Office of Sponsored Research (OSR)

Proposal Preparation Reference Guide for All Grant and Contract Proposals

Revision Effective: 2013 January 2

All grants and contracts must go through the Office Sponsored Research (OSR) for review and approval and must include a Proposal Approval Form (PAF). Refer to University Policy 8 for additional information.

For governmental research grants and contracts the procedures immediately below must be followed:

- A Proposal Approval Form (PAF) must be completed, approved by your Department Head and submitted to the OSR for review and approval by the Director of Sponsored Research or Provost for all sponsored research.
- Any exceptions or deviations requested for the project must be detailed on the PAF and presented to the OSR staff. The OSR staff will acquire the necessary Director of Sponsored Research and/or Provost approvals required.
- The PAF must be completed in full including the budget, indirect cost rate, other department resources, cost share/match if requested, and include a copy of the Project Summary.
- The PAF, with Department Head approval, must be submitted to the OSR at least 10 business days prior to proposal due date. Again, OSR will obtain Director of Sponsored Research and/or Provost approval on the PAF.
- The final proposal package, ready for submission to the funding agency, must be delivered to the OSR two business days before the proposal due date to ensure on time submission.

For private sector sponsored research and development, the steps immediately below are typically followed, keeping OSR & Department Head in the loop from the point of initial discussions:

- Initial discussions are held between a company and potential principal investigator (PI). As part of the discussion, it is desirable to supply the company with the Kettering University Project Agreement.
- These discussions often result in a confidentially agreement, which must be reviewed and signed off by the company and Kettering University. Signatures for the University include the potential principal investigator and the Provost.
- If the parties conclude that sponsorship is desirable, then the Kettering University Project Agreement must be executed, including a PAF and Appendix A that the principal investigator must develop in consultation with OSR. If there is no issue with the Project Agreement and the company has signed, then it is submitted to OSR for the signatures of the principal investigator.
and the Provost or President. If the company has issues with the Project Agreement, then the differences must be negotiated before the company and University execute the agreement.

- **The President and Provost are the only authorized signatories on behalf of Kettering University.** Authorized signature must be obtained via the OSR.

### Compensation and Salary Recovery:

**The funding agency policies and procedures must be followed in all cases. The KU procedures below are to be followed when not otherwise prescribed by the funder, typically the case with most non-governmental contracts and grants.**

OSR guidelines as related to Policy 8 are as follows:

- The maximum time commitment to sponsored research is 10 hours per week during your teaching term (up to 36 weeks) and 50 hours per week during the 12 week non-teaching term (sometimes referred to as summer salary). Federal projects allow a maximum of 2/9\textsuperscript{th} summer salary.

- Allowable commitment is accumulative for all projects, not per project.

- Exceptions to this policy must be approved by the Provost via the OSR on the PAF.

- Hours worked can be charged in one of two ways: 1) Hourly rate (Annual salary/1560 hours = hourly rate); 2) Contract rate of $90.00 per hour.

- Once the grant or contract is awarded, compensation for faculty can be provided in one of 3 ways; i.e. Overload, Supplemental Pay, Course Buy-out. This is especially important for grants and other government funded projects.

*Compensation and Salary Recovery on projects awarded prior to November 1, 2012 are grandfathered.*

### Indirect Costs/Overhead:

- Federal and projects: Kettering’s federally negotiated rate of 54% of salaries must be charged unless otherwise dictated by the RFP. Deviations will not be approved/allowed on federal projects.

- Cost Reimbursable (CR) projects: Overhead rate of 54% of salaries will be charged.

- Firm Fixed Price (FFP) Contracts: Overhead rate of 27% of the total project will be charged.

- Any deviation to the overhead rate must be requested on the PAF. Deviations will be minimal and will, in most cases, change the distribution allocations.
Current distribution rate is Faculty Services 25%, General Fund 30%, Research 35%, and Faculty IGA 10%.

**Lab Use Fees:** Projects can be charged a lab usage fee when a laboratory is utilized for testing on the project. The standard Kettering University lab usage fee is $250 per hour. Refer to the Laboratory Account Policy for the specific details on what the lab use fee include, in addition to, how the fees can be utilized.

**Firm Fixed Price Project:** All projects will be closed out at the end of the project. The project balance (unused funds) will be transferred to the PI’s IGA. Once transferred, expenditures must adhere to the Internal Grant Policy.