

March 01, 2011

Foundation proposals process

Office of Research Administration and Finance, Northeastern University

Recommended Citation

Office of Research Administration and Finance, Northeastern University, "Foundation proposals process" (2011). *RAF Policies and Guidelines*. Paper 8. <http://hdl.handle.net/2047/d20004344>

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When submitting a proposal to a Foundation:

Proposal submissions to non-federal funders, including private and corporate foundations, voluntary health organizations and professional societies, are coordinated through the university's Office of Corporate & Foundation Advancement, foundationadvancement@neu.edu x8858, but they will still need to be submitted through Research Administration and Finance for review and sign off. For Bouve College of Health Sciences submissions, please contact Isabel Cunha-Vasconcelos, i.cunha-vasconcelos@neu.edu x 8918, in the Bouve Development Office.

Please contact CFA or Bouve Development as far in advance of submission as possible to allow them to review the funder's guidelines and help prepare and sign off on the Proposal Processing Form package for institutional review and approval by the Office of Research Administration and Finance. As with other proposals, please forward the following, to your Grants and Contracts Specialist in ORAF, 5 business days before the due date:

Proposal Processing Form (PPF):

(http://www.northeastern.edu/raf/forms/documents/PPF_Aug_2010.pdf)

The form must be signed by the PI, Chair, Dean and CFA or Bouve Development.

If there is cost sharing, it must be clearly identified and signed off by the Chair and Dean.

If the indirect cost (IDC) is being waived or reduced, please also include this information. (If the sponsor has published or established guidelines about IDC at a rate other than our negotiated rate, then there is no need for a waiver or reduction.)

Sponsor guidelines:

It is rare when a foundation will pay our negotiated IDC rate. It is more common, however, that foundations have published or established policies regarding the inclusion of IDC in proposals. It is imperative that we receive a copy of their guidelines defining IDC rate limitations so that we can ensure there is no need for a waiver or reduction.

IDC helps pay for common or joint objectives such as space, local telephone, administrative personnel, etc. Each time we accept or negotiate a lower indirect cost rate we strip the institution of that financial support. The university cannot support research without lights, computers, paper or administrative staff – to name a few.

Sponsor guidelines also provide proposal preparation guidance as well as terms and conditions we may need to agree to either at proposal submission or award acceptance.

Proposal documents (at a minimum):

Scope of work (science or project description)

Detailed budget – the budget must include effort commitments for personnel and details by budget category (equipment, supplies, personnel, fringe, other).

Budget justification – the budget justification helps RAF determine if all costs are reasonable and also further supports the scope of work.

If there are subcontracts – we will need the scope of work, detailed budget, budget justification and statement of intent signed off by the subcontractor’s authorized institutional official.

Any other documentation that might impact this proposal/award, such as vendor agreements, prior relationship information, special conditions.

Signature signoff and Organizational contact:

Some foundations require signature at the proposal stage from Northeastern’s Authorized Institutional Official. Office of Research Administration and Finance has been delegated signing authority and is the only office that can provide this signature for sponsored research projects. If the sponsor does not require signature, please use RAF as the official mailing address of the institution.

Setting up Foundation awards with a sponsored account:

Award document:

Please make 2 copies of the entire award package, including the check, award letter and grant agreement forms. Keep one copy for your files and forward the second copy to your Grants and Contracts Specialist along with the following:

1. Original check (if any)
2. Original award letter
3. Grant agreement or contract

If there is an agreement of any sort, it must be reviewed by your Grants and Contracts Specialist. We will not be able to set up an account until we have a signed grant/contractual agreement. ORAF is here to protect the institution as well as the faculty. Occasionally, negotiations take time and in rare instances we have had to walk away because we were not able to come to an agreement on contractual terms.

Proposal record:

Projects can only be set up in Banner if there is a corresponding proposal record on file. If there is not, please see the information about **submitting a proposal to a foundation**.

Budget:

If the award total varies from the proposal budget, a revised budget will need to be submitted to your Grant Officer at RAF. The final budget gets entered into Banner.

IACUC/IRB approval:

If animals or human subjects are involved, please forward the associated approval letter. An account cannot be set up without this information.

Subcontracts:

If there are subcontracts, Jack Timoney will be in touch about the specifics. The subcontract will be issued only after there is an account number for the project and all budgetary and scope of work issues have been worked out between Northeastern and the subcontractor.