Handbook for Research and Sponsored Programs

Hampton University
Hampton, VA 23668

April 2014
Hampton University is a comprehensive institution of higher education, dedicated to the promotion of learning, building of character and preparation of promising students for positions of leadership and service. Its curriculum emphasis is scientific and professional with a strong liberal arts undergirding. In carrying out its mission, the University requires that everything that it does be of the highest quality.

A historically black institution, Hampton University is committed to multiculturalism. The University serves students from diverse national, cultural and economic backgrounds. From its beginnings to the present, the institution has enrolled students from five continents – North America, South America, Africa, Asia and Europe – and many countries including Gabon, Kenya, Ghana, Japan, China, Armenia, Great Britain and Russia, as well as the Hawaiian and Caribbean Islands and numerous American Indian nations. Placing its students at the center of its planning, the University provides a holistic educational environment. Learning is facilitated by a range of educational offerings, a rigorous curriculum, excellent teaching, professional experiences, multiple leadership opportunities, and an emphasis on the development of character which values integrity, respect, decency, dignity, and responsibility.

Research and public service are integral parts of Hampton's mission. In order to enhance scholarship and discovery, the faculty is engaged in writing, research, and grantsmanship. Faculty, staff and students provide leadership and service to the University as well as the global community.

In achieving its mission, Hampton University offers exemplary programs and opportunities which enable students, faculty and staff to grow, develop and contribute to our society in a productive and useful manner.

http://www.hamptonu.edu/about/mission.cfm
# TABLE OF CONTENTS

**UNIVERSTY MISSION STATEMENT** ...................................................................... 1

**Introduction** ........................................................................................................ 4

  Funding Information Resources ........................................................................... 5

  How to pursue a funding opportunity .................................................................. 5

**PROPOSAL PREPARATION** ............................................................................... 7

  Proposal Preparation Guidelines ......................................................................... 7

    The basic steps to follow in developing a proposal ........................................... 7

    Interpretation of proposal approvals ................................................................ 9

  Proposal Components ........................................................................................... 10

    1. Abstract ........................................................................................................... 10

    2. Table of Contents .......................................................................................... 10

    3. Introduction .................................................................................................... 10

    4. Problem Statement/Rationale/Need ............................................................... 10

    5. Objectives ........................................................................................................ 11

    6. Methodology .................................................................................................. 11

    7. Evaluation and Dissemination ....................................................................... 11

    8. Budget ............................................................................................................ 11

    9. Appendices .................................................................................................... 14

   10. Compliance/Assurance Forms ...................................................................... 14

  Tips for success ...................................................................................................... 14

**UNIVERSITY FACT SHEET** ............................................................................ 15

**THE AWARD PROCESS** ............................................................................... 16

  Negotiating the Award ....................................................................................... 16

  The Award Instrument ....................................................................................... 16

**POST AWARD ADMINISTRATION** ............................................................... 17

  Financial Accounting System ........................................................................... 17

  Technical/Progress Reports ............................................................................... 17

  Project Changes .................................................................................................... 18
INTRODUCTION

Hampton University considers the creation of new knowledge through research and the dissemination of this knowledge to society important aspects of its mission. The purpose of research at Hampton University is threefold: (1) to advance and produce new knowledge, (2) to educate students, and (3) to disseminate knowledge. The University recognizes that teaching and research are essential academic activities and that research is essential to good teaching. Accordingly, faculty are expected to be actively engaged in research, scholarly activities and grantsmanship. Moreover, The Academic Handbook states that research is one of three (along with teaching and professional services) equally-weighted criteria for promotion, tenure, merit increments, etc.

The Board of Trustees and administrators support and promote the enhancement of teaching and learning through research and other creative activities. Faculty and staff are encouraged to seek external support to assist the University in meeting these tasks. In 1993, a new administrative area, Governmental Relations, was established and devoted to funding research and sponsored programs. This area assists in identifying funds for research and sponsored programs, and has specific responsibility for pre and post award management of grants and contracts. Governmental Relations houses three offices:

The Office of Sponsored Programs (OSP) is primarily responsible for pre-award activities that begin with proposal preparation and proceeds through submission, award negotiation and execution. Additionally, this office participates in the negotiation and interpretation of intellectual property terms in grants and contracts in order to ensure that the rights of sponsors and developers of technology are protected. Sub-awards are also prepared and negotiated in this office. OSP also serves as the administrative contact and liaison for all externally funded programs.

The Grants Management Office has the responsibility for managing all expenditures from grants and contracts and ensuring the appropriate expenditure of public and private funds received for research and sponsored programs.

The Governmental Affairs unit advises the President and the administration at Hampton University as it relates to legislative and policy issues that impact the well being of the university. This unit will specifically represent Hampton University's interests in the Virginia General Assembly, before members and committees of Congress, before federal, state and local administrative agencies and regulatory commissions, and before local governing bodies.
The Internet and selected publications are used to identify sources of available funds for research and other sponsored activities. Many federal agency web sites offer current information on grant opportunities in the public sector. Increasing numbers of major foundations provide information on their giving programs via the Internet. The Office of the Special Assistant to the President for Research also provides "Research Opportunity Announcements" campus-wide via email.

1. Public Sector - refers to local, state and federal agencies. Examples of such agencies are:

   Local - Hampton City School Board
   
   State - Virginia Department of Business Assistance
   
   Federal - U. S. Department of Health and Human Services

2. Private Sector - refers to individuals, organizations and foundations whose funding capability is based on personal wealth and endowment assets. The Foundation Center defines a foundation as "a nongovernmental, nonprofit organization with its own funds (usually from a single source, either an individual, family or corporation) and program managed by its own trustees and directors, which was established to maintain or aid educational, social, charitable, religious, or other activities serving the common welfare primarily by making grants to other nonprofit organizations."

HOW TO PURSUE A FUNDING OPPORTUNITY:

Proposals and letters of intent for external funding must be submitted through the Office of Sponsored Programs when one or more of the following criteria are met:

- An authorized institutional signature is required

- Reporting requirements are stipulated (i.e. interim and/or final progress reports, financial reports, formal accounting of how funds were used, etc.)

- A budget is required

- Confidentiality, intellectual property and/or publication conditions exit

- Receipt of funds are subject to specific terms, conditions or obligations
Proposals for external funding that do not meet these criteria are likely considered a ‘gift’ and should be submitted via the Office of Development. Gifts are unrestricted funds provided to the University without any terms, conditions or obligations. Solicitations of all philanthropic gifts are coordinated through the Office of Development. Solicitation of grants and contracts from foundations and corporations are monitored by the Office of Development, but must be submitted through the Office of Sponsored Programs.
PROPOSAL PREPARATION

Hampton University employs an electronic system called ImageNow to manage grants and contracts from inception to closeout. Principal investigators (PI) should initiate an Intent to Submit form in ImageNow as soon as he/she decides to pursue a funding opportunity. Upon receipt of notification of the approved Intent to Submit form, the PI should upload a completed proposal package using the Request to Apply for a Grant/Contract form. PIs can track the progress of their proposal using the ImageNow system. Once the proposal package has been successfully submitted, the PI will receive an automated notification of submission that includes a link to all of the related proposal documents. Detailed instructions follow:

PROPOSAL PREPARATION GUIDELINES

All of the federal agencies provide guidelines that describe the procedures to follow in preparing an application for funding. These guidelines are published and made available at no cost to interested persons, institutions, businesses, etc. upon request. Included in these guidelines are such things as:

- Submission deadline
- Total funds available for awards
- Approximate number of awards to be made; range of award amounts
- Eligible applicants
- Program priorities
- Review/selection criteria
- Required proposal components
- Submission procedures (number of copies, mailing/delivery information)
- Agency and/or program point(s) of contact

THE BASIC STEPS TO FOLLOW IN DEVELOPING A PROPOSAL:

1. Discuss the solicitation/announcement with your immediate supervisor to determine feasibility and appropriateness with respect to the department's program plans.

2. Complete and submit an "Intent to Submit a Proposal (ISP)" form via the ImageNow system (See Appendix I). An ISP form must be submitted for each
and every grant proposal. Attach to the ISP form, a copy of the solicitation or request for proposal, including any other related proposal guidelines and submission/mail-out instructions. The link to the ISP form may be found on the Hampton University website under the Office of Sponsored Programs or you may navigate via your web browser to:


The ISP form provides an internal “heads up” that the researcher plans to seek external funding. It serves as an alert necessary to effectively coordinate and plan for a timely proposal submission. The ISP form will be electronically routed for approval to the Department Head, Dean, Provost (or Vice President), the Vice President for Development (if applicable), and to the Director of Sponsored Programs.

Upon approval of the ISP form, the PI will receive a confirmation email from the ImageNow system. The email will include a system generated tracking number and links to the Significant Financial Disclosure and the Request to Apply for a Grant/Contract forms.

3. If appropriate, discuss the proposal under development with a representative of the funding agency. Such contacts serve to help investigators to focus their ideas more fully on the requirements of the agency.

4. Develop the full proposal in accordance with the solicitation guidelines. The proposal should be discussed in detail with your immediate supervisor as it is being developed. Assistance in preparing a budget or cost proposal is available from the Office of Sponsored Programs. All persons who develop proposals are encouraged to include students, technology and release time in their projects, unless prohibited by program guidelines. Also, note that indirect costs should be projected in all budgets, irrespective of the budget value, unless an exception has been approved, in advance. Contact the Office of Sponsored Programs for additional details.

5. Complete the "Request to Apply for Grant (RAGC)" form, via the ImageNow system, along with a complete copy of the entire proposal package (technical narrative, budget, support letters (if applicable) and all other documents required
by the solicitation). The link to the RAGC form may be found on the Hampton University website under the Office of Sponsored Programs or you may navigate via your web browser to:

http://huitimgwebnow:8080/imagenowforms/fs?form=Request%20to%20Apply%20for%20Grant/Contract

6. ImageNow will route each proposal electronically to each required approver. Allow sufficient time for approvers to thoroughly review the proposal. **Proposals with established deadlines should be submitted to the Office of Sponsored Programs at least seven (7) business days prior to the deadline.** This allows sufficient time for OSP to review and troubleshoot each proposal for accuracy and compliance prior to forwarding for final University authorization and subsequent, timely submission to the funding agency.

7. **INTERPRETATION OF PROPOSAL APPROVALS:** The signature of each approver is interpreted as follows:

   Department Chair/Supervisor - has read the proposal and approves its contents. Concerns regarding faculty/staff/student involvement, space requirements, cost share and other anticipated project costs have been discussed in light of University policies, and the availability of resources needed to support the project.

   School Dean/Budget Executive - has read the proposal and approves its contents. Concerns addressed by the Chair/Supervisor have been reviewed and resolved. If additional information is needed, the principal investigator, the chair/supervisor, and/or others will have been consulted prior to affixing signature to the "Request to Apply for Grant" form.

   Assistant Provost for Technology - has reviewed the proposal and certifies that the proposed technology is acceptable and congruent with existing and strategic capabilities.

   Provost (or Vice President) - certifies the appropriateness of the proposal in light of the University's goals and objectives as well as existing policies, procedures and regulations.

   Vice President for Development - has reviewed the proposal and certifies that the proposal addresses the guidelines of the private sponsoring agency or individual and relevant university policies.

   Vice President for Business Affairs and Treasurer - has examined the proposed budget for accuracy and certifies that it is in accordance with University fiscal policies.
PROPOSAL COMPONENTS

In instances where specific guidelines are not enumerated by a potential funding source, a complete proposal will most often respond to the journalistic inquiries of who?, what?, where?, when?, why?, and how? From beginning to end, the proposal should "flow" in a manner which suggests that it is a well-conceived and well-structured document. Such a document should include the following components:

1. **ABSTRACT.** The abstract should clearly and concisely delineate the following:
   - Need (importance, timeliness of the project)
   - Objectives (realistic, quantifiable)
   - Methodology/Procedures (should match the objectives & include your knowledge of related work in the field)
   - Significance/Impact (relationship to other disciplines/universality)
   - Available resources and personnel

   The abstract should be written last as a concise statement of the full proposal. Reviewers will read the abstract first to gain a perspective of the project and its expected significance, or use it as a reference during discussions with other readers. Care should be taken to highlight key concepts.

2. **TABLE OF CONTENTS.** The Table of Contents should list all of the major topics of the proposal, including appendices; however, it is typically not required for brief proposals (3 to 5 pages).

3. **INTRODUCTION.** The Introduction should identify the institution and the area(s) involved in the proposed program. What are its goals and how does the project help to attain those goals? Who will be involved? This section should also discuss the qualifications of the investigator(s). A one or two page curriculum vitae is often suggested and should be placed in the Appendix section unless otherwise requested.

4. **PROBLEM STATEMENT/RATIONALE/NEED.** This section should include a well-documented and realistic description of the problem and your proposed solution(s). Include relevant statistical data to support your assessment of the problem. Does this project duplicate an existing program? Why do the project now?
5. **OBJECTIVES.** This section should state clearly what you intend to accomplish. Objective statements should focus on the ends to be achieved rather than on the methods (means). Whenever possible, objectives should be stated in quantifiable terms (to raise the reading proficiency of 25 tenth graders by one grade level over a twelve-month period).

6. **METHODOLOGY.** This section should fully describe the means to be employed in achieving the objectives. Equally important in this section is the need to show familiarity with methods previously tried and their results. The methods should follow a logical sequence and support the premise that it is more likely to prove successful. Major activities should be identified and set within a timetable for orderly presentation. Research that involves human subjects requires certain approvals and safeguards. These should be discussed in this section if applicable. Procedures for obtaining Institutional Review Board approvals for matters concerning human subjects in research are discussed in this manual under the heading Policies and Procedures.

7. **EVALUATION AND DISSEMINATION.** This section represents an essential element of any proposal. The evaluation provides final evidence of success or failure for both the University and the funding source. It serves to measure needed changes or adjustments in programs lasting more than one year. Subjective evaluations are generally discouraged as they focus primarily on opinions and feelings of participants. Objective evaluations are preferred, as they will likely include pre- and post-test instruments, interim testing or other examinations of observable circumstances. Who will conduct the evaluation? How does its cost compare to the total cost of the program? What will be done with the results?

8. **BUDGET.** Great care must be taken when assigning costs to your project. The budget must provide a complete picture of the project to include personnel, activities, evaluation and dissemination. Primary budget categories will include the following:

- **PERSONNEL/SALARIES AND WAGES** - may be charged to a project on a full or part time basis. When salary support is on less than a full time basis, particularly for the principal investigator (PI) or project director, specify the hourly rate or percentage of full-time effort and the salary base. Salaries for future years may be estimated at annual increases of 3% to 4% for budgeting purposes; however, salary increases are determined pursuant to University policy.

- **STUDENT SUPPORT** - includes graduate student stipends, fellowships and tuition support, undergraduate salaries and scholarships. All research grants are expected to provide some form of student support unless prohibited by the agency/organization being solicited.
FRINGE BENEFITS - must be charged to each grant application as a direct cost. A formal rate is negotiated periodically with the federal government that must be applied to Personnel costs in all applications. Fringe benefits are not applied to the student support category.

TRAVEL - includes the expenses incurred by project staff for transportation, lodging, subsistence and related items (tolls, parking, etc.). Full details on both domestic and foreign travel should be provided. The University has an established Travel Policy that governs all travel expenditures. A copy may be obtained from the Business Office.

SUPPLIES AND MATERIALS - consists of consumable items, raw materials for fabricating project items and computer software.

EQUIPMENT - includes items with an estimated cost exceeding $5000 per unit or having an estimated life exceeding two years. Funding source guidelines should be carefully checked to determine whether specific items of equipment are among allowable costs.

ALTERATIONS AND RENOVATION - includes work required to change the interior of an existing facility so that it may be used for a currently designated purpose or adapted to meet a programmatic requirement.

OTHER DIRECT COSTS - includes rental costs (space, equipment, furniture), costs for shipping and handling, communications (postage, toll calls), library acquisitions, printing, duplicating, evaluation, participant support, conference fees, and consultation. Consultant fees and expenses should be included in this category unless guidelines provide for a separate listing. The fee basis for consultants should always be detailed.

SUBCONTRACTS – when the proposal contemplates inclusion of a sub-award, the subrecipient’s statement of work and detailed budget, signed by an authorized representative (someone authorized to contractually commit the entity), should be included in the overall proposal package.

INDIRECT COSTS - when research is conducted at colleges or universities, budget items such as salaries and wages, materials, supplies, equipment and travel are easily identifiable as direct costs attributable to a specific project. Indirect costs are other costs that are not directly attributable to a specific project because they result from shared services such as library facilities, building and equipment maintenance, utilities, purchasing, payroll, accounting, and general administration. Indirect costs must be applied to all budgets unless otherwise approved, in advance, by the University.
The University has a Negotiated Rate Agreement with the U. S. Department of Health and Human Services that sets the rate to be applied and the direct cost items on which the rate is applicable. At present, that rate is applied to Modified Total Direct Costs (MTDC). These costs include, but are not limited to: salaries and wages, fringe benefits, materials and supplies, services, travel, and sub-awards up to $25,000 each.

MTDC does not include capital expenditures (buildings, individual items of equipment, alterations and renovations); participant costs, student tuition and student support costs (e.g. student aid, stipends, scholarships, fellowships); or, that portion of subcontracts exceeding $25,000. Information on the current indirect cost rate can be found on the University website under the Office of Sponsored Programs.

MATCHING FUNDS/COST SHARE – Matching funds/cost share budgets are provided if required by the agency. Any costs required to run a sponsored project or accomplish a research aim that is not borne by the funding agency can typically be considered matching funds/cost share. Approval is required by the department/Dean/Provost. Third party contributions should be evidenced by a letter of commitment signed by an authorized representative (someone authorized to contractually commit the entity). The PD/PI is responsible for providing all appropriate documentation. OMB Circular A-110 provides the following guidelines applicable to matching funds/cost share:

(a) All contributions, including cash and third party In-kind, shall be accepted as part of the recipient’s Cost Sharing or Matching when such contributions meet all of the following criteria:

(b) Are verifiable from the recipient’s records.

(c) Are not included as contributions for any other federally assisted project or program.

(d) Are necessary and reasonable for proper and efficient accomplishment of project or program objectives.

(e) Are allowable under the applicable cost principles.

(f) Are not paid by the Federal Government under another award, except where authorized by Federal statute to be used for Cost Sharing or Matching.

(g) Are provided for in the approved budget when required by the Federal awarding agency.

(h) Conform to other provisions of this Circular, as applicable.
9. APPENDICES. This section of the proposal should include letters of support, charts, and technical documentation. Care should be taken to avoid "overkill" resulting from a proposal that is too lengthy and too cumbersome.

10. COMPLIANCE/ASSURANCE FORMS. A number of assurances must often be included in proposals as a result of congressional actions. They include: Drug-Free Workplace, Lobbying, Anti-Discrimination, and Debarment/Suspension. These assurances are signed on behalf of the University by the Vice President for Business Affairs and Treasurer. Individuals (faculty, staff, and other administrators) are not authorized to sign these documents. Inform the Office of Sponsored Programs of any required assurances. The Office of Sponsored Programs will secure the Vice President's signature and insert the documents prior to proposal submission.

TIPS FOR SUCCESS: To give your proposal the best chance at being favorably reviewed, consider the following:

➤ The proposal is a reflection of the applicant and the institution he/she represents. How does it look? How does it read? Is it responsive to the solicitation? Is it complete?

➤ Is your budget reasonable and realistic?

➤ Evaluate your proposal as a reviewer might.

➤ Resist including extraneous materials.

ALL PROPOSALS SUBMITTED ON BEHALF OF THE UNIVERSITY MUST BE SIGNED BY THE PRESIDENT.
UNIVERSITY FACT SHEET:

General University information required in proposal preparation

---

**Fingertip Facts**
(Revised June 2013)

**Official Address:**
Hampton University
Office of Sponsored Programs
100 E. Queen Street
Hampton, VA 23668

**Indirect Cost Rates**
48% of MTDC (On Campus)
26% (Off Campus)

**Effective Date of Indirect Cost**
July 1, 2011

**Fringe Benefits Rate**
22.88%

**Payroll Fringe Benefits**
Social Security 7.65%

**Cognizant Federal Agency**
DHHS

**Tax ID#**
54-0505990

**Duns Number**
003135068

**FICE Number**
00371436000

**Cage Code**
4W066

**Annual Labor Hours**
2080

**Monthly Labor Hours**
173.33

**Congressional District**
VA-003

**House District**
Ninety-First and Ninety-Second

**Senate District**
First

**DHHS Institution Profile File**
3163501

**Type of Organization**
Private-Nonprofit Institution of Higher Education

---

**Contractual Point of Contact:**
Mrs. Alisa Rodgers
Director, Sponsored Programs
(757) 727-5363
alisa.rogers@hamptonu.edu

**Authorized Representative:**
Mrs. Doretha J. Spells
VP for Business Affairs & Treasurer
(757) 727-5213
doretha.spells@hamptonu.edu
THE AWARD PROCESS

NEGOTIATING THE AWARD

If a proposal is recommended for funding at less than the amount requested, the project director/principal investigator may be contacted by a representative of the funding agency to revise the proposal and/or budget. The project director/principal investigator should contact the Office of Sponsored Programs for assistance in making the necessary adjustments and constructing a revised budget. Project directors/principal investigators may not provide official responses to the funding agency. Responses to inquiries on project activities should be prepared by the project director/investigator and submitted to the Office of Sponsored Programs for submission to the funding agency.

THE AWARD INSTRUMENT

The award instrument formally acknowledges the award of funds by an authorized representative of the funding agency. The award instrument will typically contain, at a minimum, such information as:

- The Award Number assigned by the agency
- The Project Title
- The Amount of the Award
- The Name of the Principal Investigator/Project Director
- The Name of the Agency's Program/Technical Officer assigned to the grant
- The Name of the Agency's Grant/Fiscal Officer assigned to the grant
- The Period of Performance for the project (Start and End Dates)

When the Office of Sponsored Programs receives an award notice, it will disseminate copies to the Principal Investigator/Project Director, the Assistant Vice President for Grants Management, and the Office of the Vice President for Business Affairs and Treasurer. Should a Principal Investigator/Project Director receive an award notice directly from a funding agency, it should be immediately provided to the Director of Sponsored Programs.
POST AWARD ADMINISTRATION

FINANCIAL ACCOUNTING SYSTEM

The University's accounting system operates in compliance with OMB Circular A-21 which facilitates the monitoring of grant expenditures as well as the preparation of required reports. It is extremely important that both the Principal Investigator and Grants Management Officer cooperate in the budget management process to ensure that budgets are not exceeded. Equally important is the need to limit the under-expenditure of funds which might denote efficiency of operation but at the same time indicate that the sponsor is not receiving the level of expected output.

Upon receipt of the award instrument and a request from the Grants Management Officer, the Fiscal Officer will assign a University Account Number identifying the award. The budget will then be placed in the Banner system to facilitate both purchasing and accounting transactions. Access to these accounts is also available to the project directors/investigators to facilitate financial management of the projects.

All required financial reports are prepared in the Office of the Vice President for Business Affairs and Treasurer. Project directors/investigators may not submit such reports on behalf of the University. However, they are asked to assist the Business Office in verifying expenditures.

TECHNICAL/PROGRESS REPORTS

All governmental agencies and many private funding sources require grant recipients to report periodically on the progress of the supported work. Reporting requirements are stipulated in the original award notice. To ensure acknowledgement and compliance with award-specific reporting requirements, each project director/investigator is required to sign a copy of the stipulated reporting requirements at the time of award and prior to the budget being established in Banner. Additional information on agency specific reporting guidelines can be located in publications such as the Education Department General Administrative Regulations (EDGAR), the National Science Foundation (NSF) Grant Policy Manual, the Public Health Service (PHS) Grant Policy Statement, and the NASA Grants and Cooperative Agreements Handbook.

Interim technical and progress reports should be submitted in accordance with specific award guidelines with the exception that a copy should also be provided to the Office of Sponsored Programs via email at sponsoredprograms@hamptonu.edu.

Final reports should be also submitted in accordance with specific award guidelines, particularly if technical reports must be submitted electronically directly by the
project director/investigator. Copies of all final reports should be provided to the Office of Sponsored Programs via email at sponsoredprograms@hamptonu.edu. OSP will then work with the funding agency to ensure that the project is properly closed.

PROJECT CHANGES

The ability of the project director/investigator to make budget adjustments, alter planned activities, or extend the project period is governed first by the regulations of the funding agency, and then by the policies and procedures of the University. A copy of the regulations governing each award usually accompanies the award document. Directors/investigators are required to read and adhere to the regulations governing their awards.

A "Request to Revise a Grant/Contract (RRGC)" form (Appendix III) must be initiated by the project director/investigator and approved prior to making any project changes. The RRGC form may be found on the Hampton University website (only for projects that existed prior to the implementation of ImageNow) or the ImageNow system.

Typical types of post-award project changes:

- **NO COST EXTENSIONS.** A no cost extension (NCE) is required when the period of performance needs to be extended without the need for additional funds. Federally sponsored projects will often automatically allow a first-time NCE. Awards issued by NSF, NIH, NASA, and the Dept. of Energy, for instance, will generally allow a one-time 12-month grantee-approved no cost extension. The project director/principal investigator (PD/PI) must initiate an NCE based on sponsor-specific guidelines. The PD/PI must submit a written request using the Request to Revise a Grant/Contract (RRGC) form. The request should include, at a minimum, a justification for the extension that addresses the programmatic need for an extension and what will be accomplished during the extended period. It is unacceptable to request a NCE simply because you have left over funds. Moreover, it is generally unacceptable to request a NCE when all funds have been expended. To ensure continuity of the project, NCE requests should be made well in advance of the project’s expiration date (often agency stipulated at 45 to 90 days prior to expiration).

Once the University approved RRGC form has been completed, the PD/PI may initiate electronic submission of the NCE request to the funding agency (i.e. FastLane for NSF awards, eRA Commons for NIH awards). Otherwise, the Office of Sponsored Programs will communicate the request to the funding agency.
Note that some awards prohibit no-cost extensions. Therefore, it is imperative that you read the terms and conditions of your award and plan accordingly. Contact the Office of Sponsored Programs for assistance.

- **BUDGET REVISIONS AND TRANSFERS.** The award document normally stipulates guidelines applicable to the allowability and procedure for budget revisions; and, you may contact the Office of Sponsored Programs (OSP) for assistance. If allowable on your award, the project director/principal investigator (PD/PI) must initiate a revision using the Request to Revise a Grant/Contract (RRGC) form. Upon receipt of a duly routed RRGC form OSP will either, approve and forward to Grants Management so that the account can be revised; or, OSP will communicate the request to the funding agency contingent upon the award-specific guidelines applicable to budget revisions.

- **CHANGE OF PROJECT DIRECTOR/PRINCIPAL INVESTIGATOR.** The current project director/principal investigator (PD/PI) must initiate a revision using the Request to Revise a Grant/Contract (RRGC) form. The RRGC should explicitly state why the change is necessary, should name the proposed PD/PI and provide their qualifications and credentials.

- **CHANGE OF SCOPE.** The project director/principal investigator (PD/PI) must initiate a revision using the Request to Revise a Grant/Contract (RRGC) form. The RRGC should be accompanied by a letter that explicitly details the change in scope and why it is necessary to the success of the project.

---

**PURCHASING PROCEDURES**

The project director/investigator - initiates a requisition based on the needs of the project and consistent with the approved budget.

Budget Executive - approves (signs) requisition.

Assistant Vice President for Grants Management - reviews all requests for expenditures of grant funds before submission to the Purchasing Agent and determines the following:

- Compliance with Agency Regulations. All purchases made with external funds must be in compliance with agency regulations and university policies.

- Identification of Proper Sub-Codes. Investigators must provide complete information relative to the Fund Number for each purchase. A 24 digit number must appear on the requisition that correctly identifies the grant fund and type of purchase being requested. The fund number is made of five parts: the Index number (6 digits), the Fund number (6 digits), the Organization number (4 digits),
the Account number (4 digits), and the Program number (4 digits). For Example: Fund No. 000000000000-0000-7201-0000 denotes that Office Supplies are to be purchased. Requisitions will be returned to investigators if this information is incomplete or incorrect.

- Special Purchase Approvals. The nature of research and other types of projects often makes it impossible for investigators to anticipate their needs; however, every effort must be made by the Investigator, Assistant Vice President for Grants Management, and Purchasing Office staff to resolve differences in a manner that does not inhibit the purchasing process and the activities to be carried out.

- Competitive Bidding. All procurement transactions shall be conducted in a manner to provide, to the maximum extent possible, free and open competition (Source: Revised OMB Circular A-110).

- Sole (Single) Source Procurement. Grantees may only use non-competitive proposals (or sole source procurements) when the small purchase, sealed bid, or competitive proposal methods are not feasible, and one of the following circumstances exists:
  - the item is only available from one source;
  - there is public exigency or emergency need for the item which will not permit the delay associated with competitive solicitation;
  - the awarding agency authorizes non-competitive proposals; or
  - after solicitation of a number of sources, competition is determined inadequate.

Purchasing Agent - Issues the Purchase Order and commits the University to the acquisition.


PROPERTY MANAGEMENT

All agencies that provide funds for the acquisition of equipment require that the equipment be accounted for annually, maintained, and in some instances, available for return to the agency upon request. The grant/contract administration manuals of public funding agencies will include the regulations governing grant purchased equipment. Title to grant purchased equipment depends upon the funding agency's regulations.
To facilitate the property management process project directors/investigators are required to have equipment inventoried immediately upon receipt and acceptance. The University's Property Manager should be contacted so that items can be assigned an inventory control number. It is incumbent upon project directors/investigators to take appropriate steps to ensure the ongoing security of equipment. This is done with the assistance of the Property Manager, Building Manager, Physical Plant Director, and Campus Police Department.

Prior to accepting Government Furnished Property that is to be loaned to the University to aid in the performance of a contract or grant, investigators must notify the Property Manager in writing that such equipment is being requested. The written notification should include the item(s) of equipment being requested; the name and fund number of the grant(contract under which the property is to be used; and the projected period of use. Only persons designated as project directors/principal investigators may make such requests and they must also have the approval of the department chairperson/budget executive. The project director/principal investigator must notify the Property Manager of the date on which the equipment is to be transferred to the campus, its location and its condition. Formal acceptance of the loaned equipment is made by the Vice President for Business Affairs and Treasurer on the recommendation of the Property Manager. If government furnished property is transferred to the University without proper notification and approval, the equipment will immediately be returned to the lending agency.

Government furnished property must be reported annually to the cognizant agency for property administration. Details on each item of loaned equipment must be provided to the Property Manager by the principal investigator. In the event it is determined that specific items of loaned equipment are beyond commercial repair, the principal investigator may ask that the Vice President for Business Affairs and Treasurer, through the Property Manager, request "abandonment-in-place" in a letter to the cognizant agency for property administration. Such requests may precipitate a site visit to confirm the condition of the equipment. If the cognizant agency concurs in the assessment of the equipment, a recommendation to "abandon-in-place" will be forwarded to the agency from which the equipment was loaned. Final approval of the request will include instructions to remove all agency tags, which is then carried out by the Property Manager.
The hiring process for educational support staff is detailed in the following table:

<table>
<thead>
<tr>
<th>Current Hiring Process for Individuals Paid on University Funds</th>
<th>Hiring Process for Individuals Paid on External Funds</th>
</tr>
</thead>
<tbody>
<tr>
<td>1. Hiring papers are received in the Office of Human Resources to include appointment form and application package.</td>
<td>Hiring papers are received in the Office of Human Resources to include appointment form and application package.</td>
</tr>
<tr>
<td>2. Employment Coordinator will then contact the individual to instruct them on the process of completing background and drug testing.</td>
<td>Employment Coordinator will then contact the individual to instruct them on the process of completing background and drug testing.</td>
</tr>
<tr>
<td>3. Once the individual has completed the steps indicated in Step 2, their paperwork is documented to reflect that they have successfully completed the two required pieces (background/drug test).</td>
<td>Once the individual has completed the steps indicated in Step 2, their paperwork is documented to reflect that they have successfully completed the two required pieces (background/drug test).</td>
</tr>
<tr>
<td>4. Employment Coordinator provides all information to the Treasurer’s office.</td>
<td>The Employment Coordinator will forward/distribute grant funded positions to Assistant Vice President for Grants Management (AVPGM).</td>
</tr>
<tr>
<td>5. Treasurer’s Office reviews and approves/denies appointment forms.</td>
<td>Upon the AVPGM’s approval of external funds, paperwork is sent to the Treasurer’s Office.</td>
</tr>
<tr>
<td>6. Employment Coordinator will be informed that the appointment forms are ready for pick up from the Treasurer’s office.</td>
<td>Treasurer’s Office reviews and approves/denies appointment form.</td>
</tr>
</tbody>
</table>
The employment category of the individual(s) to be hired on externally-funded projects will determine the type of employment documents required for approval. For the most part, persons having some level of instructional responsibility will require the approval of the Provost. An "Authorization to Hire" form, used to process such requests, may be obtained from that office or on the Hampton University website.

Non-instructional personnel (secretaries, administrative assistants, laboratory technicians, etc.,) are usually employed through the Office of Human Resources. An "Educational Support Staff Appointment Form" is used along with an employment application form completed by the applicant.

<table>
<thead>
<tr>
<th>7. Employment Coordinator will contact the individual of their start date (either the 1st or the 15th), salary, etc.</th>
<th>Employment Coordinator will be informed that the appointment forms are ready for pick up from the Treasurer’s Office.</th>
</tr>
</thead>
<tbody>
<tr>
<td>8. Once the employee officially starts (reports to work), their appointment is entered in Banner. The individual will then be categorized as an official employee of the University and an ID number will be generated.</td>
<td>Employment Coordinator will contact the individual regarding their start date (either the 1st or the 15th), salary, etc. If the individual cannot start on the assigned day, the Employment Coordinator immediately notifies the AVPDM.</td>
</tr>
<tr>
<td>9. The contract is given to the HR Director for signature and then provided to the Assistant Vice President for Business Affairs and Comptroller.</td>
<td>Once the employee officially starts (reports to work), their appointment is entered in Banner. The individual will then be categorized as an official employee of the University and an ID number will be generated.</td>
</tr>
<tr>
<td>10. The employee’s papers and file copies are then returned to the Office of Human Resources for filing at a later time.</td>
<td>The contract is given to the HR Director for signature and then provided to the Assistant Vice President for Business Affairs and Comptroller.</td>
</tr>
<tr>
<td>11.</td>
<td>The employee’s papers and file copies are then returned to the Office of Human Resources for filing at a later time.</td>
</tr>
</tbody>
</table>

Doretha J. Spells  
Vice President for Business Affairs and Treasurer  
Date  
12-5-12  
JoAnn W. Haysbert  
Executive Vice President  
Date  
12-6-12
Employing students on research and sponsored projects requires the execution of several forms: (1) the Student Employment Contract, (2) an 1-9 form and (3) the Student Aid Form. All of these forms are available in the Financial Aid office, the Grants Management Office, and on the University website (See Appendix VI for samples). Monthly time sheets are used to record hours worked by students. Monthly stipend payments for graduate students are requested using the voucher form.

Project personnel who are assigned to off campus sites (e.g. NASA Langley Research Center) are required to do the following:

- attend regular meetings with the campus coordinator
- undergo a periodic performance review of their work
- submit regular Time and Effort reports

These individuals are to be treated as employees of the University, rather than as employees of the organization at whose site they are located.

**CERTIFICATION OF PERSONNEL ACTIVITY**

Persons who are paid fully or in part from grant/contract funds must provide certification that they have performed assigned duties in keeping with project requirements (See Appendix V). This form may be found online at the Hampton University website. Project administration regulations require that professorial and professional staff certifications be prepared each academic term. Personnel Activity Reports for Semester I (September - December), Semester II (January - May), and the Summer Session (June - August) are due on the last working day of that term from faculty. Other individuals hired under a grant/contract (e.g. secretaries, technicians, research assistants) must provide monthly certifications of time and effort.

**ANNUAL LEAVE FOR GRANT-SUPPORTED PERSONNEL**

Persons who have twelve (12) month appointments are required to take accumulated annual leave during the period of their appointment.
POLICIES AND PROCEDURES

SIGNATURE AUTHORITY

All grant and contract proposals must be signed by the President prior to submission. Authority to execute grants and contracts on behalf of the University resides with the President and the Vice President for Business Affairs and Treasurer. Contracts and grants that require signature must be signed by either of these two individuals to have validity and enforceability.

FRAUD IN RESEARCH

Research fraud is a form of scientific misconduct involving deception. It should be distinguished from honest error, which can occur inadvertently in any enterprise. It is often difficult when confronted with an allegation to determine where along the spectrum from error to fraud a particular case will lie.

(a) Misconduct means -

- fabrication, falsification, plagiarism, or other serious deviation from accepted practices in proposing, carrying out, or reporting results from research;
- material failure to comply with federal requirements for protection of researchers, human subjects, or the public for ensuring the welfare of laboratory animals; or failure to meet other material legal requirements governing research.

(b) Falsification of Data - ranging from fabrication to deceptively selective reporting, including the purposeful omission of conflicting data with the intent to falsify results.

(c) Plagiarism - representation of another's work as one's own.

(d) Misappropriation of Others Ideas - the unauthorized use of privileged information (such as violation of confidentiality of peer review), however, obtained.

Hampton's policies and procedures for dealing with research fraud will follow, essentially, the Policy on Faculty Grievance found in the Academic Handbook. However, the procedure for the investigation of fraud shall have at least four stages, namely:

(1) an inquiry to determine whether the allegation or related issues warrant further investigation;
To address allegations of fraud in research, Hampton University will designate a committee of senior administrators and faculty named by the President to carry out the above steps and further, to provide education about fraud; interpret guidelines from federal agencies; counsel staff, and disseminate this policy and others.

**INSTITUTIONAL REVIEW BOARD**
(confirmed with IRB Chair, 2012)

The function of the Institutional Review Board (IRB) is to review projects and activities that involve human subjects. The Board determines for each activity, as planned and conducted, whether subjects will be placed at risk and, if risk is involved, whether:

- The risks to the subject are so outweighed by the sum of the benefit to the subject and the importance of the knowledge to be gained as to warrant a decision to allow the subject to accept these risks;
- The rights and welfare of any subjects will be adequately protected;
- Legally effective informed consent will be obtained by adequate and appropriate methods; and
- The conduct of the activity will be reviewed at timely intervals.

**PROCEDURES FOR IRB REVIEW**

1. An electronic copy (or two hard copies) of all research documents involving human subjects (research documents in this context may be research proposals, thesis proposals, class projects, survey, etc.) should be forwarded to the Chairperson of the IRB along with a copy of the IRB Review Form that has been signed by the investigator, the instructor or advisor if the investigator is a student, department chairperson or director, and dean or area administrator. IRB forms may be located on the Hampton University website under the Office of Sponsored Programs.

2. The Chairperson of the IRB will conduct a preliminary review of the research document and determine: (a) if the proposed research is exempt from Office of
Protection from Research Risks (OPRR) regulations, (b) if an expedited review is appropriate, or (c) if full IRB review is required.

a. When it is determined that the proposed research is exempt from OPRR regulations, the IRB Approval Form will be returned to the investigator with appropriate notification that the investigation is so exempted.

b. When an expedited review is deemed appropriate, such a review will be conducted by the IRB Chairperson and/or selected members of the IRB. The full IRB will be informed of the expedited review action.

3. When a full review is deemed appropriate, the IRB chairperson may request additional copies of the research document from the investigator.

   a. The chairperson will distribute these copies to the IRB with an appropriate cover memorandum and approval form.

      (1) The IRB members will review the document for compliance with federal regulations and report their findings by indication whether or not the potential risks are outweighed by the benefits of the research. As a part of its review the IRB will indicate the frequency with which the project requires review if more than annually.

      (2) During the annual (or specified) review, the IRB will determine that no changes have been made in the research activity without prior IRB approval. Further, the IRB will review any unanticipated problems involving risks to subjects or others and report said risks to OPRR.

   b. The IRB will return completed Approval Forms directly to the Chairperson.

   c. Following receipt of the Approval Forms from the IRB, the Chairperson will notify the investigator of the action of the Board.

4. No changes in research activities can be made subsequent to IRB approval without written approval from the IRB Chairperson. The procedure described for initial IRB review will be followed for proposed research changes.
INTELLECTUAL PROPERTY RIGHTS POLICY

(Excerpts from the Faculty Handbook, Fall 2010)

Intellectual property is defined as any new and useful process, machine, composition or matter, life form, article of manufacture, software, copyrighted work or tangible property. It includes such things as new or improved devices, circuits, chemical compounds, drugs, genetically engineered organisms, data sets, software, musical processes or unique and innovative uses of existing inventions. Intellectual property may or may not be patentable or copyrightable. It is created when something new and useful, obtained with an existing invention, can be practiced for some useful purpose. One or more individuals, each of whom are to be an Inventor, must have conceived of an essential element or have contributed substantially to its conceptual development, can create Intellectual Property.

The Vice President and General Counsel is the final arbiter of any disputed issues related to intellectual property, or the interpretation of this policy. Any such disputed issues should be referred to the Vice President and General Counsel, whose decisions regarding such disputes shall be considered. In the event that circumstances not covered by this policy arise, the Vice President and General Counsel may authorize exceptions to the normal procedure. The vision for Hampton University technology licensing is two-fold. The first is to facilitate the transfer of technology at Hampton for public use. The second, where consistent with the first, is to provide an additional source of unrestricted income to support research at Hampton. The Office of the Vice President and General Counsel (VPGC) will work with the Hampton developers of technology and with industry. However, it will do so in a manner that does not interfere with the normal flow of technical and academic information through publications, conferences and consulting.

The VPGC is responsible for negotiation, execution and administration of all Hampton agreements with external sponsors of research grants and contracts and for ensuring that the rights of the sponsors in technology developed under external grants and contracts are protected. VPGC personnel are available to assist all principal investigators and the Office of Sponsored Programs in the negotiation and interpretation of intellectual property terms of grants and contracts. Research priorities will have precedence over technology development priorities. Thus, no grant or contract terms are to be accepted which inhibit the utilization by the public of the results of the research at Hampton. In unclear situations or where there appears to be a conflict between the priorities, the Vice President and General Counsel will be the final arbiter.

Researchers are urged to review the full text of the Intellectual Property Rights Policy in the Faculty Handbook.
RELEASE TIME

All release time associated with externally funded projects during the academic year must be fully paid for by the sponsoring agency. Proposal budgets must, therefore, reflect the full cost of release time (salary, fringe benefits, and indirect cost) to the funding agency.

Chairpersons may not award release time to a faculty member at the University's expense in order to carry out activities associated with an externally funded project. Faculty who have release time for the academic year may not defer that time in order to gain more release time in any one semester. For example, faculty may not combine two semesters of release time into one.

"It is generally expected that regular-teaching faculty members should not devote more than fifty (50%) percent of their time during the academic year to special projects, research, or other non-teaching duties." 2010 Fall Faculty Handbook

Any exceptions to this policy will require the recommendation of the School Dean and the approval of the Provost.

This policy is to be published in the Faculty Handbook and the Handbook for Research and Sponsored Programs. In implementing this policy, it shall be the responsibility of the Provost to inform faculty-at-large; the responsibility of the Director of Sponsored Programs to inform all persons preparing proposals of the existence of the policy; and the responsibility of the Assistant Vice President for Grants Management, Academic Deans, Director of Sponsored Programs, and Provost to monitor compliance with the policy.

CONTACT WITH FUNDING AGENCIES

Once a grant has been awarded, principal investigators/project directors may not contact funding agencies on matters pertaining to budgets. This is necessary to protect the integrity of the University's fiscal procedures and to ensure that requests for budgetary revisions do not unfavorably impact the University. The Office of Sponsored Programs serves as the liaison between external agencies and the principal investigator/project director.
Persons holding less than a full-time position at the University (e.g. Adjunct Professor) must name an individual who holds a full-time faculty position as co-investigator in order to receive University approval to submit proposals. Both parties, therefore, must sign proposals.

It will be the responsibility of the regular Hampton University employee to ensure that required technical reports are submitted, that equipment is inventoried, and that students are hired as indicated in the approved proposal.

**STUDENT FINANCIAL ASSISTANCE**

The Office of Financial Aid is responsible for all financial assistance programs at Hampton University (HU). However, an effective enrollment management process must involve a coordinated effort that is assisted by deans, chairs, faculty and other administrators.

The Office of Financial Aid is responsible for the distribution of all student aid funded through external grants, contracts, and sponsored programs. All private scholarship funds will be used to offset the University's scholarship budget unless such use is prohibited by the donor. In such cases, private scholarships will be administered in accordance with the wishes of the donor.

Procedurally, at the time any sponsored program grant or contract is awarded to the University, the Office of Grants Management (GM) will provide the Office of Financial Aid (FA) with a budget statement that indicates the funding level for student support categories. Concurrently, GM will notify FA via the Student Aid/External Grants and Contracts form. The PI must submit the Student Aid/External Grants and Contracts form to GM within 15 days following the certification of the budget by GM. The PI will also provide, within the 15 day period, the criteria for awarding student aid under the terms of the grant award.

The PI shall process the Student Aid/External Grants and Contracts form (Appendix VI) ensuring that all pertinent information and signatures are included. It is strongly recommended that the PI provide aid information for the full academic year and summer session, specifying the amount available for each semester/session instead of subsequent forms containing provisions per semester only. Moreover, the PI must adhere to University guidelines and polices that govern student financial support (contact Financial Aid for further information). It is recognized that changes in a student's major field of concentration or a student's financial eligibility may result in changes in the award.
If the PI fails to notify FA within 15 days, FA will assume the responsibility for identifying students to receive the awards and notifying the PI of the students to be awarded. Under these conditions, the PI will be required to submit the Student Aid/External Grants and Contracts form for the students identified by FA.

Generally, University scholarship assistance to a student will be reduced by the amount of the external scholarship grants to a student. University scholarship funds cannot be used to over award a student.

Marginal Eligibility. When a student is marginally eligible in meeting the criteria for a grant or contract award, FA will review with GM the range or level of eligibility allowed by the grant. Consideration will be given, for example, to Grade Point Average (GPA) in field of concentration versus GPA in overall academic performance.

STIPENDS. All student contacts for employment at the University must be approved by FA. Student stipends are not intended to offset financial need in awarding scholarships. A student cannot receive a stipend and college work-study simultaneously. When allocating financial aid, the allocation of all external funds will occur prior to the payment of any University funds. FA will be notified of all funds being paid to students. When students are employed during the summer through externally sponsored programs, FA will approve such employment.

CONFLICT OF INTEREST. In compliance with OMB Circular A-110, Hampton University maintains the following standards of conduct governing officers, employees, or agents engaged in the award or administration of contracts using federal funds:

No employee, officer or agent will participate in the selection, award or administration of a contract in which federal funds are used, where to his or her knowledge, any of the following has a financial interest in the contract:

(1) the employee, officer or agent;
(2) any member of his or her immediate family;
(3) his or her partner;
(4) an organization in which any of the above is an officer, director, or employee;
(5) a person or organization with whom any of the above individuals is negotiating or has any arrangement concerning prospective employment.

Employees, officers or agents may neither solicit nor accept gratuities, favors or anything of monetary value from contractors or potential contractors.

Violations of, or requests for exceptions to, this policy will be reviewed by a committee appointed by the Provost. If violations to these standards are found, officers, employees or agents will be subject to disciplinary actions as recommended by the committee. Disciplinary actions may include letters of reprimand, suspensions, or termination of employment. The review process is to be completed within 30 days and a written recommendation made to the Provost at that time. [Approved 6/21/95]

INVESTIGATOR FINANCIAL DISCLOSURE

Federal regulations require the University to manage, reduce or eliminate any actual or potential conflicts of interest that may be presented by a financial interest of an investigator in covered federal programs. Thus, the University requires that investigators disclose any significant financial interest that may present an actual or potential conflict of interest in a sponsored project. The significant financial disclosure form (see Appendix IV) must be signed and submitted to the Office of Sponsored Programs prior to proposal submission. The significant financial disclosure form may be located via ImageNow and on the University website under Sponsored Programs.

DEFINITIONS

Investigator means the principal investigator/project director, co-principal investigators, and any person at the University who is responsible for the design, conduct, or reporting of research or education activities funded, or proposed for funding, by a covered federal agency.

An actual or potential conflict of interest exists when the reviewers reasonably determine that a significant financial interest could directly and significantly affect the design, conduct, or reporting of research or educational activities funded or proposed for funding.

Significant financial interest means anything of monetary value to the investigator, his or her spouse, or his or her dependent children, including but not limited to:

- Salary or other payments for services (e.g., consulting fees or honoraria);
• Equity interest (e.g., stocks, stock options or other ownership interests);

• Intellectual property rights (e.g., patents, copyrights, and royalties from such rights).

The term does not include:

• Salary, royalties, or other remuneration from Hampton University;

• Income from seminars, lectures, or teaching assignments sponsored by public or nonprofit entities;

• Income from service on advisory committees or review panels for public or nonprofit entities;

• Financial interests in business enterprises or entities if the value of such interests does not exceed $10,000 (or $10,000 per annum if salary, fee or other continuing payments) and if the value does not represent more than a 5% ownership interest for any one enterprise or entity when aggregated for the Investigator and the Investigator's spouse and dependent children.

REQUIREMENTS

1. Each Investigator is required to read this policy.

2. Each Investigator is required to disclose the following significant financial interests:

   (a) Any Significant Financial Interest of the Investigator that would reasonably appear to be directly and significantly affected by the research or educational activities funded, or proposed for funding, by an external sponsor; or

   (b) Any Significant Financial Interest of the investigator in any entity whose financial interest would reasonably appear to be directly and significantly affected by the research or educational activities funded, or proposed for funding, by an external sponsor.

Regardless of the above minimum requirements, an Investigator, in his or her own best interest, may choose to disclose any other financial or related interest that could present an actual conflict of interest Disclosure is a key factor in protecting one's
reputation and career from potentially embarrassing or harmful allegations of misconduct.

**PROCEDURES**

1. Each Investigator must complete a Significant Financial Interest Disclosure Form and attach all required supporting documentation. The completed disclosure form must be submitted prior to proposal submission. Supporting documentation that identifies the business enterprise or entity involved and the nature and amount of the interest should be submitted in a sealed envelope marked Confidential to the Office of Sponsored Programs.

2. As required by federal regulations, all Significant Financial Interests must be disclosed prior to the time a proposal is submitted. If a new Significant Interest arises at any time after the submission of the proposal through the entire period of any resulting award, the Investigator must file a new Disclosure Form within 14 days of becoming aware of a potential or actual conflict of interest.

3. If an Investigator indicates there may be a potential conflict of interest covered by this policy, the Disclosure Packet will be referred to a committee established by Provost (Suggested Title; Financial Disclosure Review Committee). Committee members are appointed for two year periods and recommended by School Deans. The Vice President and General Counsel will call the meeting together and serve as a non-voting member.

The Investigator whose financial interests are to be discussed will be invited to the meeting, but will not vote. In the event of a tie, the Provost shall make the final decision.

4. Prior to consideration by the "Financial Disclosure Review Committee", the Investigator must develop and present to the Committee a Resolution Plan that details proposed steps that will be taken to manage, reduce, or eliminate any actual or potential conflict of interest presented by a Significant Financial Interest Disclosure. Examples of conditions or restrictions that might be proposed include:

   - Public disclosure of significant financial interests;
   - Review of research protocol by independent reviewers, and
   - Monitoring of research by independent reviewers.

The "Financial Disclosure Review Committee" must review the Resolution Plan for approval with several possible outcomes. The Committee may approve the plan, reject
the plan, or approve the plan with additional conditions or restrictions, including the following:

- Modification of the research plan;
- Disqualification from participation in all or a portion of the research funded; Divestiture of significant financial interests, or
- Severance of relationships that create actual or potential conflicts of interest.

Investigators may revise and resubmit rejected Resolution Plans or may appeal the "Committee" decision. The Provost will make the final decision regarding resolution of appeals.

If the "Committee" determines that imposing the above referenced conditions or restrictions would be ineffective or inequitable, or that the potential negative impacts that may arise from a significant financial interest are outweighed by interests of scientific progress, technology transfer, or the public health and welfare, then the "Committee" may recommend that the research go forward without imposing such conditions or restrictions.

5. The approved Resolution Plan must detail the conditions of restrictions imposed upon the Investigator in the conduct of the project or in the relationship with business enterprises or entities. The Plan must be signed by the Investigator, the "Committee" Chairperson, and the Provost.

6. Actual or potential conflicts of interest as shown on the Financial Disclosure form must be satisfactorily managed, reduced, or eliminated in accordance with these guidelines prior to accepting any award, or they will be disclosed to the sponsoring agency. The Investigator must therefore notify the Vice President and General Counsel in writing once all the conditions of the Resolution Plan have been met.

7. The Vice President and General Counsel will notify the sponsoring agency if a resolution cannot be agreed upon or if a Resolution Plan has not been followed.

8. Records of Investigator financial disclosures and of actions taken to manage actual or potential conflicts of interest must be retained in the Office of Sponsored Programs until three years after the latter of the termination/completion of the award to which they relate, or the resolution of any government action involving those records.

9. Whenever an Investigator has violated this policy or the terms of the Resolution Plan, the "Committee" must recommend sanctions that may include disciplinary action ranging from a public letter of reprimand to dismissal and termination of
employment. If the violation results in a collateral proceeding under University policies regarding misconduct in science, the "Committee" must defer a decision on sanctions until the misconduct in science process is completed. The "Committee's" recommendation on sanctions is presented to the Provost who will enforce any disciplinary action.

Effective Date

This policy is effective as of October 1, 1995 and will remain in effect until modified or rescinded. It may also be revised in response to modifications of the applicable federal regulations and guidelines.

Other Regulations

This Financial Disclosure Policy for Federally Funded Projects is unrelated to, and in no way supersedes, the University Conflict of Interest Policy.
Most federal and private agencies provide an explanation of the reasons why an application was not recommended for funding. This usually takes the form of information on the score or ranking achieved as a result of the review process. Often a copy of the reviewers' comments/scores is provided upon request.

To determine any available recourse and to discuss eligibility and a plan of action for resubmission, contact the Office of the Special Assistant to the President for Research.

The National Institutes of Health offers the following reasons why some research proposals are not funded:

I. Research Goals Inappropriate or Unclear
   * Proposed research is not responsive to the scope of the announcement.
   * The purposes of the proposed study are not clear or are not sufficiently detailed; hypotheses are not explicit.

2. Study Design Deficient
   * Insufficient attention is given to related research by others. In some cases applicants are apparently unaware of relevant published research. Sometimes the research proposed has been done or the study design has been tried and judged inadequate.
   * The study design is not carefully related to the purposes of the project.
   * The sampling design is not appropriate.
   * Data is biased and there is no recognition of the problems of bias or of ways to correct the bias.
   * The methodology is not sufficiently detailed.

3. Staff, Time and Budget Inappropriate
   * Specific tasks are not clearly related to personnel, time, and budget.
   * There is insufficient time commitment by the principal investigator(s).
   * Scientific disciplines of the research team are not appropriate for the topics to be investigated.
4. Problems in Overall Presentation

* The proposal essentially asks the reviewers to trust in the past reputation of the applicant rather than detailing a specific plan of research.

* The proposal assumes that the reviewers will have read and referred to past research done by the researcher.

* The proposal is unbalanced in presentation. For example, it focuses on a particular data set or a technique of analysis and obscures the overall research goal.

5. Administrative Detail

* Budgets should be realistic for the work proposed; otherwise the budget will be regarded as naive or padded and will cast a shadow on the entire application. The budget justification should be sufficiently detailed to allow reviewers to relate the various phases and levels of the project to the budget.

* If consultants, subcontractors, or other types of outside collaborators are proposed, letters and/or memoranda outlining the willingness and scope of the collaboration should be included with the application.
**eForms in ImageNow may look slightly different than the following, but relatively the same information is required.**
APPENDIX I – INTENT TO SUBMIT A PROPOSAL FORM

HAMPTON UNIVERSITY
INTENT TO SUBMIT A PROPOSAL

The Intent to Submit form should be submitted to the Office of Sponsored Programs for processing as soon as the opportunity is identified & it is determined that a proposal will be submitted. Rev: April 12, 2012

Select One: ☐ New ☐ Continuation ☐ Renewal

Date: ___________________ School and/or Major Area: _______________________

Principal Investigator, person writing the proposal, or person to contact regarding proposal: ____________________________________________________________

Phone: ___________________ Funding Agency: ___________________________

Program: _______________ Solicitation Number: _______________________

Deadline date for submission of proposal: ______________________________________

Estimated Value of Grant/Contract: $______________ Projected number of years of project: ______

General nature of proposal and relationship to existing program (Select One):
Research ☐ Training ☐ Other ☐

Brief Description: ____________________________________________________________

Will Project Require Release Time: Yes____ No____
If yes, explain ___________________________________________________________________

Additional Space? No _____ Yes _____
Matching Funds? No _____ Yes _____
If yes, explain ___________________________________________________________________

Is Indirect Cost Rate (IDC) less than current university rate? No _____ Yes _____
(List rate, attach documentation from the agency or a detailed justification)

Is Technology/Equipment/Instrumentation included in budget? No _____ Yes _____
If no, explain ___________________________________________________________________

Are Travel funds included in the budget? No _____ Yes _____
If no, explain ___________________________________________________________________

Signed (Principal Investigator/Project Director): ______________________________________

__________________________________
School Dean/Budget Executive

__________________________________
Vice President for Development
(Additional/Corporation/Individuals Only)

__________________________________
Provost (or Vice President)

__________________________________
AVP Office of Governmental Relations (or Representative)
HAMPTON UNIVERSITY
REQUEST TO APPLY FOR GRANT/CONTRACT
(Proposal Must Accompany Form)

Select One:  [ ] New  [ ] Continuation  [ ] Renewal

Sponsor: __________________________________________ Date to Mail: __________________________

Project Title: ______________________________________________________________________________________________________

Principal Investigator: __________________________________________ Department: _________________________________

Category: Research _______, Applied Research ________, Development Research __________

<table>
<thead>
<tr>
<th>First Year Budget Summary:</th>
<th>Reimbursement* &amp; New Direct Costs</th>
<th>Matching Funds **</th>
</tr>
</thead>
<tbody>
<tr>
<td>Salaries &amp; Wages</td>
<td>$</td>
<td>$</td>
</tr>
<tr>
<td>Student Aid</td>
<td>$</td>
<td>$</td>
</tr>
<tr>
<td>Other Direct Costs</td>
<td>$</td>
<td>$</td>
</tr>
<tr>
<td>Indirect Cost</td>
<td>$</td>
<td>$</td>
</tr>
<tr>
<td>Total (Year 1)</td>
<td>$</td>
<td>$</td>
</tr>
<tr>
<td>Total of Subsequent Years</td>
<td>$</td>
<td>$</td>
</tr>
</tbody>
</table>

Indirect Charge % (IDC) __________ - If the IDC is less than Hampton University’s approved rate attach the justification and administrative approval.

Will additional space be required? No ___________ Yes ___________ Type/Location: __________________________

*Will release time be required? No ___________ Yes ___________ If yes, provide detail below:

<table>
<thead>
<tr>
<th>Fall (Name)</th>
<th>Percentage</th>
<th>Spring:</th>
<th>Percentage</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

**Are matching funds required? No ___________ Yes ___________ If yes, list source(s) and $ amount(s) below or on separate sheet.

Is Technology/Equipment/Instrumentation included in the budget? No ___________ Yes ___________

If no, explain __________________________________________

Are Travel funds included in the budget in the budget? No ___________ Yes ___________

If no, explain __________________________________________

Signature of Principal Investigator ___________________________ Date __________________________

AUTHORIZATION RECOMMENDED

__________________________________________ Department Chairperson/Director
__________________________________________ School Dean
__________________________________________ Budget Executive
__________________________________________ Vice President for Technology
__________________________________________ Provost (or Vice President)
__________________________________________ V.P. for Development (or Representative)
__________________________________________ A.V.P. for Office of Governmental Relations (or Representative)
__________________________________________ V.P. for Business Affairs (or Representative)
__________________________________________ President

Proposals with established deadlines should be submitted to the Office of Sponsored Programs for processing, at a minimum, 7(SEVEN) business days prior to the deadline. The proposal should be in its final draft when submitted for approval.

Page 41 of 46
APPENDIX III – REQUEST TO REVISE A GRANT/CONTRACT FORM

HAMPTON UNIVERSITY
REQUEST TO REVISE A GRANT/CONTRACT

<table>
<thead>
<tr>
<th>Change In PI/Director</th>
<th>Current</th>
<th>New</th>
</tr>
</thead>
<tbody>
<tr>
<td>Change in Other Senior Personnel</td>
<td>Deletions</td>
<td>Additions</td>
</tr>
<tr>
<td>Change in Budget (Attach Copies of Original and Revised Budgets)</td>
<td>New Funds Requested? Yes</td>
<td>Changes in Indirect Cost or Release Time?</td>
</tr>
<tr>
<td></td>
<td>No</td>
<td>Yes</td>
</tr>
<tr>
<td>Changes in Performance Period (Attach Statement of Work for)</td>
<td>Current From</td>
<td>Requested From</td>
</tr>
<tr>
<td></td>
<td>To</td>
<td>To</td>
</tr>
</tbody>
</table>

Rationale for Change

______________________________________________________________

______________________________________________________________

______________________________________________________________

______________________________________________________________

Approval Recommended

_________________________________ Principal Investigator

_________________________________ Department Chair/Supervisor

_________________________________ School Dean/Budget Executive

_________________________________ Asst. Provost for Technology*

_________________________________ Provost (or Vice President)

_________________________________ V.P. for Research (or Representative)

_________________________________ V.P. for Business Affairs (or Representative)

*Signature required only if new funds or re-allocation of funds will be used to purchase technology.

TO BE COMPLETED BY GRANTS MANAGEMENT

AGENCY ACTION

_________________________________

DATE

_________________________________
SIGNIFICANT FINANCIAL INTEREST DISCLOSURE

Investigator: __________________________________________________________

Department: __________________________________________________________

Proposal Submitted to: _________________________________________________

Name of Proposal: _____________________________________________________

_____ I have no significant interests* or

_____ I am disclosing the following significant financial interests* (check all that apply) and I am Attaching supporting documentation (in an envelope marked CONFIDENTIAL) that identifies the business enterprise or entity involved and the nature of the interest:

_____ Salary or other payment for services (i.e. consulting fees or honoraria).

_____ Equity interest (i.e. stocks, stock options, or other ownership interests).

_____ Intellectual property rights (i.e. patents, copyrights, and royalties from such rights).

_____ Other significant financial interests of the investigator that possibly could affect or be perceived to affect the results of the research or educational activities funded or proposed for funding.

I agree:

✓ To update this disclosure during the proposal award period of the project as new significant financial interests are obtained. I will do this within 14 days of becoming aware of a significant financial interest.

✓ To cooperate in the development of a Resolution Plan, if needed.

✓ To comply with any conditions or restrictions imposed by Hampton University to manage, reduce, or eliminate actual or potential conflicts of interest or forfeit the award.

Signed: ________________________________ Date: ______________

(Original Signature Only — a “per” signature is not acceptable)

* Significant financial interests are defined as interests valued at greater than $10,000 or an equity of ownership interest of more than five percent (5%) held by an Investigator and/or the Investigator’s spouse or dependent children.
HAMPTON UNIVERSITY
HAMPTON, VIRGINIA

CERTIFICATION OF PERSONNEL ACTIVITY

NAME_____________________________________________________
SOC. SEC. NO._________________________________

SCHOOL/DEPARTMENT__________________________________________________________________________________

REPORT FOR MONTH/TERM OF__________________________ PAID ON A/C_____________________

<table>
<thead>
<tr>
<th>ACTIVITY</th>
<th>% EFFORT ASSIGNED</th>
</tr>
</thead>
<tbody>
<tr>
<td>Grants and Contracts Administration (List by Agency and Account No.)</td>
<td></td>
</tr>
<tr>
<td>Teaching</td>
<td></td>
</tr>
<tr>
<td>Other</td>
<td></td>
</tr>
</tbody>
</table>

I certify that the above information is correct.

Signature of Employee                                      Date

Signature of Supervisor/Chair                              Date

Signature of School Dean/Budge Executive                   Date
HAMPTON UNIVERSITY
FINANCIAL AID AND SCHOLARSHIP
FROM EXTERNAL FUNDS
STUDENT AID

Name of Student __________________________________________________    Student ID# ______________________

(PLEASE CHECK ONE) United States Citizen___ (y/n)    Permanent Resident___ (y/n)    Foreign Citizen ___ (y/n)

SCHOLARSHIP/GRANT AWARD: Yes___No___

Tuition $__________________ $__________________ $__________________ $__________________
Room and/or Board $__________________ $__________________ $__________________ $__________________
Comprehensive Fee/Reg $__________________ $__________________ $__________________ $__________________
TOTAL $__________________ $__________________ $__________________ $__________________

STIPEND SUPPORT: Yes___No___

TOTAL AMOUNT: $ ____________

BY SIGNING ABOVE, EACH SIGNING PARTY ATTESTS THAT THEY HAVE READ AND UNDERSTAND THE FOLLOWING:

1) A minimum of 3-5 business days for processing is required by FAO during peak periods (ex. Fall/Spring Registration)

2) Students cannot exceed the above limits for stipends, whether singularly or in combination with stipend assistance received from one or more PIs. The FAO reserves the right to make the appropriate adjustments and/or cancellation to ensure program compliance

3) Students may exceed the limits in # 2 upon receipt of external funds from scholarships and/or fellowships in excess of the cost of attendance. Note this student becomes ineligible for additional funds from Hampton University, State, or federal Government.

4) FAO must review student’s account to determine eligibility for award - STUDENT AWARD MAY NOT EXCEED COST OF EDUCATION (COA) OR BUDGET ASSIGNED BY THE FAO

5) FAO reserves the right to reduce or cancel this award for circumstances including, but not limited to the following:
- award creates a conflict with other award(s) on student’s account
- sum total of all aid including all external and internal aid received exceeds COA
- any other circumstances which warrant reduction or removal of award

6) The recipient agrees to report all outside scholarships, tuition assistance, etc. to the FAO. Failure to do so could result in the reduction, retraction and/or cancellation of this award

7) By Federal Student Aid regulations and University policy, the FAO is the FINAL AUTHORITY to determine eligibility for this award

SIGNATURES

Student’s Signature ____________________________    Asst VP for Grants Management ____________________________
Principal Investigator (PI) ____________________________    Asst VP for Business Affairs and Comptroller ____________________________
School Dean ____________________________    Director of Financial Aid ____________________________

Provost/Designee (signature required if school dean is PI)

VERSION 9/13
HAMPTON UNIVERSITY
FINANCIAL AID AND SCHOLARSHIP
FROM EXTERNAL FUNDS
STUDENT EMPLOYMENT

Index ____________
Fund ____________
Organization ______
Account ___________
Program ___________

Name of Grant______________________________

STUDENT EMPLOYMENT: Yes___No___

Name of Student ___________________________________________ Student ID#
(PLEASE CHECK ONE) United States Citizen (y/n) Permanent Resident (y/n) Foreign Citizen (y/n)
Local Address ___________________________________________ Phone (Local)_________________
Supervisor (PLEASE PRINT) ___________________________ Department Placed

*Effective Date of Employment__________ Max. Hrs. Per Wk. ___ Rate of Pay per Hour_____ Amount of Student Employment _____________ *End Date of Employment___________

PROVISIONS OF THIS AGREEMENT

1. It is the responsibility of the department (Supervisor) and the Student to monitor the hours a student works. A STUDENT MAY NOT EARN OVER THE AWARD LIMIT.

2. (a) This award/employment form is first completed by the awarding department, including required department signatures and dates. (b) Next, the form is sent to the Office of Governmental Relations or to the Business Office (depending of funding source) for approval, including required signature and date. (c) Finally, the form is sent to the Financial Aid Office (FAO) for final processing.

3. The student worker and Supervisor agree to submit time sheets on the 3rd working day of each month to the Business Office by 5 p.m.

4. The student worker must be enrolled at least half time each semester in order to be considered eligible for above award.

5. Students may only work a maximum of 20 hours per week.

SIGNATURES

Student’s Signature __________________________________________ Asst VP for Grants Management ___________

Principal Investigator (PI) ________________ Asst VP for Business Affairs and Comptroller __________

School Dean ____________________________ Director of Financial Aid __________

Provost/Designee (signature required if school dean is PI)

VERSION 9/13

Page 46 of 46