

Introduction

UNLV encourages faculty and professional staff to seek external financial support for specific projects undertaken to further the mission of the University in teaching, research, and public service.

Sponsored programs enhance and expand the educational opportunities available to undergraduate and graduate students at the University. They facilitate research and scholarly inquiry, as well as the development of new knowledge while contributing to the academic achievement and stature of the institution. Sponsored program information, assistance, and technical support are provided to the principal investigator during the proposal submission, award negotiation, and post-award monitoring by the Office of Sponsored Programs (OSP).

OSP provides the following services:

- Search for funding sources for research and other sponsored activities
- Assistance with proposal budget development
- Review of sponsor guidelines
- Review of proposal for conformance with sponsor, university and other requirements
- Submission of proposals electronically (as required)
- Award review and negotiation
- Set up of award accounts
- Development and negotiation of subrecipient agreements
- Monitoring of post-award activity (review of expenditures for conformance with sponsor, university and federal rules, regulations and laws)
- Development and provision of financial reports to sponsors
- Answer questions and provide assistance with post-award questions
- Submit invoices; collect sponsor funds
- Close out of completed projects
- Coordination of submission of invention, property, and other reports
- Coordination of audits
- Coordination of UNLV's Facilities & Administrative Rate proposal
- Work with other UNLV departments to create a customer-service driven research environment

I. Proposal Submission Process

Researchers are encouraged to work closely with OSP during the proposal submission process. OSP is the only office designated by UNLV to submit sponsored programs proposals. UNLV faculty and staff are required to submit all proposals through OSP and are not permitted to submit proposals directly to sponsors without OSP review and authorization.

OSP can assist the principal investigator with many aspects of proposal development, including assistance with identifying funding sources; review of sponsor guidelines and requirements;

budget development; completion of sponsor forms; electronic submission or hard copy transmittal; and coordination between the sponsor and the researcher as required.

A. Funding Sources

OSP pre-award staff assists researchers in identifying funding by utilizing several resources. To assist faculty and professional staff in identifying potential funding sources, the Office of Sponsored Programs subscribes to a membership with the [AASCU Grants Resource Center \(GRC\)](#). The Grants Resource Center serves as a liaison to federal funding agencies, provides monthly electronic announcements of forthcoming deadlines and grant opportunities, and provides personal assistance in identifying funding sources or obtaining information from federal agencies. Faculty and staff have access to GRC's web site, which contains electronic versions of GRC Deadlines and GRC Reports, GRC Bulletin, Federal Register announcements, federal agency and private foundation links, and a searchable grant database (GrantSearch).

The OSP staff will assist faculty in the use of the GrantSearch database or will perform funding searches upon request.

GRC GrantSearch Database A database of federal and private funding sources. You will need a username and password the first time you access the database.

GRC Bulletin A publication updated every Friday providing federal funding opportunities from grants.gov, the Federal Register, and federal procurement opportunities from FedBizOpps.gov.

NIH/NSF Bulletin Call for proposals from the National Institutes for Health and the National Science Foundation, updated weekly.

GrantsWeek A publication updated weekly detailing the latest information affecting the research community.

GRC Deadlines A publication detailing calls for proposals with three-month submission dates. GRC Deadlines, as published by the GRC, is the most comprehensive source of funding opportunities available to the UNLV community. This online publication is divided into various disciplines and is updated on the 10th of each month. Approximately 100 to 150 funding opportunities are described in each issue.

Other Funding Links

[Grants.gov](#) Grants.gov is THE single access point for over 1,000 grant programs offered by all federal grant-making agencies. Investigators have the option to sign-up and receive notification of ALL funding opportunities or may choose a specific discipline and/or federal agency.

[Foundation Center](#) Founded in 1956, the Foundation Center is the nation's leading authority on philanthropy and is dedicated to serving grantseekers, grantmakers, researchers, policymakers, the media, and the general public.

[National Institutes of Health](#)

[National Science Foundation](#)

[Nevada EPSCoR Office](#)

System-wide initiatives for federal agency submissions. The participating agencies include the Department of Energy ([DOE](#)), Environmental Protection Agency ([EPA](#)), United States Department of Agriculture ([USDA](#)), Department of Defense ([DOD](#)), National Aeronautical and Space Agency ([NASA](#)), the National Institutes of Health ([NIH](#)), and the National Science Foundation ([NSF](#)).

B. Review of Sponsor Guidelines and Proposal Documentation

OSP assists with review of sponsor guidelines. With the advent of Grants.gov and other electronic submission systems, it is particularly important for principal investigators and their teams to work together with OSP to ensure that all formatting and submission issues are reviewed and submissions conform to sponsor requirements. If a proposal does not conform to sponsor requirements, the proposal may be rejected by the sponsor. Electronic submission systems are particularly sensitive to submission errors. Researchers should work closely with OSP to avoid these problems.

Principal investigators should submit all proposal documentation to OSP **four** days prior to the submission deadline to ensure a successful submission.

Proposal documentation that should be provided to OSP includes:

- Sponsor guidelines
- Statement of work
- Proposal budget
- UNLV routing form
- Subrecipient statement of work, budget, letter of commitment
- Cost-sharing documentation (if a third party is involved, a letter from the third party should be provided detailing the cost-sharing commitment)

C. Budget Development

Preparation of the budget is, for many researchers, the most difficult section of the proposal. Granting agencies review hundreds of proposals annually and are proficient at comparing level of funding requested to perform the research work proposed. Therefore, it is important that the budget section of the proposal reflect, as accurately as possible, the funding needed to carry out the proposed research. The investigator should neither overestimate the funds required nor underestimate budgetary needs. Either of these strategies may lead to proposal rejection. A budget, accurately detailing the funds necessary to carry out the technical statement of work, can strengthen the total proposal and increase the likelihood of funding. Furthermore, a carefully prepared budget can often identify weak areas in the proposal narrative and result in improvement of the proposal. OSP research administrators are experienced in preparing

budgets and encourage investigators to contact them when they have a draft of the budget. OSP staff can provide expertise in completing a budget request, applying fringe benefit and facilities and administrative cost rates, and documenting subrecipient agreements, consultants, matching funds, and cost-sharing. In the case of more complicated proposal requirements, OSP will complete sponsor assurances and certifications and will assist the investigator in interpreting sponsor guidelines.

1. Direct Costs

a. Salaries and Wages

To determine total salaries and wages, list the amount of time to be spent by each person, including secretaries and clerical assistants, who will be working on the project. Time should normally be shown in terms of person-months and a percent of full-time effort. Show a breakdown between summer and regular academic year for faculty. No employee may be scheduled for activities in excess of 100% of effort in any given month. Sponsored activities may not result in any employees receiving compensation at a rate in excess of their authorized salary or academic rate. For multi-year projects, the budget should take into consideration any possible salary increases. OMB Circular A-21, the federal regulation that determines the allowability of costs on federally sponsored awards, requires special justification for the use of secretarial and other clerical support on sponsored programs. The budget justification should include this information.

b. Fringe Benefits

Fringe benefits are a direct cost to a sponsored project, are clearly related to the salaries and wages to be paid, and are shown as a separate entry in the budget.

A pooled fringe benefit rate is used to estimate costs. The rates are:

- A or B Contract Faculty 32%
- Classified 46%
- Grad Assistants 16%
- LOA's (Not Summer Faculty) 10%
- LOB 32%
- Postdoc 32%
- Summer Faculty 17%
- Undergraduates 2%

Note, however that the actual costs for fringe benefits are charged (billed) to the sponsored project at the time the costs are incurred; the amount charged is based on salary, selected benefit package, and other variables applicable to the individual employee.

If fringe benefit expenses for a project exceed the projected amount included in the budget, it is the responsibility of the principal investigator to pay these costs from the direct award funds provided by the sponsor.

c. Consultants (Independent Service Providers)

Normally, consultants are paid a consulting fee plus travel expenses. Whenever possible, identify in the budget the proposed consultant by name, indicate the number of days of work, daily rate, and provide a curriculum vitae or resume for the consultant in the proposal.

Many sponsors do not permit payments to consultants and some restrict or limit such payments, or require that the university obtain written approval for consultants. If in doubt as to the allowability of consultants or rates paid to consultants, refer to the award terms, sponsor guidelines, or contact OSP.

The participation of paid consultants in a sponsored project for periods longer than four weeks should be discussed with OSP prior to submission of the proposal. UNLV employees may be used as consultants on a project if the consultant is from a different department than the principal investigator. However, the cost of their participation must be paid as regular salary and associated fringe benefits must be included in the cost.

d. Capital Equipment

Equipment means an article of nonexpendable, tangible property having a useful life of more than one year and an acquisition cost of \$5,000 or more per acquisition. Components, other than on-campus machine-shop labor, used to fabricate an item of capital equipment may be considered as capital equipment for budgeting purposes and should be identified as such for inventory purposes. Any on-campus machine-shop labor component involved in fabrication of capital equipment is subject to facilities and administrative costs.

e. Expendable Equipment and Supplies

These are items costing less than \$5,000. Normally, a research project will consume expendable supplies such as laboratory items, teaching aids, computer software, and office supplies. A reasonable amount should be budgeted for these items.

f. Publications

Budget the anticipated cost of publishing the results of the research, keeping in mind that page charges may vary from journal to journal. Consider both page charges and reprint costs.

g. Travel

If foreign travel is anticipated the detailed information for the trip(s) should be provided in the budget. Outside the state, reimbursement levels for travel expenditures are set by the federal government and vary by locality. Federal funds cannot be used to make trips to secure new or additional research support or funds.

h. Computer Time

Computer time costs should be included as a budget item, if appropriate. If non-sponsor funded

computer time is needed, arrangements must be made in advance with the researcher's academic department or research unit. Facilities and administrative costs apply to all types of computer time, and to all computer supply budgets.

i. Subrecipient Agreements

For general information related to the difference between a subrecipient and a vendor, please review "General information about the differences between a subrecipient and a vendor" at: <http://research.unlv.edu/osp/handbook2.pdf>

When the Principal Investigator contemplates collaboration with a colleague at another institution, the collaborating institution should provide to OSP a statement of work and detailed budget, signed by the collaborator's authorized institutional representative.

j. Other Direct Costs

Costs such as those for copying; long-distance telephone calls; postage; reference books and materials; tuition and required fees for participating graduate students; equipment maintenance; and contracted services are all considered Other Direct Costs. The principal investigator should justify the need for these items in relation to the project.

2. Facilities and Administrative (F&A) Costs

a. Facilities and Administrative Costs

Facilities and administrative (F&A) costs must be included in proposal budgets unless the sponsor has a written policy on F&A rates applicable to all potential grantees. All deviations from full recovery of F&A rates are subject to UNLV administrative approval. Sponsor guidelines limiting facilities and administrative costs must be provided with a proposal. To calculate F&A costs for a project: 1) Calculate the Total Direct Costs (TDC), which is simply the sum of all direct costs (salaries, benefits, supplies, equipment, etc.) 2) Calculate the base against which the F&A rate will be multiplied by subtracting exempt items (capital equipment, graduate student tuition and required fees, stipends, and subrecipient agreement costs in excess of the first \$25,000 of each subrecipient agreement over the life of the agreement) from TDC. This will give the Modified Total Direct Costs (MTDC). 3) Multiply the correct F&A rate against the MTDC base to calculate the facilities and administrative costs for the project. 4) Add the TDC to the F&A to calculate the Total Project Costs. $TDC - \text{exemptions} = MTDC$
 $MTDC \times F\&A \text{ rate} = F\&A$

$TDC + F\&A = \text{Total Project Costs}$ Please note that since the federally-negotiated facilities and administrative cost rates are subject to change every three to five years, principal investigators should be prepared to make adjustments in budgets for such changes.

UNLV's F&A rate agreement may be viewed here: <http://research.unlv.edu/icnagreement.pdf>

b. On- and Off-Campus Rates

Off-campus activities are those activities that operate entirely off University property (either owned, leased, or rented) and do not increase, nor decrease the costs of those activities (i.e., operations and maintenance) that would be affected had the activities been operated on property maintained and/or depreciated by the University.

Off-campus rates are generally used when the principal investigator conducts research away from the campus for a period of no less than one semester or all three summer months. They are not used for conducting of workshops, seminars, etc. off campus, especially when data collection and analysis takes place on campus.

3. Matching Funds/Cost-Sharing

If sponsor guidelines require cost-sharing or matching funds (cash contribution or donation of in-kind services such as contributed time and effort by the principal investigator and other key personnel), please provide the details of any cost sharing provided by the PI, department/unit or college and/or provide appropriate letters of commitment from third-party sources. All matching funds or cost-sharing commitments based on the faculty member's academic time and effort must be approved in advance by the principal investigator's department chair and dean. The university does not provide cost-sharing for projects on which it is not required.

D. Other Proposal Information

1. Limited Submission Proposals

Limited submission programs are those for which funding agencies restrict the number of nominations or proposals a university may submit for consideration for an award. UNLV, therefore, must internally screen all eligible and interested nominees to determine which will represent the university in the regional, national, or international competitions.

If a UNLV researcher intends to submit for a limited submission program, he/she must contact OSP to secure authorization to submit on behalf of UNLV.

Documents required by the University will be listed for each internal competition. Potential nominees must ensure that they are aware of any additional requirements of the awarding body beyond the University internal competition. In all cases, requirements for internal review will mirror the requirements of the awarding body to reduce duplication or extraneous paperwork. Unless stated otherwise, all required documentation should be submitted by email (preferably as a .pdf) to OSP by the posted deadline.

It is the responsibility of the researcher and nominating body to ensure that all eligibility guidelines are met prior to submission for internal review by OSP.

2. Compliance Review of Proposals

Sponsors may require approved human subject, animal subject, biosafety, or radiation protocols prior to submission of the proposal. Many sponsors will permit proposals to be submitted with pending compliance protocols but will require approved protocols prior to issuance of the award. If you are unsure about the sponsor's guidelines on this issue, contact OSP to discuss.

3. Review of Proposals by Offices Other than OSP

In rare circumstances, proposals may be reviewed by other university departments in addition to the normal OSP review and submission process. Proposals that may require additional review include proposals:

- for services agreements outside of the university's mission
- that contain conflict of interest issues
- that involve large donors to UNLV
- to create new buildings, alterations or renovations
- that establish a new academic program
- for a program with limits on the number of proposals that can be submitted by the institution
- containing export controlled information or contemplating export of technology to embargoed countries or foreign nationals
- may be related to lawsuits or other legal matters

Proposals requiring additional review will be determined by the Vice President for Research, or designee. The Vice President for Research, or designee, will determine the university offices involved in the review process.

The Vice President for Research, or designee, will inform the Principal Investigator and UNLV offices involved in the review process of the following:

- Nature of the review required
- Timeline for review
- Pertinent sponsor rules, guidelines or regulations
- Internal peer review process (as required for limited submissions)
- Additional information as required

It is contemplated that the Vice President for Research, or designee, will coordinate the review process as well as set an internal deadline for the development and submission of these proposals.

II. Awards

A. Award Acceptance and Post-Award Administration

Award documents take many forms depending upon the type of sponsor and project. These documents require review and signature by the official institutional representative authorized to sign on behalf of the institution. OSP is responsible for award document processing. The Principal Investigator is notified of each new award and its terms and conditions and is asked to accept the award and responsibility for complying with all award requirements by returning a signed acknowledgment to OSP.

OSP may negotiate the terms and conditions of an award if the terms are not consistent with the requirements of an educational institution. Occasionally, OSP will seek changes in clauses related to governing law, indemnification and insurance to comply with Nevada law. OSP will also negotiate clauses that permit the University to retain intellectual property developed under the agreement. OSP also protects academic freedom by ensuring a faculty member's right to publish by asking for appropriate terms. OSP also seeks PI acceptance of award terms and conditions if they differ significantly from the usual federal terms prior to signing award documents.

Upon receipt of fully executed award documents or other proof of award, OSP sets up the project account number. Once the Principal Investigator receives notification of the project account number from the post award staff of OSP, funds may be encumbered or expended. The Office of Sponsored Projects plays a dual role in the post-award phase of sponsored project activity. OSP serves as a central point of contact for sponsor grant or contract officers regarding administrative matters throughout the duration of the project. OSP also serves as facilitator for Principal Investigators in all matters pertaining to the non-technical management of their grants and contracts. In addition, OSP coordinates compliance with each sponsor's requirements for interim and final research reports. Principal Investigators are responsible for submission of all required reports in a timely fashion.

B. Risk Accounts – Pre-award Costs

If award documentation is delayed, procedures are available to obtain a risk account for a limited period of time. Principal investigators should review the [Bridge Funding policy](#) for more information. After the award information is verified by a representative of the sponsoring agency with the authority to commit funds, OSP will review the risk account request and may authorize set up of an account. Many federal agencies allow pre-award costs up to 90 days prior to the start date of a grant. If pre-award costs are required, the above procedures for verification will be followed and pre-award costs may be approved.

C. Subrecipient Agreements

Sponsored program budgets often contain funding for pass-through funding to subrecipients.

OSP has the overall responsibility for developing and negotiating subrecipient agreements under

sponsored project awards. OSP maintains documentation relative to subrecipient agreement placement and any modification of the agreement.

OSP will negotiate all subrecipient agreements in accordance with standard business practices and, as appropriate, the Federal Acquisition Regulation and/or OMB Circulars A-21, A-110, and A-133, and the negotiation shall be documented in the subrecipient file. These agreements will comply with all standard and special provisions of individual awards. After the subcontract/subrecipient agreement is fully executed and work has commenced, it is the responsibility of the principal investigator to: 1) review all invoices from the subrecipient to determine if the charges are appropriate; 2) prepare a voucher to make payment for all appropriate charges; 3) monitor the progress of the subrecipient and; 4) obtain all required deliverables from the subrecipient.

OSP's post-award staff review subrecipient invoices payment requests after the principal investigator has approved the invoice in writing (as documented by the principal investigator's signature on the invoice) and after Accounts Payable has processed the Payment Request produced by the principal investigator or his staff. OSP reviews the project account to ensure that sufficient funds remain in the account to pay the subrecipient invoice and that the invoiced expenses occurred within the period of performance of the prime award.

III. POST-AWARD ISSUES

A. Extensions of Time

One of the most frequently asked questions from principal investigators or their assistants is, "What do I need to do in order to extend my project without additional funds?" The answer to that question depends on the source of funding.

Federal Funds - If the award is from a federal sponsor and the terms and conditions of the award are noted as Federal Demonstration Partnership (FDP), the University has the option of extending the project for a period up to 12 months without having to contact the sponsor for permission. The following sponsors usually issue FDP awards: National Science Foundation, National Institutes of Health, National Aeronautics and Space Administration, Department of Energy, Environmental Protection Agency (but you can obtain a no-cost extension only if the extension will not cause the project period to exceed five years).

If researchers seek an extension on a project which provides for a no-cost extension under FDP terms, they should contact the post-award research administrator assigned to their area by email with the request. The request must note the reason for the extension. Please note that extending the project just to expend remaining funds is not a valid reason for extension. There must be an acceptable rationale for the extension, such as a late start due to difficulties in hiring, late receipt of award from the sponsor, unexpected changes in the project timeline due to sponsor modifications, etc.

If the one-year FDP extension has already been used, subsequent extension requests must be submitted through OSP. The request should be in writing and should provide a justification for

the extension. The justification should relate to the completion of the scientific objectives. (The fact that funds may remain is not a valid justification.)

Requests for no cost extensions to NSF must be submitted through FastLane. NSF requires that the request be submitted 45 days prior to expiration.

Sponsor approved no-cost extensions must be submitted prior to the expiration date of the grant. Please note that these requests can take several weeks for a sponsor to approve. Consider the processing time when deciding when to submit such a request.

Non-federal requests for extension should be submitted in writing and routed through OSP. The requests should include a programmatic justification for the extension. The University has no provision for extending these projects without sponsor approval. As with federal awards, these requests should be made prior to the expiration date with ample lead-time. A two-month lead time is suggested in order to have an approved extension prior to the original expiration date.

B. Budget Changes

If a principal investigator would like to revise his or her budget and sponsor guidelines do not permit the university to make the change without sponsor approval, the PI will need to request the revisions in writing from OSP. The request must be processed through OSP and will be forwarded to the sponsor. Questions regarding allowable costs should be directed to the assigned OSP post-award contact for the PI's department.

C. Supplemental Funds Requests

Requests for additional funding on an existing project are processed as proposals through OSP. You will need the following items: 1) [Internal Routing Form](#); 2) budget; 3) statement of work for the additional effort; and 4) updated certification for all compliance issues if necessary. Please make a notation of your current grant number and OSP Proposal Number on the Internal Routing Form.

D. Change of Principal Investigator

If a change of principal investigator is required on a project, a letter must be sent to the sponsor. The letter should be endorsed by the current PI, the proposed PI, the department chair and OSP. The letter should outline the qualifications of the new PI and include a copy of the new PI's curriculum vitae.

E. Leave of Absence

If a PI with a sponsored project plans to be away from the University, he or she will need to notify the sponsor in writing of the absence. The PI's letter should address how he or she plans to maintain oversight of the project during the absence. This letter must be co-signed by OSP.

F. Grant Transfers

Transferring a grant to another institution is a complicated process and requires proper timing to allow for the transfer and start-up at the new institution. Some sponsors have specific forms that must be completed to obtain a transfer. Other sponsors have no formal guidelines for transfers.

There are general procedures that need to be followed to prepare for a transfer. Please note the following steps in preparing for a grant transfer:

1. Select an expiration date for the project. In order to relinquish the project, OSP must be able to determine the residual funds remaining after all obligations have cleared. It takes at least 30 days after the expiration date to obtain this information.
2. Review sponsor guidelines for grant transfer instructions and alert OSP to any unusual circumstances.

Grants from the National Institutes of Health require the completion of an [NIH Relinquishing Interests Form](#). Grants from NSF require completion of an [NSF Grant Transfer Form](#).

3. To transfer equipment purchased on a sponsored project account at UNLV to another institution, a researcher must:

Obtain approval from his or her Chair and Dean to transfer the equipment

Fill out a [Property Movement Request](#) on-line to notify UNLV Delivery Services of the impending transfer

Notify OSP of the intent to transfer equipment and provide a listing of the equipment with serial numbers and descriptions

For more information on equipment disposition, please see:

<http://www.unlv.edu/Research/about/SponsoredProgramEquipmentDispositionpolicy.pdf>

4. The researcher should also submit non-competing continuations for the next year's funds through the new institution to which he/she transfers.

When an award has been officially relinquished by UNLV, the sponsor will re-award the project to the new institution.

G. Changes in Effort

When a principal investigator on a federally funded project wishes to make changes in work effort that result in a 25% or more decrease in effort for him or herself or any key personnel on the project, the principal investigator must notify OSP of the change in effort so that the changes

can be approved by the sponsor. Such modifications to effort are subject to the sponsor's approval before they can be implemented.

H. Effort Reporting

Personnel paid on sponsored project accounts will receive monthly effort certification forms to confirm that effort was performed as proposed on sponsored projects. Effort certification is a requirement of OMB Circular A-21 and the university must obtain this documentation to satisfy federal regulation. Non-conformance with federal regulations related to effort certification can result in disallowed costs, fines, penalties and other sanctions. Return effort certifications promptly to OSP. If you have concerns about an effort certification (if it is incorrect, etc.), please contact Mary Floresta at 5-1357. OSP anticipates moving to a web-based effort certification system in early 2009 that will utilize email to notify all individuals paid by sponsored project accounts of the requirement to certify on a monthly basis. All certifications will be web-based.

IV. Post Award Financial Invoicing, Reporting and Closeout

A. Invoicing

OSP provides post-award invoicing services for sponsored projects. OSP post-award research administrators generally invoice for costs incurred on a monthly or quarterly basis. If an invoicing problem arises, please contact the appropriate OSP research administrator for assistance.

B. Financial Reporting

OSP provides financial reporting services for sponsored projects. OSP post-award research administrators produce financial reports as required, but typically on a quarterly basis. Financial reports usually consist of a summary of expenditures for the period of the report (monthly or quarterly); provision of detailed expenditures from the Advantage accounting system as required; and other information required by the sponsor. Please be aware that OSP does not provide detailed documentation of expenditures that appear on invoices, such as copies of payroll documents, copies of vendor invoices, travel documentation such as boarding passes, etc., for two primary reasons: 1) UNLV is subject to state and federal audit and is willing to provide sponsors with physical access to UNLV accounting records as necessary; and 2) lack of adequate human resources to provide such information.

C. Close Out of Projects

OSP coordinates close out of sponsored projects. OSP will produce final invoices and financial reports. OSP also coordinates data provided in final patent reports and final equipment inventory requests. OSP will work closely with the principal investigator to obtain this data and ensure its accuracy.