



Louisiana Tech University
Office Of University Research
Proposal Guide (FY 2011-2012)

Ph: 318-257-5075

Fx: 318-257-5079

(http://research.latech.edu/resources/proposal_preparation)

THE ROUTING PROCESS:
PREPARING AND SUBMITTING A GRANT PROPOSAL

No matter what your proposal may be called, letter of intent, pre-proposal, cooperative agreement, contractual services, proposal, research white paper, grant application, memorandum of understanding, etc., if you are requesting external funds for a project on behalf of a division at Louisiana Tech with a scope of work that will be used for classroom enhancement, research, or scholarly pursuits, then your project must be routed internally through the established channels. See Louisiana Tech Policies and Procedures #7102: <http://www.latech.edu/administration/policies-and-procedures/7102.shtml>. The below list is meant to provide you with a beginning and end for the proposal routing process. (Funding agency searches, research principles, and grant writing skills are not included in this list):

- 1. PLANNING PROCESS**
- 2. GATHERING INTERNAL BUDGET NUMBERS**
- 3. NSF FASTLANE SUBMISSION HINTS**
- 4. ROUTING THE PROPOSAL**
- 5. FEDERAL APPLICATION FORMS**
- 6. TECH ADMINISTRATIVE INFORMATION**
- 7. INSTITUTIONAL REVIEW BOARDS**
- 8. OTHER INFORMATION FOR GRANT PROPOSALS**
- 9. FINISHING TOUCHES**
- 10. PROPOSAL DELIVERY/LOGISTICS**

1. PLANNING PROCESS

- Obtain a complete copy of RFP/RFA, grant guidelines, or web link and send to University Research (bfree@latech.edu) as soon as you begin the grant writing process.
- Talk to an agency representative to make sure that your project fits within the scope of their funding. Clarify questions, goals, and funding priorities of the agency.
- Discuss your intent to submit a proposal with your department head, colleagues, and dean for ideas and insight on the proposal project and available matching funds if applicable.
- If a formal letter of intent, notice of intent, or white paper abstract is required by the agency prior to full proposal, complete a routing form and send through campus channels before LOI is sent.
- An Excel budget template is available from OUR which will help you begin your budgeting Process, which includes agency request, and match request along with Tech budget object codes. As soon as you have a draft of the budget, budget justification and a scope of work completed, e-mail to the Post Award Coordinator, Elizabeth Womack (egwomack@latech.edu) with a copy to the Pre-Award Coordinator, Beth Free (bfree@latech.edu), for an electronic/expressed review. Once corrections are made (if needed), print all documents and begin routing for dept./college signature approval (Block 14 of the routing form).
- If your proposal is being submitted via Fastlane, review the Fastlane Proposal Submission process below. Electronic submission arrangements with other agencies may also need to be reviewed carefully and OUR notified accordingly.
- If your proposal contains intellectual property potential (see complete policy and procedure <http://www.latech.edu/tech/administration/policies-and-procedures/7112.html>), contact Rich Kordal 257-2970 or rkordal@latech.edu to discuss proposal enhancement and specific requirements. See the Office of Economic and Technology Assessment website for more information at www.latech.edu/techtransfer.

2. GATHERING INTERNAL BUDGET NUMBERS

- Salary Information: The best source of accurate salary information can be obtained from department heads or dean of your college. Don't forget that it is generally acceptable, if the funding agency allows, to add a 4% standard cost of living increase for each year of your grant proposal. OUR may also be able to provide some assistance with the salary estimates based on past grant information.
- Fringe Benefits: Fringe benefits vary depending on the personnel involved. The current rates effective January 05, 2012 are as follows:
 - 41.86% Faculty/Unclassified Staff
 - 43.76% Clerical Staff or Civil Service Employees
 - 24.54% Part-time or Post-Doctoral Students
 - 0% Graduate Students or Undergraduate Students

Sample Fringe Calculator (You can insert your own proposal salary/wage information to calculate fringe and Salary and Wage Base):

Decription	Salary Base	Rate	# of Staff	Total Fringe (Wages	S/W Base
Faculty/Unclassified	\$1,000.00	41.86%	1	\$418.60		
Clerical/Civil	\$1,000.00	43.76%	1	\$437.60		
Part-Time/Post-Doc	\$1,000.00	24.54%	1	\$245.40		
Retired/Some Foreign Employee	\$1,000.00	18.16%	1	\$181.60		
SALARYFRINGE TOTAL	\$4,000.00		4	\$1,283.20		
Undergraduate/Graduate Student	\$1,000.00	0.00%	2		\$2,000.00	
TOTAL SALARIES AND WAGES BASE						\$6,000.00

- Equipment:** Read carefully the terminology of the granting agency regarding budget. For instance, NSF does not consider an item equipment unless it exceeds \$5000. So a piece of equipment that costs \$4500 would be on the supply line of an NSF budget. If the agency does not specify a guideline, you may utilize Tech's definition of Equipment which is any item over \$1000 (see Budget Object Codes at this link: <http://www.ltadm.latech.edu/comptrol/>.) Items less than \$500 would be considered a supply.
- Travel:** All travel planned in proposals must meet state travel guidelines. The website link is as follows: <http://www.doa.state.la.us/osp/travel/traveloffice.htm>. For gas mileage to be reimbursed, you must complete a safe driving course with the Tech Office of Environmental Safety. To schedule a class, contact Billy Adcox at 257-2120.
- Subawards:** Any personnel affiliated with your grant that are NOT Tech students or employees, would be considered a subcontract. The Office of Contractual Review has clear guidelines on approval of subcontracts. BEFORE you consider a subcontract in a proposal, be sure that you have a clear understanding of the subcontracting process. Contact Susan Black, OUR Contracts Administrator at 257-5075 or by email, sblack@latech.edu. You may also go to the Office of Contractual Review website at the following link: <http://www.state.la.us/ocr/ocr.htm>
- Other Expenses:** One of the largest complaints from funding agencies for other expenses, is that the applicant is not specific and descriptive enough on what they are requesting. Whether it is participant support costs, materials and supplies, consultant services, publications costs, etc., applicants need to justify in detail the types of items to be purchased and used toward the project. If the agency does not provide budget codes, be aware of the Tech budget codes for other support expenses. See the following link: <http://www.ltadm.latech.edu/VPADMAFF/bdefine1.htm>.
- Indirect Cost Rate:** (F & A) Louisiana Tech University has a predetermined negotiated rate for all federal grants with the Department of Naval Research which extends through June 30, 2012.
Federal Grant Source: 52.23% x Base: Salaries + Wages (not fringe)
Non-Federal Source: 22% x Base: Total Direct Costs.

Indirect Cost Calculator:

Federal	\$6,000	52.23%	\$3,133.80
Non-Federal	\$150,000	22.00%	\$33,000

- Waiver for Indirect Cost:** If your agency restricts or does not allow indirect costs as a part of the budget, then a waiver form would have to be routed with your proposal for the amount the agency does not allow. It is very rare that a waiver would be approved for a federal grant, since our indirect cost rate is negotiated.
- Tuition Fee Waivers:** Allowable fee tuition waiver is the difference between the out-of-state fee waiver and the in-state fee waiver. If you are proposing a tuition fee waiver as a cost-sharing match, you can find accurate information on current fees at the following link: <http://www.ltadm.latech.edu/vpadmaff/FEEScurrent.HTM>

Student Waiver Calculator:

- Check with your college as different variables are used in each college for these calculations. Here is a link to the current fee schedule: <http://www.ltadm.latech.edu/vpadmaff/feescurrent.htm>.
- Cost Sharing:** Also known as institutional match. Be very careful that what you are proposing as a match is reasonable. A proposed match becomes a contractual agreement should the project be funded. The project director will be responsible for insuring that match has been met through documentation and final reporting to the agency. Examples of match can be, but are not limited to, tuition waiver, lab space, equipment, salary, indirect cost waived, cash match from department, college, or university funds. Another federal grant may NOT be used as a match for a federal grant proposal. A grant from non-federal sources may be used as a match for a federal grant, so long as there is not a duplication of funding.

3. NSF FASTLANE

- New requirements on NSF Fastlane:** Data Management Plan and Postdoctoral Researcher Mentoring Plan http://www.nsf.gov/pubs/policydocs/pappguide/nsf11001/gpg_2.jsp#IIC2j.
- Fastlane 9 digit zip code for Louisiana Tech University:** 712704936 (no spaces or dash).
- To be added to the Fastlane database, send the following information below to Beth Free at bfree@latech.edu.

Information your SRO needs to add you as a PI

First Name	Street Address
Last Name	City, State, Zip
Middle Initial	E-mail Address
Suffix(e.g., Jr., Sr., III)	Business Phone
Department	Fax Number
Degree Type and Degree Year	

- **Fastlane Instructions:** See the following link:
<https://www.fastlane.nsf.gov/fastlane.jsp>
You can also call OUR or contact the Fastlane help desk with any specific problems or questions.
 - The FastLane Help Desk operates from 7 A.M. to 9 P.M. Eastern Time Monday through Friday (except holidays).
 - FastLane User Support: 1-800-673-6188
 - [Email User Support at fastlane@nsf.gov](mailto:fastlane@nsf.gov)
 - FastLane Availability (Recording): 1-800-437-7408

- NSF Proposal Preparation: The following link is for proposal preparation on Fastlane.
<https://www.fastlane.nsf.gov/jsp/homepage/proposals.jsp>. Timing is Crucial: It is not necessary to have every piece of information loaded on Fastlane before you route your proposal for internal approval. As soon as you have a budget and narrative draft, go ahead and route for internal approval. Complete the cover page and begin loading standard information such as current and pending support, letters of support, biographical sketches as soon as you have them available. It helps if the foundation information is out of the way as you complete your final narrative and budget information. ***With Fastlane, the upload simply put: TAKES TIME.*** Often a PI may be timed-out of an upload, or simply may run out of time loading documents. So please start loading information days before the due date.

- Allow SRO Access: As soon as you begin uploading items in your proposal, you can allow SRO access to review or edit your proposal. When you are ready to submit, you would again click *allow SRO access to submit* your proposal. OUR will confirm with the PI that the proposal is ready before a submission takes place.

- Merit Review and Broad Impacts: NSF has a new policy that all NSF applicants must be included in the proposal narrative and summary, otherwise the proposal will not be considered. See the following link for more information:
http://research.latech.edu/files/documents/nsf%5c's_merit_review_criteria_report.pdf.

- Fastlane and Grants.gov: NSF has issued a Grants.gov advisory:
<http://www.nsf.gov/bfa/dias/policy/docs/grantsgovadvisory06.pdf>. Please disregard ALL references to registering on the Grants.gov website. You need only be registered on the funding agency's website (Fastlane in this case) NOT Grants.gov. As the Sponsored Research Office, we are authorized to submit your proposal on behalf of the university. You will need to download the Adobe Acrobat software (required) from the Grants.gov website, then download the application itself from Grants.gov. Go here for instructions on finding the funding opportunity:
http://www.grants.gov/applicants/apply_for_grants.jsp. While completing the application, please be sure to **save** it to your network or hard drive before closing or forwarding as it is a web-interactive, not web-based, application. Then e-mail the application to Beth Free at bfree@latech.edu for submission. Of course, this can occur only after the proposal has been routed internally and approvals/signatures have been gotten first!!

4. ROUTING THE PROPOSAL

Complete policy and procedure on routing proposals can be found here:
<http://www.latech.edu/tech/administration/policies-and-procedures/7102.html>.

- **Routing Form: START EARLY!!!** All external funding proposals must be routed for approval PRIOR to submission (see *Louisiana Policies & Procedures #7102*). The PI should complete the routing form, attach the proposal narrative or general scope of work (draft is often acceptable) and a budget/budget justification (as mentioned earlier, first e-mail your budget to Elizabeth Womack to ensure your budget is correct before routing). The routing form should be signed by PI, PI Department Head, College Research Director, and College Dean (Block 14) **prior** to delivery to OUR. OUR will then complete the routing process (OUR, VP Research and Presidential signatures) and contact you for any additional changes/suggestions needed. For a fillable version of this form, go to http://research.latech.edu/resources/forms_downloads.

- **Waiver Form:** If your agency restricts or does not allow indirect costs as a part of the budget, then a waiver form will have to be routed with your proposal for the amount that the agency does not allow. It is very rare that a waiver would be approved for a federal grant, since our federal indirect cost rate is negotiated and predetermined. For a fillable version of this form, go to http://research.latech.edu/resources/forms_downloads.

- **Request For Proposal (RFP):** It is helpful to route a copy of the grant guidelines, RFA, BAA, or a weblink to the proposal details along with your routing form. Many errors can be avoided when OUR has an opportunity to review the funding agency guidelines.

- **Start Early:** Again, start the routing process early. You should forward routing forms and attachments by email before routing the original routing form. Do not wait until the date a proposal is due to route for approval. You can always route a draft (of the narrative only – budget should be final) for review and approval while you are polishing the proposal specifics. Notify OUR if a due date is immediately pending.

5. FEDERAL APPLICATION FORMS

- Grants.gov is no longer the required catalyst for all federal applications. However, many federal agencies require that Grants.gov applications be used when submitting proposals. The required (and non-required) forms will be imbedded in the application to a specific funding announcement on the Grants.gov website <http://www.grants.gov/>. Search using the C.F.D.A or Federal Agency Announcement (FAA) number to locate the correct application. If a hard copy is being submitted (rare occasion) or if you must download a federal form, a list of federal forms can be found at the links below:
All federal forms: <http://www.forms.gov/bgfPortal/main.do>.
NIH PHS 398: <http://grants.nih.gov/grants/funding/phs398/phs398.html>
Standard Form 424: http://www.grants.gov/agencies/aapproved_standard_forms.jsp.
Education 424: <http://www.ed.gov/offices/OCFO/grants/appforms.html>
Certifications & Assurances:
Make sure you use the correct forms, as each agency may specify a certain format for the certifications and assurances.

Lobbying, Disbarment, Drug-Free, Non-Construction Assurances:
<http://www.forms.gov/bgfPortal/main.do>

- Congressional District: Louisiana Tech is located in the 5th Congressional District. If your project actually takes place in another part of the state or in other states, you would need to add the congressional district number for those sites as well. To find congressional districts in Louisiana for your project, see the following link:
http://www2.census.gov/geo/maps/cong_dist/cd108_gen/ind_pdf/Louisiana/LA_CDloc.pdf.

- Applicant Information: The applicant is ALWAYS Louisiana Tech University, not the PI. **The authorized signing official is ALWAYS Dr. Daniel D. Reneau (see Section 6 below).** The institution mailing address is:

Louisiana Tech University
P.O. Box 3168, Ruston, LA, 71272

Other required institutional information:

Tax ID: 72-6000792
DUNS: 069746725
CAGE CODE: 2D700

- Catalog for Domestic Assistance: Check your RFP carefully for the CFDA number to place on the federal application as well as the title of the CFDA. If you still cannot find the information, you may access the CFDA website at www.cfda.gov.

6. TECH ADMINISTRATIVE INFORMATION

- **Authorized Representative/Official to Sign for Institution (always Dr. Reneau, not the PI, etc.):**

Name: *Daniel D. Reneau*
Title: *President*
Institution: *Louisiana Tech University*
Address: *P.O. Box 3168*
Railroad Avenue, #1620 Wyly Tower
Ruston, LA 71272
Phone: 318-257-3785
Fax: 318-257-2928
E-Mail: reneau@latech.edu

- **Authorized Fiscal Agent and Office to whom checks should be sent:**

Name: *Joseph R. Thomas, Jr.*
Title: *VP Finance & Administration*
Institution: *Louisiana Tech University*
Address: *P.O. Box 7924*
Ruston, LA 71272
Phone: 318-257-4325
Fax: 318-257-2234
E-Mail: jthomas@latech.edu

☐ **Officer Responsible for Campus Research**

Name: Leslie K. Guice, PhD
Title: Vice President for Research and Development/Director of Information Technology
Institution: Louisiana Tech University
Address: P.O. Box 8577
Ruston, LA 71272
Phone: 318-257-3056
Fax: 318-257-3142
E-Mail: guice@latech.edu

☐ **Other Contact Names:**

Karen Murphy, Director of Purchasing, kmurphy@latech.edu
Susan Black, Contracts Administrator, sblack@latech.edu
Beth Free, Pre-Award Coordinator, bfree@latech.edu
Elizabeth Womack, Post-Award Coordinator, egwomack@latech.edu
Sherry Jones, Account Technician, sherryj@latech.edu
Barbara Talbot, Human Use Compliance, btalbot@latech.edu

7. INSTITUTIONAL REVIEW BOARDS

☐ **Human Subjects:** All Louisiana Tech University research involving human subjects must be reviewed by the Human Use Committee of Louisiana Tech University prior to research and regardless of funding source. *The findings of this committee must be addressed in the body of the proposal and often may be required on the cover page.* Complete policy and procedure: <http://www.latech.edu/tech/administration/policies-and-procedures/7108.html>. For forms go to: http://research.latech.edu/about/research_compliance_review_boards/human_use_committee. The required forms can be found at the very bottom of the link or contact Barbara Talbot at btalbot@latech.edu.

☐ **Animal Care and Use:** All Louisiana Tech University research involving animal subjects must be reviewed by the Animal Care and Use Committee (IACUC) of Louisiana Tech University prior to research and regardless of funding source. *The findings of this committee must be addressed in the body of the proposal and may often be required on the agency cover page.* Complete policy and procedure: <http://www.latech.edu/administration/policies-and-procedures/7109.shtml>. Forms: http://research.latech.edu/about/compliance_review_boards/institutional_animal_care_and_use. For more information, contact committee chair: Dr. James Spaulding at 257-4573 or (jgspauld@cans.latech.edu)

☐ **Biohazards/DNA:** All Louisiana Tech University research involving DNA and/or any biohazardous material is to adhere to the NIH guidelines and other applicable Federal and State requirements and must be conducted with appropriate safeguards against environmental release and for the protection of research personnel. Louisiana Tech also seeks to ensure that all hazards associated with teaching or research be identified, monitored, and controlled. Microbes capable of infecting and causing human disease in human subjects represent one such hazard. Purchases, use, and disposal of radioactive material must also meet the review of Biohazards committee. *The findings of this committee must be addressed in the body of the proposal and may often be required on the agency cover page.*

Complete guidelines can be found at:

http://research.latech.edu/about/compliance_review_boards/biosafety_and_radionuclide_institutional_review_committee/. For more information, contact Cathy Sly, 257-4771, (csly@latech.edu) or Louisiana Tech Environmental Safety Director, Don Braswell 257-2120 (braswell@latech.edu).

All LaTech compliance procedures and forms can be found at http://research.latech.edu/about/compliance_review_boards.

8. OTHER INFORMATION FOR GRANT PROPOSALS

- Tax ID Letter can be provided upon request.
- Tech History and Narrative template can be provided from OUR. See also, the following:
 - 1101: History and Accreditation of the University
 - 1102: Board of Regents' Mission Statement for Louisiana Tech University
 - 1103: Mission Statement and Strategic Plan for Louisiana Tech University
 - 1104: Higher Education Governing Boards - Board of Regents
 - 1105: University of Louisiana Board of Supervisors - The University of Louisiana System
 - 1106: University Organization
 - 1107: Organizational Chart for Louisiana Tech University
- Tech Proposal Template Budget Spreadsheet (Excel), contact Elizabeth Womack at 257-5075 or egwomack@latech.edu.
- Negotiated Rates Agreement Documentation (see 'Proposal Preparation Forms' http://research.latech.edu/resources/forms_downloads).
- W-9 Form, contact OUR.
- Audit Information can be accessed at www.la.state.la.us
- Other general policies that may be needed in proposals include (click on blue text to access the policy):
 - [1401: Equal Employment Opportunity Policy Statement](#)
 - [1430: Violence Free Workplace Policy](#)
 - [1438: Harassment](#)
 - [1432: AIDS Policy](#)
- Significant Financial Disclosure Form: Contact OUR if you need information regarding this form. The policy and procedure are at the following link:
<http://www.latech.edu/administration/policies-and-procedures/7114.shtml>
For a fillable version of this form, go to the 'Intellectual Property' section here:
http://research.latech.edu/resources/forms_downloads.

9. FINISHING TOUCHES

Check proposal for formatting compliance with funding agency guidelines (i.e. font size, margins, number of pages, required attachments, etc.).

- Number the pages of your proposal.
- Spell check and grammar check all sections.
- Gather appendix materials.
- Prepare Table of Contents.
- Sign all documents as needed from PI through College Dean (Block 14 of the routing form. OUR will obtain fiscal agent and/or authorized representative signatures as needed.) Blue ink signatures are often required.

10. PROPOSAL DELIVERY/LOGISTICS

PI Responsibility

- Provide OUR with correct mailing address and contact information for funding agency.
- Route proposal for required dept./college signatures in Block 14 of the routing form as well as cover page, budget pages, etc.
- Make OUR aware of any instructions that deviate from the RFP or guidelines.
- Provide OUR a complete copy of (or a link to) the RFP.
- Provide OUR with the original(s) and required copies.

OUR Responsibility

- Route for final signatures (Block 15 of the routing form and President/Comptroller signatures in the proposal).
- Create cover letter for shipment.
- Contact www.fedex.com to arrange shipment (or certified mail, whichever is requested by PI and/or the agency) .
- Box shipment and deliver to Fed-ex for shipment.
- Copy PI/RD with signed routing form and signed forms
- Fed-ex.com will notify OUR via email when package is received, and the notification will be forwarded to the PI for delivery confirmation.