. If unable to certify compliance, where applicable, provide an explanation and place it after this page.

***3.* FACILITIES AND ADMINSTRATIVE COSTS (F&A)/ INDIRECT COSTS.** See specific instructions.

☐ HHS Agreement dated: ______ ☐ No Facilities And Administrative Costs Requested.

☐ HHS Agreement being negotiated with ______ Regional Office.

☐ No HHS Agreement, but ______ Date ______

the Checklist, will be reproduced and provided to peer reviewers as confidential information.)

		x Rate applied	0.00%	% = F&A costs	$ 0.00
b. 02 year	Amount of base $	x Rate applied	0.00%	% = F&A costs	$ 0.00
c. 03 year	Amount of base $	x Rate applied	0.00%	% = F&A costs	$ 0.00
d. 04 year	Amount of base $	x Rate applied	0.00%	% = F&A costs	$ 0.00
e. 05 year	Amount of base $	x Rate applied	0.00%	% = F&A costs	$ 0.00

Enter Rate above as a decimal (e.g., 0.25 for 25%, 0.495 for 49.5%) TOTAL F&A Costs $ 0.00

*Check appropriate box(es):

☐ Salary and wages base ☐ Modified total direct cost base ☐ Other base *(Explain)*

☐ Off-site, other special rate, or more than one rate involved *(Explain)*

Explanation *(Attach separate sheet, if necessary.)*:

PHS Human Subjects and Clinical Trials Information

Note: The PHS Human Subjects and Clinical Trials Information form is not included in this combined form. See individual form here: https://grants.nih.gov/grants/forms/human-subjects-clinical-trials-information.pdf.

****** The PHS Human Subjects and Clinical Trials Information fillable form can be opened in Internet Explorer. However, you may download it from any browser.**

DO NOT SUBMIT UNLESS REQUESTED
Renewal Applications Only
ALL PERSONNEL REPORT

Always list the PD/PI(s). In addition, list all other personnel who participated in the project during the current budget period for at least one person month or more, regardless of the source of compensation (a person month equals approximately 160 hours or 8.3% of annualized effort). Use Cal, Acad, or Summer to Enter Months Devoted to Project.

Commons ID	Name	Degree(s)	SSN (last 4 digits)	Role on Project (e.g. PD/PI, Res. Assoc.)	DoB (MM /YY)	Cal	Acad	Summer

Mailing address for application

Use this label or a facsimile

<u>All applications and other deliveries to the Center for Scientific Review must come either via courier delivery or via the United States Postal Service (USPS.) Applications delivered by individuals to the Center for Scientific Review will not be accepted.</u>

Applications sent via the USPS EXPRESS or REGULAR MAIL should be sent to the following address:

CENTER FOR SCIENTIFIC REVIEW
NATIONAL INSTITUTES OF HEALTH
6701 ROCKLEDGE DRIVE
ROOM 1040 – MSC 7710
BETHESDA, MD 20892-7710

NOTE: All applications sent via a courier delivery service (non-USPS) should use this address, but <u>CHANGE THE ZIP CODE TO 20817</u>

The telephone number is 301-435-0715. C.O.D. applications will *<u>not</u>* be accepted.

A special label for responding to RFAs is not required.

OMB No. 0925-0001 and 0925-0002 (Rev. 03/2020 Approved Through 02/28/2023)

BIOGRAPHICAL SKETCH

Provide the following information for the Senior/key personnel and other significant contributors.
Follow this format for each person. **DO NOT EXCEED FIVE PAGES.**

NAME:

eRA COMMONS USER NAME (credential, e.g., agency login):

POSITION TITLE:

EDUCATION/TRAINING *(Begin with baccalaureate or other initial professional education, such as nursing, include postdoctoral training and residency training if applicable. Add/delete rows as necessary.)*

INSTITUTION AND LOCATION	DEGREE *(if applicable)*	Completion Date MM/YYYY	FIELD OF STUDY

A. Personal Statement

B. Positions and Honors

C. Contributions to Science

D. Additional Information: Research Support and/or Scholastic Performance

Form Approved Through 10/31/2018 OMB No. 0925-0002

Department of Health and Human Services Public Health Services **Grant Progress Report**	Review Group	Type	Activity	Grant Number
	Total Project Period From: Through:			
	Requested Budget Period From: Through:			

1. TITLE OF PROJECT

2a. PROGRAM DIRECTOR / PRINCIPAL INVESTIGATOR (Name and address, street, city, state, zip code)	2b. E-MAIL ADDRESS 2c. DEPARTMENT, SERVICE, LABORATORY, OR EQUIVALENT 2d. MAJOR SUBDIVISION 2e. Tel: Fax:
3a. APPLICANT ORGANIZATION (Name and address, street, city, state, zip code)	3b. Tel: Fax: 3c. DUNS: 4. ENTITY IDENTIFICATION NUMBER
6. HUMAN SUBJECTS ☐ No ☐ Yes 6a. Research Exempt ☐ No ☐ Yes | If Exempt (“Yes” in 6a): Exemption No. | If Not Exempt (“No” in 6a): IRB approval date 6b. Federal Wide Assurance No. 6c. NIH-Defined Phase III Clinical Trial ☐ No ☐ Yes	5. NAME, TITLE AND ADDRESS OF ADMINISTRATIVE OFFICIAL Tel: Fax: E-MAIL:
7. VERTEBRATE ANIMALS ☐ No ☐ Yes 7a. If “Yes,” IACUC approval Date 7b. Animal Welfare Assurance No.	10. PROJECT/PERFORMANCE SITE(S) Organizational Name: DUNS:
8. COSTS REQUESTED FOR NEXT BUDGET PERIOD 8a. DIRECT $ | 8b. TOTAL $	Street 1: Street 2:
9. INVENTIONS AND PATENTS ☐ No ☐ Yes If “Yes, ☐ Previously Reported ☐ Not Previously Reported	City: | County: State: | Province: Country: | Zip/Postal Code: Congressional Districts:

11. NAME AND TITLE OF OFFICIAL SIGNING FOR APPLICANT ORGANIZATION *(Item 13)*

TEL:	FAX:	E-MAIL:

12. Corrections to Page 1 Face Page

13. APPLICANT ORGANIZATION CERTIFICATION AND ACCEPTANCE: I certify that the statements herein are true, complete and accurate to the best of my knowledge, and accept the obligation to comply with Public Health Services terms and conditions if a grant is awarded as a result of this application. I am aware that any false, fictitious, or fraudulent statements or claims may subject me to criminal, civil, or administrative penalties.	SIGNATURE OF OFFICIAL NAMED IN 11. *(In ink)*	DATE

Contact Program Director/Principal Investigator:

2a. PROGRAM DIRECTOR / PRINCIPAL INVESTIGATOR (Name and address, street, city, state, zip code)	2b. E-MAIL ADDRESS
	2c. DEPARTMENT, SERVICE, LABORATORY, OR EQUIVALENT
	2d. MAJOR SUBDIVISION

2e. TELEPHONE AND FAX *(Area code, number and extension)*

TEL:		FAX:	

2a. PROGRAM DIRECTOR / PRINCIPAL INVESTIGATOR (Name and address, street, city, state, zip code)	2b. E-MAIL ADDRESS
	2c. DEPARTMENT, SERVICE, LABORATORY, OR EQUIVALENT
	2d. MAJOR SUBDIVISION

2e. TELEPHONE AND FAX *(Area code, number and extension)*

TEL:		FAX:	

2a. PROGRAM DIRECTOR / PRINCIPAL INVESTIGATOR (Name and address, street, city, state, zip code)	2b. E-MAIL ADDRESS
	2c. DEPARTMENT, SERVICE, LABORATORY, OR EQUIVALENT
	2d. MAJOR SUBDIVISION

2e. TELEPHONE AND FAX *(Area code, number and extension)*

TEL:		FAX:	

2a. PROGRAM DIRECTOR / PRINCIPAL INVESTIGATOR (Name and address, street, city, state, zip code)	2b. E-MAIL ADDRESS
	2c. DEPARTMENT, SERVICE, LABORATORY, OR EQUIVALENT
	2d. MAJOR SUBDIVISION

2e. TELEPHONE AND FAX *(Area code, number and extension)*

TEL:		FAX:	

Program Director/Principal Investigator (Last, First, Middle):

DETAILED BUDGET FOR NEXT BUDGET PERIOD – DIRECT COSTS ONLY	**FROM**	**THROUGH**	**GRANT NUMBER**

List PERSONNEL *(Applicant organization only)*
Use Cal, Acad, or Summer to Enter Months Devoted to Project
Enter Dollar Amounts Requested *(omit cents)* for Salary Requested and Fringe Benefits

NAME	ROLE ON PROJECT	Cal. Mnths	Acad. Mnths	Summer Mnths	SALARY REQUESTED	FRINGE BENEFITS	TOTALS
	PD/PI						
SUBTOTALS →							

CONSULTANT COSTS	
EQUIPMENT *(Itemize)*	
SUPPLIES *(Itemize by category)*	
TRAVEL	
INPATIENT CARE COSTS	
OUTPATIENT CARE COSTS	
ALTERATIONS AND RENOVATIONS *(Itemize by category)*	
OTHER EXPENSES *(Itemize by category)*	
SUBTOTAL DIRECT COSTS FOR NEXT BUDGET PERIOD	**$**
CONSORTIUM/CONTRACTUAL COSTS — DIRECT COSTS	
CONSORTIUM/CONTRACTUAL COSTS — FACILITIES AND ADMINISTRATIVE COSTS	
TOTAL DIRECT COSTS FOR NEXT BUDGET PERIOD *(Item 8a, Face Page)*	**$**

Program Director/Principal Investigator (Last, First, Middle):

BUDGET JUSTIFICATION	GRANT NUMBER

Provide a detailed budget justification for those line items and amounts that represent a significant change from that previously recommended. Use continuation pages if necessary.

CURRENT BUDGET PERIOD	FROM	THROUGH

Explain any estimated unobligated balance (including prior year carryover) that is greater than 25% of the current year's total budget.

Program Director/Principal Investigator (Last, First, Middle):

PROGRESS REPORT SUMMARY	GRANT NUMBER	
	PERIOD COVERED BY THIS REPORT	
PROGRAM DIRECTOR / PRINCIPAL INVESTIGATOR	FROM	THROUGH

APPLICANT ORGANIZATION

TITLE OF PROJECT (Repeat title shown in Item 1 on first page)

A. Human Subjects (Complete Item 6 on the Face Page)		
Involvement of Human Subjects	☐ No Change Since Previous Submission	☐ Change
B. Vertebrate Animals (Complete Item 7 on the Face Page)		
Use of Vertebrate Animals	☐ No Change Since Previous Submission	☐ Change
C. Select Agent Research	☐ No Change Since Previous Submission	☐ Change
D. Multiple PD/PI Leadership Plan	☐ No Change Since Previous Submission	☐ Change
E. Human Embryonic Stem Cell Line(s) Used	☐ No Change Since Previous Submission	☐ Change

SEE PHS 2590 INSTRUCTIONS.

WOMEN AND MINORITY INCLUSION: See PHS 398 Instructions. Use Inclusion Enrollment Report Format Page.

Program Director/Principal Investigator (Last, first, middle):

GRANT NUMBER

CHECKLIST

1. PROGRAM INCOME *(See instructions.)*

All applications must indicate whether program income is anticipated during the period(s) for which grant support is requested. If program income is anticipated, use the format below to reflect the amount and source(s).

Budget Period	Anticipated Amount	Source(s)

2. ASSURANCES/CERTIFICATIONS *(See instructions.)*
In signing the application Face Page, the authorized organizational representative agrees to comply with the policies, assurances and/or certifications listed in the application instuctions when applicable. Descriptions of individual assurances/certifications are provided in Part III of the PHS 398, and listed in Part I, 4.1 under Item 14. If unable to certify compliance, where applicable, provide an explanation and place it after the Progress Report (Form Page 5).

3. FACILITIES AND ADMINSTRATIVE (F&A) COSTS
Indicate the applicant organization's most recent F&A cost rate established with the appropriate DHHS Regional Office, or, in the case of for-profit organizations, the rate established with the appropriate PHS Agency Cost Advisory Office. F&A costs will ***not*** be paid on construction grants, grants to Federal organizations, grants to individuals, and conference grants. Follow any additional instructions provided for Research Career Awards, Institutional National Research Service Awards, Small Business Innovation Research/Small Business Technology Transfer Grants, foreign grants, and specialized grant applications.

☐ DHHS Agreement dated: ______________________ ☐ No Facilities and Administrative Costs Requested.

☐ No DHHS Agreement, but rate established with ______________________ Date ____________

CALCULATION*

Enter Rate as a decimal (e.g., 0.25 for 25%, 0.495 for 49.5%)

Entire proposed budget period: Amount of base $ x Rate applied 0.00% % = F&A costs $ ____________

Add to total direct costs from Form Page 2 and enter new total on Face Page, Item 8b.

*Check appropriate box(es):

☐ Salary and wages base ☐ Modified total direct cost base ☐ Other base *(Explain)*

☐ Off-site, other special rate, or more than one rate involved *(Explain)*

Explanation *(Attach separate sheet, if necessary.)*:

Program Director/Principal Investigator (Last, First, Middle):

ALL PERSONNEL REPORT

GRANT NUMBER

Place this form at the end of the signed original copy of the application. Do not duplicate.

Always list the PD/PI(s). In addition, list all other personnel who participated in the project during the current budget period for at least one person month or more, regardless of the source of compensation (a person month equals approximately 160 hours or 8.3% of annualized effort). Use the following abbreviated categories for describing Role on Project:

- **PD/PI**
- **Co-Investigator**
- **Faculty**
- **Postdoctoral (scholar, fellow, or other postdoctoral position)**
- **Technician**
- **Staff Scientist (doctoral level)**
- **Statistician**
- **Graduate Student (research assistant)**
- **Non-student Research Assistant**
- **Undergraduate Student**
- **High School Student**
- **Consultant**
- **Other (please specify)**

If personnel are supported by a Reentry or Diversity Supplement please indicate such after the Role on Project, using the following abbreviations: RS - Reentry Supplement; DS - Diversity Supplement.

Use Cal (calendar), Acad, or Summer to enter months devoted to project.

Commons ID	Name	Degree(s)	SSN (last 4 digits)	Role on Project	DoB (MM /YY)	Cal	Acad	Summer

Program Director/Principal Investigator (Last, first, middle):

NEXT BUDGET PERIOD *(Follow instructions carefully)*	**FROM**	**THROUGH**	**GRANT NUMBER**

ITEMIZE DIRECT COSTS REQUESTED FOR NEXT BUDGET PERIOD	DOLLAR AMOUNT REQUESTED (omit cents)
PREDOCTORAL STIPENDS *(List trainee names)* No. Requested:	$
POSTDOCTORAL STIPENDS *(Itemize) (List trainee names and levels)* No. Requested:	$
OTHER STIPENDS *(Specify)*	$
TOTAL STIPENDS →	$
TUITION and FEES (including Health Insurance when applicable – see new Instructions) *(Itemize)* *(List each category separately)*	$
TRAINEE TRAVEL *(Describe)*	$
TRAINING-RELATED EXPENSES (including Health Insurance when applicable – see new Instructions)	$
TOTAL DIRECT COSTS FOR NEXT BUDGET PERIOD *(Also enter on Page 1, Item 8a)*	$

PHS Inclusion Enrollment Report

Note: PHS Inclusion Enrollment Report is not included in this combined form. See individual form here: http://grants.nih.gov/grants/forms/inclusion-enrollment-report.pdf

Program Director/Principal Investigator (Last, First, Middle):

Trainee Diversity Report

This report format should NOT be used for data collection from trainees.

Training Grant Title: ____________________

Total Number of Appointed: ____________________

Grant Number: ____________________

PART A. TOTAL TRAINEE APPOINTMENTS REPORT: Number of Trainees Appointed by Ethnicity and Race

Ethnic Category	**Females**	**Males**	**Sex/Gender Unknown or Not Reported**	**Total**
Hispanic or Latino				**
Not Hispanic or Latino				
Unknown (individuals not reporting ethnicity)				
Ethnic Category: Total of All Trainees*				*
Racial Categories				
American Indian/Alaska Native				
Asian				
Native Hawaiian or Other Pacific Islander				
Black or African American				
White				
More Than One Race				
Unknown or Not Reported				
Racial Categories: Total of All Trainees*				*

PART B. HISPANIC TRAINEE APPOINTMENTS REPORT: Number of Hispanics or Latinos Appointed

Racial Categories	**Females**	**Males**	**Unknown or Not Reported**	**Total**
American Indian or Alaska Native				
Asian				
Native Hawaiian or Other Pacific Islander				
Black or African American				
White				
More Than One Race				
Unknown or Not Reported				
Racial Categories: Total of Hispanics or Latinos**				**

PART C. TRAINEES WITH DISABILITIES OR FROM DISADVANTAGED BACKGROUNDS	
Number of Trainees with Disabilities:	
Number of Trainees from Disadvantaged Backgrounds:	

(*) (**) These totals must agree.

OMB Number:4040-0004
Expiration Date:12/31/2022

Application for Federal Assistance SF-424

* 1. Type of Submission:
  - [ ] Preapplication
  - [ ] Application
  - [ ] Changed/Corrected Application

* 2. Type of Application:
  - [ ] New
  - [ ] Continuation
  - [ ] Revision

* If Revision, select appropriate letter(s):

* Other (Specify):

* 3. Date Received: Completed by Grants.gov upon submission.

4. Applicant Identifier:

5a. Federal Entity Identifier:

5b. Federal Award Identifier:

State Use Only:

6. Date Received by State:

7. State Application Identifier:

8. APPLICANT INFORMATION:

* a. Legal Name:

* b. Employer/Taxpayer Identification Number (EIN/TIN):

* c. Organizational DUNS:

d. Address:

* Street1:

Street2:

* City:

County/Parish:

* State:

Province:

* Country: USA: UNITED STATES

* Zip / Postal Code:

e. Organizational Unit:

Department Name:

Division Name:

f. Name and contact information of person to be contacted on matters involving this application:

Prefix:

* First Name:

Middle Name:

* Last Name:

Suffix:

Title:

Organizational Affiliation:

* Telephone Number:

Fax Number:

* Email:

Application for Federal Assistance SF-424

*** 9. Type of Applicant 1: Select Applicant Type:**

Type of Applicant 2: Select Applicant Type:

Type of Applicant 3: Select Applicant Type:

* Other (specify):

*** 10. Name of Federal Agency:**

11. Catalog of Federal Domestic Assistance Number:

CFDA Title:

*** 12. Funding Opportunity Number:**

* Title:

13. Competition Identification Number:

Title:

14. Areas Affected by Project (Cities, Counties, States, etc.):

Add Attachment | Delete Attachment | View Attachment

*** 15. Descriptive Title of Applicant's Project:**

Attach supporting documents as specified in agency instructions.

Add Attachments | Delete Attachments | View Attachments

Application for Federal Assistance SF-424

16. Congressional Districts Of:

* a. Applicant ______ * b. Program/Project ______

Attach an additional list of Program/Project Congressional Districts if needed.

Add Attachment | Delete Attachment | View Attachment

17. Proposed Project:

* a. Start Date: ______ * b. End Date: ______

18. Estimated Funding ($):

* a. Federal
* b. Applicant
* c. State
* d. Local
* e. Other
* f. Program Income
* g. TOTAL

*** 19. Is Application Subject to Review By State Under Executive Order 12372Process?**

☐ a. This application was made available to the State under the Executive Order 12372 Process for review on ______ .

☐ b. Program is subject to E.O. 12372 but has not been selected by the State for review.

☐ c. Program is not covered by E.O. 12372.

*** 20. Is the Applicant Delinquent On Any Federal Debt? (If "Yes," provide explanation in attachment.)**

☐ Yes ☐ No

If "Yes", provide explanation and attach

Add Attachment | Delete Attachment | View Attachment

21. *By signing this application, I certify (1) to the statements contained in the list of certifications and (2) that the statements herein are true, complete and accurate to the best of my knowledge. I also provide the required assurances** and agree to comply with any resulting terms if I accept an award. I am aware that any false, fictitious, or fraudulent statements or claims may subject me to criminal, civil, or administrative penalties. (U.S. Code, Title 218, Section 1001)**

** I AGREE

** The list of certifications and assurances, or an internet site where you may obtain this list, is contained in the announcement or agency specific instructions.

Authorized Representative:

Prefix: ______ * First Name: ______

Middle Name: ______

* Last Name: ______

Suffix: ______

* Title: ______

* Telephone Number: ______ Fax Number: ______

* Email: ______

* Signature of Authorized Representative: Completed by Grants.gov upon submission. * Date Signed: Completed by Grants.gov upon submission.

A-3
CERTIFICATION AND ASSURANCES

CERTIFICATIONS REGARDING LOBBYING; DEBARMENT, SUSPENSION AND OTHER RESPONSIBILITY MATTERS; AND DRUG-FREE WORKPLACE REQUIREMENTS

Applicants should refer to the regulations cited below to determine the certification to which they are required to attest. Applicants should also review the instructions for certification included in the regulations before completing this form. Signature of this form provides for compliance with certification requirements under 34 CFR Part 82, "New Restrictions on Lobbying," and 34 CFR Part 85, "Government-wide Debarment and Suspension (Non-procurement) and Government-wide Requirements for Drug-Free Workplace (Grants)." The certifications shall be treated as a material representation of fact upon which reliance will be placed when the Department of Education determines to award the covered transaction, grant, or cooperative agreement.

1. LOBBYING

As required by Section 1352, title 31 of the U.S. Code, and implemented at 34 CFR Part 82m for persons entering into a grant or cooperative agreement over $1000,000, as defined at 34 CFR Part 82, Sections 82.105 and 82.110, the applicant certifies that:

(a) No Federal appropriated funds have been paid or will be paid, by or on behalf of the undersigned, to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with the making of any Federal grant, the entering into of any cooperative agreement, and the extension, continuation, renewal, amendment, or modification of any Federal grant or cooperative agreement;

(b) If any funds other than Federal appropriated funds have been paid or will be paid to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with this Federal grant or cooperative agreement, the undersigned shall complete and submit Standard Form – LLL, "Disclosure Form to Report Lobbying," in accordance with its instructions;

(c) The undersigned shall require that the language of this certification be included in the award documents for all sub-awards at all tiers (including sub-grants, contracts under grants and cooperative agreements, and subcontracts) and that all sub-recipients shall certify and disclose accordingly.

2. DEBARMENT, SUSPENSION, AND OTHER RESPONSIBILITY MATTERS

As required by Executive Order 12549, Debarment and Suspension, and implemented at 34 CFR Part 85, for prospective participants in primary covered transactions, as defined at 34 CFR Part 85, Sections 85.105 and 85.110—

A. The applicant certifies that it and its principals:

(a) Are not presently debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded from covered transactions by any Federal department or agency:
(b) have not within a three-year period preceding this application been convicted of or had a civil judgment rendered against them for commission of fraud or a criminal offense in connection with obtaining, attempting to obtain, or performing a public (Federal, State, or local) transaction or contract under a public transaction; violation of Federal or State antitrust statutes or commission of embezzlement, theft, forgery, bribery, falsification or destruction of records, making false statements, or receiving stolen property;

(c) Are not presently indicted for or otherwise criminally or civilly charged y a governmental entity (Federal, State, or local) with commission of any of the offenses enumerated in paragraph (2)(b) of this certification; and
(d) Have not within a three-year period preceding this application had one or more public transactions (Federal, State, or local) terminated for cause or default; and

B. Where the applicant is unable to certify to any of the statements in this certification, he or she shall attach an explanation to this application.

3. DRUG-FREE WORKPLACE (GRANTEES OTHER THAN INDIVIDUALS)

As required by the Drug-Free Workplace Act of 1988, and implemented at 34 CFR Part 85, Subpart F, for grantees, as defined at 34 CFR Part 85, Sections 85.605 and 85.610

A. The applicant certifies that it will or will continue to provide a drug-free workplaceby:

(a) Publishing a statement notifying employees that the unlawful manufacture, distribution, dispensing, possession, or use of a controlled substance is prohibited in the grantee's workplace and specifying the actions that will be taken against employees for violation of such prohibition;

(b) Establishing an on-going drug-free awareness program to inform employeesabout:

(1) The dangers of drug abuse in the workplace;

(2) The grantee's policy of maintaining a drug-free workplace;

(3) Any available drug counseling, rehabilitation, and employee assistance programs; and

(4) The penalties that may be imposed upon employees for drug abuse violations occurring in theworkplace;

(c) Making it a requirement that each employee to be engaged in the performance of the grant be given a copy of the statement required by paragraph (a);

(d) Notifying the employee in the statement required by paragraph (a) that, as a condition of employment under the grant, the employee will:

(1) Abide by the terms of the statement; and

(2) Notify the employer in writing of his or her conviction for a violation of a criminal drug statute occurring in the workplace no later than five calendar days after such conviction;

(e) Notifying the agency, in writing, within 10 calendar days after receiving notice under subparagraph (d)(2) from an employee or otherwise receiving actual notice of such conviction. Employers of convicted employees must provide notice, including position title, to: Director, Grants Policy and Oversight Staff, U.S. Department of Education, 400 Maryland Avenue, S.W. (Room 3652, GSA Regional Office Building No. 3), Washington, DC 20202-4248. Notice shall include the identification number(s) of each affected grant;

(f) Taking one of the following actions , within 30 calendar days of receiving notice under subparagraph (d)(2), with respect to any employee who is so convicted:

(1) Taking appropriate personnel action against such an employee, up to an including termination, consistent with the requirements of the Rehabilitation Act of 1973, as amended; or

(2) Requiring such employee to participate satisfactorily in a drug abuse assistance or rehabilitation program approved for such purposes by a Federal, State, or local health, law enforcement, or other appropriate agency;

(g) Making a good faith effort to continue to main a drug-free workplace through implementation of paragraphs (a), (b), (c), (d), (e), and (f).

B. The grantee may insert in the space provided below the site(s) for the performance of work done in connection with the specific grant:

Place of Performance (street address, city, county, state, zip code)

____

____

____

Check [ ] if there are workplaces on file that are not identified here.

As required by the Drug-Free Workplace Act of 1988, and implemented at 34 CFR Part 85, Subpart F, for grantees, as defined at 34 CFR Part 85, Sections 85.605 and 85.610

A. As a condition of the grant, I certify that I will not engage in the unlawful manufacture, distribution, dispensing, possession, or use of a controlled substance in conducting any activity with the grant; and

B. If convicted of a criminal drug offense resulting from a violation occurring during the conduct of any grant activity, I will report the conviction, in writing, within 10 calendar days of the conviction, to: Director, Grants Policy and Oversight Staff, Department of Education, 400 Maryland Avenue, S.W. (Room 3652, GSA Regional Office Building No. 3), Washington, DC 20202-4248. Notice shall include the identification numbers(s) of each affected grant.

As the duly authorized representative of the applicant, I hereby certify that the applicant will comply with the above certifications.

NAME OF APPLICANT	PR/AWARD NUMBER AND/OR PROJECT NAME
PRINTED NAME AND TITLE OF AUTHORIZED REPRESENTATIVE	
SIGNATURE	DATE

ASSURANCES - NON-CONSTRUCTION PROGRAMS

Public reporting burden for this collection of information is estimated to average 15 minutes per response, including time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. Send comments regarding the burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, to the Office of Management and Budget, Paperwork Reduction Project (0348-0040), Washington, DC 20503.

PLEASE DO NOT RETURN YOUR COMPLETED FORM TO THE OFFICE OF MANAGEMENT AND BUDGET. SEND IT TO THE ADDRESS PROVIDED BY THE SPONSORING AGENCY.

NOTE: Certain of these assurances may not be applicable to your project or program. If you have questions, please contact the awarding agency. Further, certain Federal awarding agencies may require applicants to certify to additional assurances. If such is the case, you will be notified.

As the duly authorized representative of the applicant, I certify that the applicant:

1. Has the legal authority to apply for Federal assistance and the institutional, managerial and financial capability (including funds sufficient to pay the non-Federal share of project cost) to ensure proper planning, management and completion of the project described in this application.

2. Will give the awarding agency, the Comptroller General of the United States and, if appropriate, the State, through any authorized representative, access to and the right to examine all records, books, papers, or documents related to the award; and will establish a proper accounting system in accordance with generally accepted accounting standards or agency directives.

3. Will establish safeguards to prohibit employees from using their positions for a purpose that constitutes or presents the appearance of personal or organizational conflict of interest, or personal gain.

4. Will initiate and complete the work within the applicable time frame after receipt of approval of the awarding agency.

5. Will comply with the Intergovernmental Personnel Act of 1970 (42 U.S.C. §§4728-4763) relating to prescribed standards for merit systems for programs funded under one of the 19 statutes or regulations specified in Appendix A of OPM's Standards for a Merit System of Personnel Administration (5 C.F.R. 900, Subpart F).

6. Will comply with all Federal statutes relating to nondiscrimination. These include but are not limited to: (a) Title VI of the Civil Rights Act of 1964 (P.L. 88-352) which prohibits discrimination on the basis of race, color or national origin; (b) Title IX of the Education Amendments of 1972, as amended (20 U.S.C. §§1681• 1683, and 1685-1686), which prohibits discrimination on the basis of sex; (c) Section 504 of the Rehabilitation Act of 1973, as amended (29 U.S.C. §794), which prohibits discrimination on the basis of handicaps; (d) the Age Discrimination Act of 1975, as amended (42 U.S.C. §§6101-6107), which prohibits discrimination on the basis of age; (e) the Drug Abuse Office and Treatment Act of 1972 (P.L. 92-255), as amended, relating to nondiscrimination on the basis of drug abuse; (f) the Comprehensive Alcohol Abuse and Alcoholism Prevention, Treatment and Rehabilitation Act of 1970 (P.L. 91-616), as amended, relating to nondiscrimination on the basis of alcohol abuse or alcoholism; (g) §§523 and 527 of the Public Health Service Act of 1912 (42 U.S.C. §§290 dd-3 and 290 ee-3), as amended, relating to confidentiality of alcohol and drug abuse patient records; (h) Title VIII of the Civil Rights Act of 1968 (42 U.S.C. §§3601 et seq.), as amended, relating to nondiscrimination in the sale, rental or financing of housing; (i) any other nondiscrimination provisions in the specific statute(s) under which application for Federal assistance is being made; and, (j) the requirements of any other nondiscrimination statute(s) which may apply to the application.

7. Will comply, or has already complied, with the requirements of Titles II and III of the Uniform Relocation Assistance and Real Property Acquisition Policies Act of 1970 (P.L. 91-646) which provide for fair and equitable treatment of persons displaced or whose property is acquired as a result of Federal or federally-assisted programs. These requirements apply to all interests in real property acquired for project purposes regardless of Federal participation in purchases.

8. Will comply, as applicable, with provisions of the Hatch Act (5 U.S.C. §§1501-1508 and 7324-7328) which limit the political activities of employees whose principal employment activities are funded in whole or in part with Federal funds.

9. Will comply, as applicable, with the provisions of the Davis-Bacon Act (40 U.S.C. §§276a to 276a-7), the Copeland Act (40 U.S.C. §276c and 18 U.S.C. §874), and the Contract Work Hours and Safety Standards Act (40 U.S.C. §§327• 333), regarding labor standards for federally-assisted construction subagreements.

10. Will comply, if applicable, with flood insurance purchase requirements of Section 102(a) of the Flood Disaster Protection Act of 1973 (P.L. 93-234) which requires recipients in a special flood hazard area to participate in the program and to purchase flood insurance if the total cost of insurable construction and acquisition is $10,000 or more.

11. Will comply with environmental standards which may be prescribed pursuant to the following: (a) institution of environmental quality control measures under the National Environmental Policy Act of 1969 (P.L. 91-190) and Executive Order (EO) 11514; (b) notification of violating facilities pursuant to EO 11738; (c) protection of wetlands pursuant to EO 11990; (d) evaluation of flood hazards in floodplains in accordance with EO 11988; (e) assurance of project consistency with the approved State management program developed under the Coastal Zone Management Act of 1972 (16 U.S.C. §§1451 et seq.); (f) conformity of Federal actions to State (Clean Air) Implementation Plans under Section 176(c) of the Clean Air Act of 1955, as amended (42 U.S.C. §§7401 et seq.); (g) protection of underground sources of drinking water under the Safe Drinking Water Act of 1974, as amended (P.L. 93-523); and, (h) protection of endangered species under the Endangered Species Act of 1973, as amended (P.L. 93• 205).

12. Will comply with the Wild and Scenic Rivers Act of 1968 (16 U.S.C. §§1271 et seq.) related to protecting components or potential components of the national wild and scenic rivers system.

13. Will assist the awarding agency in assuring compliance with Section 106 of the National Historic Preservation Act of 1966, as amended (16 U.S.C. §470), EO 11593 (identification and protection of historic properties), and the Archaeological and Historic Preservation Act of 1974 (16 U.S.C. §§469a-1 et seq.).

14. Will comply with P.L. 93-348 regarding the protection of human subjects involved in research, development, and related activities supported by this award of assistance.

15. Will comply with the Laboratory Animal Welfare Act of 1966 (P.L. 89-544, as amended, 7 U.S.C. §§2131 et seq.) pertaining to the care, handling, and treatment of warm blooded animals held for research, teaching, or other activities supported by this award of assistance.

16. Will comply with the Lead-Based Paint Poisoning Prevention Act (42 U.S.C. §§4801 et seq.) which prohibits the use of lead-based paint in construction or rehabilitation of residence structures.

17. Will cause to be performed the required financial and compliance audits in accordance with the Single Audit Act Amendments of 1996 and OMB Circular No. A-133, "Audits of States, Local Governments, and Non-Profit Organizations."

18. Will comply with all applicable requirements of all other Federal laws, executive orders, regulations, and policies governing this program.

SIGNATURE OF AUTHORIZED CERTIFYING OFFICIAL	TITLE
APPLICANT ORGANIZATION	DATE SUBMITTED

Standard Form 424B (Rev. 7-97) Back

A-4

HUMAN SUBJECTS

APPLICATION FOR APPROVAL OF INVESTIGATION INVOLVING HUMAN PARTICIPANTS

Morgan State University

(Application must be typed)

1. Principal Investigator:

   Mailing Address:
   Contact Phone: Email Address:

   Co-Investigator(s):
   (Include affiliation if not from Morgan)

2. If you are a student, provide the following:
   Faculty Sponsor:
   Department:
   Campus Phone:

3. Project Title:

NOTE: NO CONTACT WITH HUMAN SUBJECTS MAY OCCUR UNTIL THIS APPLICATION HAS BEEN APPROVED.

4. Dates during which research with human participants will take place (including all contact with human participants and until analysis of subject identifiable data and records are complete or access to identifiable data and records is no longer necessary):

   Date research with human participants will begin:
   Date research with human participants will end:

5. Has this project been previously considered by Morgan State's Institutional Review Board?

   ☐ Yes ☐ No If yes, give IRB # and approval date: # Approv. Date:

6. Is a proposal for external support being submitted? ☐ Yes ☐ No
   If yes, you must submit one complete copy of that proposal as soon as it becomes available and complete the following:

   a.) Name of Grant Program:
   b.) Name of Grant Agency:
   c.) Is notification of human subjects approval required: ☐ Yes ☐ No

7. Description of Human Participants: Number: Age:
Male: Female:

8. In your judgment, does your research fall under one of the six exempt categories?
☐ Yes ☐ No

If you believe it does, indicate the category under which you are claiming exemption. A listing of exempt categories is included in Morgan State University's *Policies and Procedures for Research Involving Human Participants*, found on the Office of Research Administration website.

Exemption:
Category:

If you are claiming an exemption, skip numbers 15-16

9. STUDENT PROJECTS ONLY

Is this project an independent research project? ☐ Yes ☐ No

Master's thesis? ☐ Yes ☐ No

Doctoral dissertation? ☐ Yes ☐ No

If **no**, is your project a supervised student project that was assigned as part of the requirements for a course? ☐ Yes ☐ No

Course No. and Name:

10. Describe the source(s) of participants and the selection criteria. Specifically, where did you obtain the names of potential participants (i.e. agency files, hospital records, local organizations, etc.)? Where and how will you contact them?

11a. Is any of the information being gathered Protected Health Information covered by the Health Insurance Portability and Accountability Act (HIPAA)? ☐ Yes ☐ No

11b. If yes, are you using an informed consent document that is consistent with HIPAA regulations? (Please attach a sample.) ☐ Yes ☐ No

If the response to 11b is no, you must attach an *Addendum to Application for Approval of Investigation Involving Human Participants*, *Request for Waiver* or *Alteration of Patient Authorization Requirements* to this application.

12. **Procedures:** Provide a step-by-step description of each procedure, including the frequency, duration and location of each procedure.

13. **Description:** Briefly describe the proposed research: Include major hypotheses and research design.

14. **Consent:** Describe the informed consent process and attach all **consent** documents. For projects involving minors: describe the process through which assent will be obtainedand attach copies of **assent forms.** If you have not indicated that the project is exempt and consent and/or assent will not be obtained, explain why a waiver is requested.

15. **Expertise:** Cite your experience with this kind of research. List any assistants who will be working with you, and cite their experience also

16. **Benefits:** Describe the anticipated benefits to participants and the importance of the knowledge that may reasonably be expected to result.

17. **Risks:** Describe the risks involved with these procedures (physical, psychological and/or social) and the precautions you have taken to minimize these risks.

18. **Data Retention:** Will research data (written or otherwise recorded) be destroyed at the end of the study? If not, where and in what format and for how long will they be stored. To what uses – such as research, demonstration, public performance, archiving, etc. – might they be put in future? How will subjects' permission for further use of their data be obtained.

19. Principal Investigators must submit a Request for Amendment form when seeking to make a change to a study that has already been approved.

Committee approvals for expedited and full review applications are for one-year periods. If the research activity extends past one year, applications must submit a Request for Renewal form at least **three weeks** prior to the expiration of the initial approval period.

Any problems connected with the use of human participants once the project has begun must be reported to the Office of Research Administration and/or the Institutional Review Board immediately.

I agree to provide whatever surveillance is necessary to ensure that the rights and welfare of the human participants are properly protected. I understand that I cannot initiate any contact with human participants before I have received approval and/or complied with all contingencies made in connection with that approval.

____ Date:____________________
Signature of Principal Investigator/Project Director

20. Approval by Faculty Sponsor (required for all students):

I affirm the accuracy of this application, and I accept responsibility for supervising the conduct of this research project and the protection of human participants as required by law.

____Date:________________________
Signature of Faculty Sponsor

Please submit the completed and signed application, together with copies of all relevant documents:

- ***project abstract/executive summary***
- ***survey instruments or protocol***
- ***informed consent form (or script), assent form ****
- ***subjects information sheets or debriefing materials***
- ***recruitment letter, poster, advertisement***
- ***human subjects education certificate (CITI or NIH) - REQUIRED***
- ***other __________________________________***

To:

Office of Research Administration,

Montebello Complex, Room D-302.

For More Information, Contact:

(443) 885-4340

Irb.research@morgan.edu

A sample informed consent form is attached on the following page.

For further information on Morgan State University's Institutional Review Board please visit:

https://www.morgan.edu/research_and_economic_development/office_of_sponsored_programs_and_research/human_subjects_research.html

SAMPLE INFORMED CONSENT FORM

You are invited to participate in a study of **(State what is being studied).** We hope to learn **(State what the study is designed to discover or establish)**. The study is being conducted by **(State PI's name)** of **(State Institution name).**You were selected as a possible participant in this study because **(State why and how the subject was selected.)**

If you decide to participate, we will **(Describe the procedures to be followed, including their purposes, how long they take and their frequency. Describe the discomforts and inconveniences reasonably to be expected and estimate the total time required. Describe the risks reasonably to be expected and any benefits reasonably to be expected.)**

(If applicable, Describe appropriate alternative procedures that might be advantageous to the subject and, if any, any standard treatment that is being withheld must be disclosed).

Any information that is obtained in connection with this study and that can be identified with you will remain confidential and will be disclosed only with your permission. **(If you will be releasing information to anyone for any reason, you must state the persons or agencies to whom the information will be furnished, and the purpose of the disclosure.)**

Your decision whether or not to participate will not prejudice your future relation with the **(State the institution or agency).** If you decide to participate, you are free to discontinue participation at any time without prejudice.

If you have any questions, please do not hesitate to contact us. If you have any additional questions later about the study, please contact **(Name of primary contact person/faculty advisor)** at **(Contact information)** who will be happy to answer them. If you have further administrative questions, you may contact the MSU IRB Administrator, at 443-885-4340 or irb.research@morgan.edu.

You will be offered a copy of this form to keep.

You are making a decision whether or not to participate. Your signature indicates that you have read the information provided above and have decided to participate. You may withdraw at any time without penalty or loss of any benefits to which you may be entitled after signing this form should you choose to discontinue participation in this study.

___________________________________	_____________________
Signature	Date:
______________________________________	_____________________
Signature of Parent/Legal Guardian (If necessary)	Date
___________________________________	_____________________
Signature of Witness (If appropriate)	Signature of Investigator

MORGAN STATE UNIVERSITY
Application for Renewal of IRB Approval

Please submit 1 copy of this form if you wish to renew IRB approval of your research project. ***You must renew IRB approval of your project annually if you have not yet completed data analysis and all research activities outlined in your initial IRB application (and any subsequent amendments).***

We ask that you return all materials to ORA **at least 30 days before the expiration of your current IRB Approval** to allow sufficient time for the approval process.

Project Information

Project IRB # **Approval Expires**:

Project Title:

Primary Investigator:

Contact Information:

Mailing Address:

Phone Number:

E-mail:

Co-Investigators:

Faculty Advisor (if applicable)**:**

Nature of Study:

- ☐ Faculty Research
- ☐ Dissertation
- ☐ Master's Thesis
- ☐ Other
- ☐ Undergraduate Research
- ☐ Graduate Research
- ☐ Staff Research

Determination of Risk:

- ☐ Minimal
- ☐ More than minimal

Project Status

Please check below.

a. ☐ Project has not yet started.
b. ☐ Participant enrollment and data collection is on-going.
c. ☐ Participant enrollment closed, but data collection procedures are still underway.
d. ☐ Participant enrollment and data collection have been completed, but follow-up has yet to be conducted.
e. ☐ All data collection activities have been completed; renewal is needed for data analysis only.

Participant Numbers

1. How many participants have been enrolled since initial IRB approval? ________
   "Enrolled" means recruited and consented. If you have renewed your project more than once, please refer to previous renewal applications to calculate the total number enrolled.

2. How many participants have been enrolled since last renewal? ________
   If this is your first renewal, the number here should match #1 above.

3. How many additional participants are needed to complete the study? ________

4. Was any participant withdrawn or did any participant voluntarily withdraw from the study? ☐ Yes ☐ No
   If yes, how many? Please describe the incident(s).

Research Questions

5. Have you made any changes to the research protocol for this project since initial approval by the IRB (e.g., in the research population, in procedures, or in design of consent forms)? ☐ Yes ☐ No
   If yes, provide a summary of the modifications below.

6. Do you need to make changes to the current protocol before continuing research activities in the next year?
   ☐ Yes ☐ No
   If yes, attach details of the "Amendment to a Research Protocol"

7. Describe any unexpected outcomes or problems that occurred since the last IRB review. Note that adverse events, both expected an unexpected, must be reported. If any adverse events were reported by participants, describe the nature of the events and explain what changes were made in the research design to respond to the report.

8. Is the study supported by either internal or external grants or funding? ☐ Yes ☐ No

Name of grant:

Name of agency:

(If funded by more than one grant, please attach a complete list of sponsors)

Informed Consent

9. Please attach an unsigned copy of the consent/assent form(s), that you used during the past approval period.

10. Will you be enrolling additional participants? ☐ Yes ☐ No
    If yes, please attach an unsigned and unstamped version of the consent/assent form(s) that you will be using during the next approval period.

Research Summary

11. Provide a summary of the research findings obtained to date. If you have not yet begun to analyze data, describe the activities that have taken place to date and what you hope to accomplish during the next approval period.

Signatures

I assure that all information is accurate and that no changes will be implemented until IRB approval has been granted. If the IRB protocol requires use of a signed consent form, I certify that I will obtain a signed copy from each human subject and store it securely in my research files.

______________________________ Investigator Date

______________________________ Co-Investigator Date

______________________________ Faculty Advisor (if applicable) Date

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Return the completed renewal application to:

Office of Research Administration

Montebello Complex, D-302; ***Attn:*** **IRB Administrator** *Phone:* ***443-885-4340;*** *Fax:* ***443-885-8280***

E-mail: *irb.research@morgan.edu*

A-5

MORGAN STATE UNIVERSITY POLICIES

MORGAN STATE UNIVERSITY
POLICY ON COPYRIGHT

Board of Regents Approved
March 20, 1996

I. POLICY

The objective of this policy is to encourage the development of copyrighted works as well as to set forth the parameters by which copyright ownership is achieved. All rights in copyright for works arising from the use of any University resources shall belong to the University.

It is the policy of Morgan State University that copyrights arising from aesthetic, scholarly, or other work developed through independent efforts and not part of a directed institutional or University assignment shall reside with the originator. Independent effort is defined as the product of inquiry, investigation, or research to advance truth, knowledge, or the arts where the specific choice, content, course, and direction of the efforts is determined by the individual without assignment or supervision by the University.

In conformity with this policy, the President is authorized to enter into agreements with respect to ownership, licensure, disposition of royalty income, resolution of disputes, and other rights related to copyrights. The President is authorized to register copyrights, accept copyrights from third parties, and to sell or grant licenses or assignments in the name of the University for any rights to copyrights under University jurisdiction.

II. OWNERSHIP BY CATEGORYOF

WORK A. Scholarly/Aesthetic

In keeping with traditional academic practice and policy, ownership of copyrights to scholarly or aesthetic works that are prepared through independent effort and not part of a directed assignment shall reside with the originator except as otherwise provided in this Policy. The general obligation of faculty to produce scholarly works does not constitute such a directed assignment.

B. Personal

The copyright to any work that is prepared outside the scope of employment and without the use of University resources by an employee shall be the property of the employee.

C. Sponsored/Contracted

The University asserts its right to copyrightable works created under sponsorship or contract. Copyright ownership of sponsored works and contracted works shall be governed by such agreements or contracts. Any sponsored work agreement which provides for ownership by other than the University shall also provide the University with a free-of-cost, non-exclusive, world-wide license to use and reproduce the copyrighted work for research and education purposes, except where prohibited by law or government regulation.

D. Commissioned

When the University commissions the production of a work, title normally should be with the University. In all cases, copyright ownership shall be specified in the written contract. Any commissioned work agreement which provides for ownership by other than the University shall also provide the University with a free-of-cost, non-exclusive, world-wide license to use and reproduce the copyrighted work for research and education purposes, except where prohibited by law or government regulation.

E. Acquired by Assignment or Will

The University may acquire copyrights by assignment or will pursuant to the terms of a written agreement or testament.

III. REVENUE SHARING

The University may assign or license its copyrights to others. The University shall share with the originator(s) revenue which it receives through copyrights. Specific provisions of grants or contracts may govern rights ad revenue distribution. Consequently, revenues received from such copyrights may be exclusive of payments of royalty shares to donors or contractors. Moreover, the University may contract with outside persons or organizations to obtain, manage and defend copyrights, and any royalty share or expenses contractually committed to such persons or organizations may be deducted before revenues accrue or before the originator's share is distributed.

The net revenues from a copyright will be applied first to reimburse the University for expenses in generating the copyright and in marketing, licensing and defending the rights. After reimbursement of such expenses, such revenues shall be shared as follows: (1) the first $5,000 shall be paid to the originator(s); (2) thereafter the originator(s) shall receive seventy-five percent of such revenues. Applicable laws, regulations or provisions of grants or contracts may require that a lesser share be paid to the originator.

To the extent consistent with State and University policies, any net revenue received on account of a copyright, after sharing with the originator(s), will be dedicated to research and to the promotion of original works. If practicable, eighty-five percent of the University's share of new revenue from each copyright will be designated for research in the originator's department or unit up to $100,000 in a fiscal year.

If use of such funds for research within the originator's department or analogous unit is not practicable, the funds should usually be designated for research in a related department or unit. The remaining part of the net revenues shall be devoted to research and incentive for creative works as directed by the President, or designee.

IV. DEFINITIONS

For purposes of interpretation of this policy, the following definitions shall apply:

A. Aesthetic Work
   a. A work that is a result of original artistic expression.

B. Commissioned Work
   a. Work produced for the University by others pursuant to a contract at theinstitution's expense.

C. Contracted Work
   a. Work produced by and for others at the others' expense, using University facilities pursuant to a contract.

D. Copyright
   a. The intangible property right granted by statute providing the owner the following exclusive rights over a work: to reproduce, to prepare derivative works, todistribute, to perform publicly, and to display publicly.

E. Direct University Assignment
   a. Any written or oral instruction or task assigned to an originator.

F. Independent Effort
    a. Independent effort is defined as the product of inquiry, investigation, or research to advance truth, knowledge, or the arts where the specific choice, or content, course and direction of the effort is determined by the individual without assignment or supervision by the University.

G. License
    a. A contract in which a copyright owner grants permission to exercise one or more of the rights under copyright.

H. Originator
    a. A person who produces a work by his own intellectual effort, including a student employee.

I. Royalties
    a. A payment made to an owner of a copyright for the privilege of practicing a right under the copyright.

J. Scholarly Work
    a. Work such as, but not limited to, books, articles, other such publications, lectures, and computer software resulting from independent effort.
    b.

K. Software
    a. Statements or instructions used in a computer to bring about a certain result and any associated documentation containing operational instructions. (In cases where software is found to be patentable, the Patent Policy will govern.)

L. Sponsored Work
    a. A work produced by or through the University pursuant to a contract, grant, or other agreement.

M. University Resources
    a. All buildings, equipment, services, funds (regardless of source), and other facilities under the control of the Board of Regents.

N. Work
    a. Any copyrightable expression including, but not limited to writings, lectures, musical or dramatic compositions, sound recordings, films, videotapes, computer software, architectural designs, and works of art.

Approved Board of Regents
March 20, 1996

MORGAN STATE UNIVERSITY
POLICY ON PATENTS

I. Objectives

The objectives of this policy are to encourage and aid research at Morgan State University, to provide financial compensation as well as professional recognition to inventors, and to protect and best serve the public interest. To these ends, this policy encourages disclosure of inventions and discoveries and their evaluation for possible patenting and licensing and establishes principles for determining the rights of the University and inventors. Morgan State University encourages scholarly publication of the results of faculty and student research.

II. Applicability

A. The Morgan State University Patent Policy applies to all personnel. As used in this policy, "personnel" means all paid and unpaid full-time and part-time faculty members and staff, and all paid employees (including those on approved leaves); students, volunteers and fellows.

III. General Policy

A. Morgan State University has an interest in all inventions of personnel which are conceived or first actually reduced to practice as a part of or as a result of: a University administered program of research; activities within the scope of the inventor's employment by the University; or activities involving the use, to a substantial degree, of University time, facilities, or materials or of University information not available to the public. "Invention" means any invention or discovery which is or may be patentable or which may be commercially licensable. At the time of appointment of visiting faculty and personnel a signed acknowledgment of this policy will be required. An invention shall be considered as resulting from activities "within the scope of the inventor's employment" whenever the inventor's duties include research or investigation or the supervision of research or investigation and the invention is relevant to the general field of inquiry to which the inventor was devoted or assigned. "Time, facilities and materials" paid for from funds administered by the University shall be considered University time, facilities and materials whether the funds arise from federal or state appropriations, student fees, donations, grants, contracts or other sources.

B. The University has a right to ownership of any invention in which it has an interest. Unless otherwise agreed, this Policy also applies to any inventions in which the University has an interest under the terms of contracts, grants or other agreements. An invention in which the University does not have a legal interest may be offered to the University and, if accepted, the University will administer such invention in accordance with this Patent Policy or as otherwise agreed.

C. Except under special circumstances the University will not assign rights in future inventions to private corporations or businesses.

IV. Responsibilities of the Morgan State University and Delegations of Authority

A. The University shall: (1) notify the inventor promptly whenever it decides not to pursue or to abandon the pursuit of patenting or commercialization of an invention, (2) execute, upon request, all contracts, assignments, waivers or other legal documents necessary to transfer to the inventor the University's interest in any invention which it has so chosen not to pursue, (3) act with reasonable promptness and in good faith on all inventions disclosed to it, and (4) remit to the inventors their shares of income from inventions as specified in Section VI of this policy. Subject to these responsibilities, the University may, at any time, decide not to pursue or to abandon the pursuit of patenting and/or commercialization of an invention in which it has an interest.

B. Authority and responsibility for Patent Policy is delegated to the President (or his designee). The President shall develop procedures for implementing this policy.

V. Responsibilities of Personnel

A. Personnel who, either alone or in association with others, make an invention in which the University has or may have an interest shall disclose to the President or designee such invention reasonably promptly. As to an invention in which the University has an interest, the inventor, upon request, shall execute promptly all contracts, assignments, waivers or other legal documents necessary to vest in the University, or its assignees, any or all rights to the invention, including complete assignment of any patents or patent applications relating to the invention.

B. Personnel: (1) may not sign patent agreements with outside persons or organizations which may abrogate or otherwise conflict with the University's rights and interests as stated in this Policy, nor (2) without prior authorization use the name of the University in connection with any invention.

C. At the time of appointment, visiting faculty and personnel shall sign an acknowledgment of this policy.

VI. Revenue Sharing

A. The University shall share with the inventor revenue from a patent or invention. Specific provisions of grants or contracts may govern rights and revenue distribution regarding inventions made in connection with sponsored research. Consequently, revenues received from such inventions may be exclusive of payments of royalty shares to donors or contractors. Moreover, the University may contract with outside persons or organizations for the obtaining, managing and defending of patents, and any royalty share or expenses contractually committed to such persons or organizations may be deducted before revenues accrue or before the inventor's share is distributed.

B. The net revenues from a patent or invention will be applied first to reimburse the University for expenses in obtaining and maintaining the patent and in marketing, licensing and defending the patent or licensable invention. After reimbursement of such expenses, such revenues shall be shared as follows: (1) the first $5,000 shall be paid to the inventor or inventors; (2) thereafter the inventor(s) shall receive fifty percent of such revenues. Applicable laws, regulations or provisions of grants or contracts may require that a lesser share be paid to the inventor.

C. To the extent consistent with State and University policies, any net revenue received on account of an invention, after sharing with the inventor, will be dedicated to research and to the promotion of patenting and patents. If practicable, eighty-five percent of the University's share of new revenue from each invention will be designated for research in the inventor's department or unit up to $100,000 in a fiscal year. The remaining part of the net revenues shall be devoted to research and the promotion of patenting and patents as directed by the President, or designee.

D. If use of such funds for research within the inventor's department or analogous unit is not practicable or for an amount in excess of $100,000 per fiscal year, the President may allocate funds for other use within the institution.

VII. Administration

A. The Intellectual Property Committee consists of the Vice President for Academic Affairs or designee as an ex officio member and chair and no more than fourteen other members selected and appointed by the President. Members are appointed for three-year terms with non-concurrent expiration dates and may serve successive terms.

B. The Intellectual Property Committee convenes at the call of the Vice President or designee, who determines when implementation or interpretation of the University Patent Policy requires consideration by the Committee. Among the matters which may be referred to the Committee for recommendation to the Committee are: whether the University has an interest in an invention; questions not covered by policy; and whether some part of the policy should be waived.

C. When the Committee is considering a particular invention, the inventor and/or the inventor's representative may examine all materials submitted to the Committee, may make written and oral presentations to the Committee, and may be present during oral presentations of others.

D. The evaluation of inventions and discoveries and the administration, development and processing of patents involves substantial time and expense and requires talents and experience not ordinarily found in University staff. Therefore, the University may enter into a contract with third parties in connection with the administration of identified inventions, disclosures of invention, and developed patents.

E. Disputes on patent matters, including the interpretation of this Patent Policy, shall be referred for resolution to the President ordesignee.

VIII. Special Cases

The University recognizes that a special case may arise which is not specifically covered by this policy or which may justify waiver of this policy. Only the President or designee has authority to waive the provisions of this policy.

Board of Regents Approved
May 13, 1992

POLICY FOR THE CONTROL AND PROTECTION OF THE VARIOUS T**RADEMARKS, DESIGNS, COLORS AND SYMBOLS OF MORGAN STATE UNIVERSITY**

It is the policy of Morgan State University to protect the name, designs, and colors of the University, including without limitation, the trademarks, service marks, designs, team names, nicknames, abbreviations, slogans, logographics, mascots, seals and other symbols which have or will come to be associated with the University (hereinafter collectively referred to as “lndicia”) from unauthorized uses and to permit the use of the same under circumstances benefitting the University and its educational mission. Accordingly, the University will have its lndicia registered with both the Secretary of the State of Maryland and the United States Patent and Trademark Office. The intent of this policy is to ensure that the University retains the benefit and control of its lndicia and that no use is made of them without the express approval and consent of the University, including any current or future uses. This action is hereby approved by the Board of Regents. The following regulations are adopted to implement this policy:

1. A party seeking to use the University's lndicia for any purpose, including without limitation, application or attachment to garments or other goods, promotions, and services, shall obtain prior permission for that use from the University by entering into a license agreement with the University. No use of the University's lndicia is authorized without the prior execution of a license agreement between· the party seeking permission to use the lndicia and the University, unless the President of the University or his designated representative determines that it is in the best interest of the University to temporarily waive the requirement of the license agreement. Each license agreement shall provide for either a reasonable royalty or promotion fee to be paid the University or other consideration as deemed appropriate by the University in exchange for its permission to use the University's lndicia.

2. No University office or unit shall purchase or offer for sale any product, goods, promotion, or services bearing or otherwise using the University's lndicia unless a license agreement has been executed by the producer or manufacturer of the goods. Any University office or unit currently using or offering for sale any goods bearing or using University lndicia shall exhaust their inventory of such goods and not reorder such goods until a license agreement has been executed by the manufacturer or producer.

3. This policy and any regulations promulgated pursuant thereto shall not apply to goods produced or used by the University in the ordinary course of business, for example, University letterhead, newsletters produced by the University, etc.

4. The University may elect to administer its licensing program itself, have it administered by an agent with expertise in the field of collegiate licensing, or a combination of the two. However, the University shall always retain the authority to exercise control over the use of its lndicia.

This policy shall be effective immediately. The President of the University shall designate

References: Replacement for Morgan State University Board of Regents Policy on Conflict of Interest for Faculty Interest in Sponsored Research and Economic Development University of Maryland Procedures on Conflict of Interest and Conflict of Commitment, 11- 3.10(8); Maryland Annotated Code, Maryland Public Ethics Law, General Provisions Article §5-101 et seq., and Maryland Public-Private Partnership Act, §5-525 (Institutions of higher education.

POLICY ON CONFLICTS OF INTEREST IN RESEARCH AND DEVELOPMENT

I. Introduction

Maryland law encourages public senior higher education institutions to promote economic development in the State and to increase their financial resources through arrangements with the private sector, including collaborative research and development, commercial application of institution-owned intellectual property, and provision of technical assistance. To facilitate these purposes, the Maryland Public Ethics Law allows for the exemption of Morgan State University ("University") personnel from some of that law's conflict of interest provisions. This policy establishes the essential elements of the procedures, to be adopted by the University, for obtaining such exemptions.

II. Policy

A. A present or former official or employee of a unit of the University may have a relationship (as defined herein) with an entity engaged in research or development, or an entity having a direct interest in the outcome of research or development, which relationship would otherwise be prohibited by the conflict of interest provisions of the Ethics Law, if such relationship is disclosed and approved by the President in accordance with the University's faculty conflict of interest procedures developed pursuant to this Policy.

B. The President, or a Vice President or one holding a similar such position mayhave such a relationship only if the Board of Regents makes the following findings:

1) that participation by, and the financial interest or employment of, the official is necessary to the success of the research or development activity; and

2) that any conflict of interest can be managed consistent with the purposesof relevant provisions of the Public Ethics Law.

The Board shall promptly notify the State Ethics Commission in writing of any approval given under this paragraph. In the event that the Commission disagrees with any approval and provides notice to the Board within 30 days of the Commission's receipt of notice of the approval, the Board shall reexamine the matter. The Board shall adopt procedures for handling request for approval under this paragraph.

C. If the above conditions are not met, this Policy does not exempt a former or presentofficial or employee from any of the provisions of the State Ethics Law.

D. Nothing in this Policy allows an exemption on the part of any official or employee of Morgan State University from the provisions of §5-505 ("Gifts or honoraria") of the General Provisions Article. Further, an official or employee ofthe University may not (1) represent a party for contingent compensation in any matter before the Board of Regents or before the State's Board of Public Works, or (2) intentionally misuse his or her position with the University for personal gain or for the gain of another person.

E. The approval of a relationship under this policy does not relieve the official or employee from the obligation to comply with other University policies, including the University Policy on Professional Commitment of Faculty.

F. The President is encouraged to consult periodically with the Maryland Department of Commerce and with Federal agencies that regulate federally-funded research concerning the implementation of this policy.

III. Procedures

A. The University shall develop procedures based on the above policy and the purposes of the Maryland Public Ethics Law as stated at Section 5-102 of the General Provisions Article of the Maryland Annotated Code. The procedures shall be approved by the Office of the Attorney General and approved as to conformity with the Maryland Public-Private Partnership Act by the State Ethics Commission. The approved procedures shall be filed with the Office of the President and the Board of Regents.

B. Procedures shall:

1) Require timely disclosure of any relationship. The disclosure shall be filed with the State Ethics Commission, and maintained as a public record at the University.

2) Subject to paragraph (5), require review of all disclosed relationships by a designated official who shall determine what further information must be disclosed and what restrictions shall be imposed in order to manage, reduce, or eliminate any actual or potential conflict of interest. The designated official shall also determine whether or not the disclosed relationship represents a harmful interest, as defined herein. If so, approval shall not be granted.

3) Include guidelines to ensure that relationships do not improperly give an advantage to entities with which the relationships exist, lead to misuse of University students or employees for the benefit of such entities, or otherwise interfere with the duties and responsibilities of the official or employee maintaining the relationship.

4) Subject to paragraph (5), require that each relationship be approved or disapproved by the President, with such determination to be the final decision.

5) Require that any relationship maintained by the President or a Vice President, and by one holding any other position designated by the Board of Regents be approved by the Board of Regents.

IV. Reporting

Divisions shall submit to the President in a format determined by the President a quarterly report which shall include all approvals granted under this Policy. The Board of Regents shall report to the Governor, the Legislative Policy Committee of the General Assembly, and the State Ethics Commission, the number of approvals granted under this Policy and how this Policy and the procedures adopted pursuant to it have been implemented in the preceding year.

V. Definitions

A. "Harmful interest" means an interest which is found to be so influential as to impair impartiality in the conduct of the research, the interpretation of the results of the research, and/or the determination of research or other professional and employment priorities.

B. "Unit" as used in this policy means any constituent unit of the University (e.g. departments, schools, etc.), centers and institutes and any other unit of the University that the President shall designate.

C. “Relationship" means any interest, service, employment, gift, or other benefit or relationship with an entity that would be prohibited by Title 5, Subtitle 5 of the State's Public Ethics Law if not disclosed and approved pursuant to this Policy and procedures adopted pursuant to it. "Relationship" includes any relationship of the spouse or other relative of an officer or employee if such relationship creates restrictions on the officer or employee under the conflict of interest provisions of the Ethics Law.

D. "Research or development" means basic or applied research or development, and includes the development or marketing of university-owned technology, the acquisition of services of an official or employee by an entity for research and development purposes, or participation in State economic development programs

A-6
EXPORT CONTROL

Export Control Travel Checklist

PROJECT INFORMATION

Project Title: ____

Project/Contract/Proposal #: _________________________________

Sponsor:____

Principal Investigator

Campus Address: __________________________

School/Department/Division:____

Phone:________________Fax:_________________Email: _________________________________

	YES	NO
1. Are you traveling to a country sanctioned by the United States (such as Myanmar, Cuba, Iran, North Korea, Sudan and Syria?		
2. Are any of the individuals or entities with whom you will be interacting or to whom you will bemakingany payments or providing any benefits listed on the BIS Lists to Check? (see http://www.bis.doc.gov/complianceandenforcement/liststocheck.htm)		
3. Do you need an export license for an export license for anything that you are taking with you or sharing with others during your travels? Are you carrying any items on the International Traffic in Arms (ITAR) Munitions List (see website below:) http://www.pmddtc.state.gov/regulations_laws/documents/official_itar/ITAR_Part_121.pdf 4. http://www.fas.org.spp/starwars/offdocs/itar/p121.htm or the Export Administration Regulations (EAR)Commerce Control List (see http://www.access.gpo.gov/bis/ear/ear_data.html) or carrying or sharing technical information or services related to those items?		
5. If federal funds will be paying for your air travel, are you in compliance with regulations that require flying on a U.S. flag air carrier? (See Public Law 93-623, January 3, 1975, P.2102 to amend the Aviation Act of 1958)		
6. Have you checked with the embassy or consulate of the country to which you are traveling for any import restrictions?		
7. If you intend to bring back materials (such as drugs, chemicals, biologics, medical devices, animals and animal products) from another country, have you checked on US import restrictions? (See http://travel.state.gov/trave/tips/tips1232.html#customs)		
8. Have you checked whether the U.S. Department of State has issued anytravel warnings or travel alerts for the country to which you are traveling? (See https://travel.state.gov)		
9. Have you reviewed your insurance and the insurance of those traveling with you and consideredpurchasing supplemental insurance (i.e., supplemental health insurance, emergency evacuation and repatriation, repatriation of remains)?		
10. Have you left your itinerary and contact information with family and department administrators? Have you left copies of your passport with someone so they are accessible in case of loss?		
11. Some countries retain the right to seize and hold laptops and computing equipment. Laptops are often stolen in the course of travel. Have you considered a means to accomplish university business if this occurs?		
12. Have you cleared electronic storage media of unnecessary confidential business and personal information, such as bank information, confidential student and employee information, information subject to confidentiality agreements and intellectual property		
13. Is the travel activity in compliance with any sponsored research agreement and travel abroad handbook?		

A-7

D-RED

STAFF

Division of Research and Economic Development Staff

Dr. Willie May	**Vice President for Research and Economic Development**
Dr. Mildred Huff Ofosu	Assistant Vice President, Research Administration Portfolio Manager for NIH, NSF, ORAU, DOE, EPA, DEA, NIST
Dr. Timothy Akers	Assistant Vice President, Research Innovation & Advocacy Portfolio Manager for CDC, DHS, NIJ, FBI
Dr. Scott Knoche	Director, Patuxent Environmental & Aquatic Research Lab (PEARL)
Dr. Edet Isuk	Chief of Staff for VP D-RED & Director, Research Compliance
Mr. Gerald Whitaker	Director of Defense and Space Programs Portfolio Manager for DoD (ARL, AFOSR, ONR)
Ms. Keyshawn Moncrieffe	Special Assistant to VP D-RED
Mr. Ellis Brown	Grants Specialist
Mr. Wayne Swann	Director of Technology Transfer Portfolio Manager for MII, MIPS, NEH
Mr. Ray Dizon	Technology Transfer Manager, Physical/Information Science - Office of Technology Transfer
Ms. Kanika Ellis	Administrative Assistant, Office of Technology Transfer
Ms. Alexa Morris	Programs & Marketing Manager, Office of Technology Transfer
Ms. Amber DeMarr	Aquaculture Program Manager
Ms. Amanda Knobloch	PEARL Education Coordinator
Mr. Russell Crane	PEARL Network Administrator
Dr. Chunlei Fan	PEARL Associate Professor
Dr. Thomas Ihde	PEARL Research Assistant Professor
Mr. Jon Farrington	PEARL Facility Administrator
Dr. Ming Liu	PEARL Oyster Genomics Researcher
Ms. Kaitlynn Richie	Research Associate, PEARL
Ms. Kimberly Williams	Grant Writer
Ms. Ailing Zhang	Grants Manager
Ms. Deshun Li	Research Budget Development Specialist
Mr. Matthew Lee	Contract Specialist
Dr. Daniel Laughlin	GESTAR Program Manager/Principal Investigator
Ms. Nartasha Richards	GESTAR Financial Analyst
Ms. Julianita Alexander	Budget Officer, ORA
Ms. Sharon John	Effort Reporting Manager
Dr. Marvin Perry	Director of Morgan Community Mile & Research Associate
Ms. Ashlee Kirkland	Assistant to the Vice President, D-RED
Ms. Jody Gregory	Assistant to Director, PEARL
Ms. Envia Malone	Assistant to the Assistant Vice President, D-RED/Research Administration