Policy 801 Version 1 03/16/2016

**Policy Change Cover Sheet**

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| **This form must be attached to each policy presented. All areas in red, including the header, must be completed; if not, it will be sent back to you for completion.** |
|  | *I****f the changes you are requesting include housekeeping, please submit those changes to*** ***ndsu.policy.manual@ndsu.edu*** ***first so that a clean policy can be presented to the committees.*** |
| **SECTION**:  | Policy 801 Grant and Contract Administration – General Provisions |
| 1. **Effect of policy addition or change (explain the important changes in the policy or effect of this policy). Briefly describe the changes that are being made to the policy and the reasoning behind the requested change(s).**
 |
| * Is this a federal or state mandate? [ ]  Yes X[ ]  No
* Describe change: Policy has been updated to provide clarification on changes for administration requirements of the proposal and award activities. Also, some activities have been shifted to the Research and Creative Activity Business Development unit, and those changes are included.
 |
| 1. **This policy change was originated by (individual, office or committee/organization):**
 |
| * Research and Creative Activity/Sponsored Programs
* Val.kettner@ndsu.edu
 |
| ***This portion will be completed by Mary Asheim.***Note: Items routed as information by SCC will have date that policy was routed listed below. |
| 1. **This policy has been reviewed/passed by the following (include dates of official action):**
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| **Senate Coordinating Committee:** |  |
| **Faculty Senate:** |  |
| **Staff Senate:** |  |
| **Student Government:** |  |
| **President’s Cabinet:** |  |

The formatting of this policy will be updated on the website once the **content** has final approval. Please do not make formatting changes on this copy. If you have suggestions on formatting, please route them to ndsu.policy.manual@ndsu.edu. All suggestions will be considered, however due to policy format guidelines, they may not be possible. Thank you for your understanding!

**North Dakota State University
Policy Manual
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**SECTION 801
GRANT AND CONTRACT ADMINISTRATION - GENERAL PROVISIONS**

SOURCE: NDSU President

1. PROPOSALS.

1.1 All proposals submitted to external sponsoring agencies must be reviewed and approved by the responsible Department Head(s)/Chair(s), Center Director(s),College Dean(s), and Sponsored Programs Administration (SPA) (as a designee of the Vice President for Research and Creative Activity) PRIOR to the submission of the proposals to sponsoring agencies. Such approval is required even when an institutional signature is not required by the sponsor. A pre-proposal or letter-of-intent must be routed for review and approval if the signature of an authorized institutional official is required, or if a detailed budget or cost share is required or included.

1.2 A Proposal Transmittal Form (PTF) is required for each proposal submitted for review. The PTF and instructions are located on the SPA website: <http://www.ndsu.edu/research/sponsored_programs_admin/forms/>. A completed PTF, proposal cover page, abstract, detailed budget on sponsor budget template (if available, or on SPA generic budget template if no sponsor template is required) and budget justification with complete detail as to why each item is necessary must be received in SPA at least 5 business days before the sponsoring agency submission deadline in order to guarantee timely review and approval or submission by SPA. Proposals must be received no later than 9:00 a.m. to count as the first day in the 5 business days. University published business hours will control the cut-off times for submission, not sponsor established times that exceed university hours..

1.3 The completed proposal and PTF must be routed through all necessary parties responsible for any aspect of the proposal approval process. Necessary parties are determined based on each proposals’ requirements (review, central equipment match, space, etc.) Each office may require modifications to a proposal before the routing can continue. Proposals must meet the criteria of each review stage in the process BEFORE submission to a sponsoring agency.

1.3.1 The Head/Chair, Director and Dean are responsible for reviewing and approving the proposal for:

* consistency with the department, center and college mission;
* availability and commitment of department, center and college support services and resources, including faculty and staff committed effort, space, finances and equipment;
* assurance that the department, center and college obligations as defined in the proposal can and will be met; and
* appropriate management and oversight, if necessary, of any conflicts of interest for their faculty participating in the proposed project.

1.3.2 SPA is responsible for reviewing and approving the proposal for:

* consistency with the institutional policies,
* compliance with public or private agency policies and regulations, and
* compliance with applicable federal, state and local laws and regulations.

1.3.3 The Vice President for Research and Creative Activity, or designee, is responsible for approving the use of and obligating central equipment match funds. Priority for use of these funds will be given to proposals that are interdisciplinary or that involve the acquisition of equipment for the enhancement of centralized research lab infrastructure. A request for equipment match funds must be made in writing to the Vice President for Research and Creative Activity at least three weeks prior to the due date of the proposal and after the appropriate approvals are received by the pertinent departments and colleges contributing remaining cash match. Requests for consideration can be made for up to 1/3 of the required cash match.

1.3.4 The Vice President for Finance and Administration must approve, prior to submission, any proposal requiring additional space, renovations, remodeling, and/or relocation of offices or labs. Any proposals requesting renovations or remodeling of space in the Research 1, Research 1A and/or Research 2 facilities, or relocation to those facilities, must also be approved by the Vice President for Research and Creative Activity.

1.3.5 The Vice President for Information Technology, or designee, must approve, prior to submission, any proposal affecting or requiring significant information technology services, as defined at <http://www.ndsu.edu/it/research/prep/>.

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1.4 . Following final review by SPA, the principal investigator will be contacted and informed of university approval or of the need for revision(s).

1. AWARDS.

2.1 All contracts, grants and agreements must be reviewed by SPA prior to their execution. Research and Creative Activity’s Business Development unit is responsible for negotiating all terms of private industry awards, and SPA is responsible for negotiating all terms of all other agreements, including federal flow-through. Business Development and SPA are authorized signatories for NDSU.

2.2 Work may not take place and expenses may not be incurred on a pending award unless an advanced account number is requested and established. Advanced account numbers are issued only after department, center, or college assumption of responsibility, in writing, in the event an award is not successfully executed. SPA will not negotiate or sign an award where the award document is initiated after the work is already completed.

1. All correspondence between the Principal Investigator and the sponsoring agency Program Officer must be limited to technical questions. All correspondence with the external sponsoring agency Contracting Officer that is unrelated to the scientific/technical effort of the award must be initiated by SPA, or in the case of questions concerning allowable costs by Grant & Contract Accounting., Any request to change award terms, including no-cost time extensions, budget modifications, or changes in scope of work, must be initiated by SPA. For private industry awards, requests are initiated through SPA and then forwarded to Business Development by SPA for appropriate action(s).
2. NDSU reserves the right to renegotiate, withdraw or reject any proposal or agreement that has not been reviewed and approved through the proper channels and signed by the appropriate authorized institutional representatives.

1. All financial reports required by the external agencies will be prepared by Grant and Contract Accounting. The Principal Investigator will be contacted if assistance is needed in completing the reports.
2. All checks relating to sponsored agreements should be sent to:

Grant and Contract Accounting
North Dakota State University
NDSU Dept. 3130
PO Box 6050
Fargo, ND 58108-6050

If a check is mistakenly sent to a department instead of Grant and Contract Accounting, the check should be delivered as soon as possible to Grant and Contract Accounting for deposit. All information received with the check should be attached. The Customer Account Services Office will not deposit a check into a grant or contract account (Funds 40000-49999) without the approval of Grant and Contract Accounting.

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HISTORY:

New July 1990
Amended April 1992
Amended June 1996
Amended March 2002
Amended August 2007
Amended October 2009
Housekeeping February 14, 2011

Housekeeping March 16, 2015