



UNC  
SCHOOL OF SOCIAL WORK

## **Proposal Development and Contract Support Procedures**

### **Guidelines for Faculty**

(12/21/06)

This guide outlines a general process for submitting grant and contract proposals originating from the School of Social Work, including the Jordan Institute for Families. The School provides a variety of resources to aid in the development of proposals for contracts and grants. These resources include assistance offered through the associate dean for research, the Jordan Institute for Families, and the Contracts and Grants Business Office. Because the format and content of proposals vary according to the preferences of funding agencies, this guide describes a pathway around which there may be substantial variation. The purpose of the guide is to clarify routine practices and to provide information on issues frequently confronted by principal investigators (PIs). Such issues include estimating facilities and administration costs (indirect costs), matching and cost sharing, course buyout, and dual employment.

## A. Proposal Development Process through the School of Social Work

When submitting a new proposal through the School of Social Work and Jordan Institute, or if a faculty member will participate in a proposal that is being developed in another unit across campus:

### 1. Contact the accounting manager in the Contracts and Grants Business Office

- a) **Accounting Manager Judy Sharpe 843-5298, Room 452, [jfsharpe@email.unc.edu](mailto:jfsharpe@email.unc.edu)** For nonfederal proposals, the PI should notify the accounting manager via e-mail at least **four** business weeks prior to the submission deadline. In this notification e-mail, please indicate (a) the kind of proposal to be submitted (e.g., new proposal, revision, amendment, no-cost extension); (b) the name of the project; (c) the name of the funding agency; (d) and the submission deadline. In addition, include a Web site (i.e., a URL) for the agency guidelines for proposals.
- b) For federal or other large-scale proposals that require a longer development time, please notify the accounting manager via e-mail as early as possible.
- c) Within 2 to 3 business days of the initial e-mail, a Contract and Grants Office staff member will be assigned to the proposal.

### 2. For large federal or foundation proposals, briefly review your plans with the associate dean for research

- a) **Associate Dean of Research Mark Fraser, 962-6538, Room 548J, [mfraser@email.unc.edu](mailto:mfraser@email.unc.edu)** Provide a brief description of the research plan. For new federal or large foundation proposals, see the suggested timeline in Section D.

### 3. Prepare proposal narrative

- a) The PI is responsible for developing the proposal narrative. Both the associate dean for research and the Jordan Institute for Families have resources available to provide assistance in designing, editing, and preparing narratives. Capacity statements, position descriptions, and other resources are available from <http://ssw.unc.edu/jif/investigator/contract.htm>. To arrange for assistance through the Jordan Institute, please contact Director of the Jordan Institute **Nancy Dickinson, 962-6407, Room 116B, [ndickins@email.unc.edu](mailto:ndickins@email.unc.edu)**

### 4. Prepare initial budget estimates and an initial budget justification

- a) The PI is responsible for listing all potential expense items related to the project and developing a budget justification. Budget estimates should be submitted to the assigned staff of the Contracts and Grants Business Office as early as possible in the development process. Timely submission of estimates will allow the Business Office to develop a full budget template that the PI can use to approximate budgets under differing staffing and expense scenarios. Staff of the Business Office will prepare a detailed final budget for inclusion in the proposal.

5. **(If required) Submit proposal for review by the Institutional Review Board**

As appropriate, the PI should consult with the chair of the School's IRB Committee.

- a) **School of Social Work IRB Chair Mary Anne Salmon, 962-4362, room 402L,** [masalmon@email.unc.edu](mailto:masalmon@email.unc.edu) Templates for IRB applications and consent forms are available online from the UNC Office of Human Research Ethics (<http://ohre.unc.edu/forms.php>).
- b) **CITI Certification** – If an IRB application is required, the PI must prepare the IRB review packet. Proposals subject to IRB review must certify that all faculty (including collaborators from other settings), staff, and students who are engaged in the planning, implementation, data entry/handling, or analysis hold a current Human Subjects Protection Education Certification from the Collaborative Institutional Training Initiative (CITI). Instructions for completing certification online are available from <http://ohre.unc.edu/educ.php> New proposals and annual IRB renewals must be submitted to the School's IRB Committee (see below). Modifications of research protocols should be submitted directly to the University IRB body that approved the original protocol.
- c) **School of Social Work IRB Office – Cindy Justice, 962-6535, room 116C,** [chjustic@email.unc.edu](mailto:chjustic@email.unc.edu) Contact Cindy Justice in the Jordan Institute for Families for assistance. Cindy is responsible for routing IRB proposals through the School of Social Work IRB Internal Review, as well as routing locally approved proposals to the University IRB. PIs should submit a complete package to School IRB for review and routing.

**B. Proposal Development Process as a PI, Co-PI, or Co-Investigator through a Center, Department, or School other than the School of Social Work**

For all proposals, notify Accounting Manager **Judy Sharpe 843-5298, Room 452,** [jfsharpe@email.unc.edu](mailto:jfsharpe@email.unc.edu) in the Contracts and Grants Business Office, at least **four** business weeks prior to the submission deadline. In this notification e-mail, please list (a) the name of the project; (b) the name of the funding agency; (c) the center, department, or school through which the proposal will be submitted; (d) the position (e.g., Co-PI) filled by faculty of the School of Social Work; (e) the submission deadline; and the mechanism for sharing indirect costs between the School of Social Work and the center/school/department sponsoring the proposal. Copy this notification e-mail to Associate Dean for Research Mark Fraser at [mfraser@email.unc.edu](mailto:mfraser@email.unc.edu)

*Note.* Sharing of recovered indirect costs occurs only when a School of Social Work faculty member serves as a PI or Co-PI on a project sponsored by another center/department/school. The accounting manager will coordinate this discussion with the sponsoring unit and the dean of the School of Social Work. The dean must approve the indirect cost sharing agreement at the beginning of the proposal development process and must sign all proposals being routed outside of the School of Social Work. The dean will not be in a position to approve proposals in the absence of an indirect cost sharing agreement.

**C. Proposal Preparation Guidelines**

1. **Who may serve as a PI?** All full-time tenure track and full-time tenured faculty may serve as PIs. In addition, faculty who hold the rank of research or clinical associate professor or research or clinical full professor may serve as PIs. Faculty who do not hold these ranks may serve as Co-PIs, investigators, and co-investigators. At the discretion of the dean, research or clinical assistant professors may serve as PIs. When a research or clinical assistant professor is given permission to serve as a PI, the associate dean for research will appoint a supervisory committee comprised of

experienced investigators to provide oversight for proposal development activities and, if funding is secured, for the project.

- a) For doctoral students and doctoral candidates who receive dissertation, R03, or other awards, the dissertation advisor will serve as the supervisor.
2. **Minimum Full-Time Equivalent (FTE) for PI:** In general, funding should be proportional to the amount of work. Faculty members serving as principal investigators on a contract or grant are expected to request at least 5% FTE.
 

*Note.* When requested salary support differs from the percent of effort, the rationale for the difference should be explained in the budget narrative. This type of variance may occur:

    - where a faculty member is submitting a proposal for limited funds that primarily cover the support for a colleague, or
    - where a faculty member is submitting a proposal for a doctoral student who will gradually assume principal responsibility for the project but with the faculty member's leadership, support, and training.
  3. **Course Buyout:** All course buyouts must be approved by the dean of the School. A buyout is estimated as 16.5% FTE. A maximum of three courses may be bought out in a single academic year. In unusual circumstances, the dean may authorize buyout of all course work.
  4. **Match and Cost Share:** Matching is defined as the value of cash or in-kind contributions provided to a project by the School of Social Work. It is the portion of the direct costs of a project not borne by the funding agency. Costs used to satisfy matching requirements are subject to the same policies governing other costs in a budget. All cash match or other forms of cost sharing must be approved by the dean of the School. The dean must approve all in-kind contributions (e.g., a percentage of FTE) that are submitted as a condition of a proposal.
  5. **Dual Employment:** If a PI intends to hire a North Carolina State employee (other than an employee of UNC-CH), payment is made as "dual employment," meaning employment takes place within two state units. The Human Resources Office of the School will provide and complete appropriate forms authorizing dual employment.
    - When receiving dual employment pay, employees may not be paid more than their daily rate of pay. Employees may work extra hours by taking vacation during the working days. Funds may not be deposited to gift accounts.
    - *Exceptions to Dual Employment:* (a) County and school district employees are not considered employees of the State, and (b) UNC-CH Medical Center employees are not considered UNC-CH employees and must be paid under dual employment.
  6. **Consultants:** A consultant is an independent contractor who is not affiliated with the University and who works for a limited period to provide a specific service or services. Consultants may not be currently on the payroll of the UNC-CH nor may they have been on the payroll within the past year.
  7. **Initial Budget and Calculation of Indirect Costs:** In developing budget estimates, the PI should provide an outline of expected levels of effort for project staff and for other direct costs. The Contract and Grants Business Office will use these estimates to create a full, detailed budget estimate and Excel template that includes the calculation of indirect and other relevant costs. In developing a final proposal, the PI may use this template to estimate alternative budgets for differing constellations of grant or contract-related activities.

- a) **Federal indirect rate:** The University's general policy regarding reimbursement for indirect or facility and administrative (F&A) costs is described at [http://research.unc.edu/osr/f&a\\_policy.pdf](http://research.unc.edu/osr/f&a_policy.pdf)
- b) **Waiver of federal indirect rate:** When a proposal is in a priority research area of the University or in other extraordinary circumstances, the PI may request a reduced F&A rate. To obtain a waiver or reduction of the F&A rate, the PI must submit a formal justification, signed by the dean, to the vice chancellor for research and economic development. Request for waiver forms can be found at [http://research.unc.edu/services/forms.php#wavier\\_exemption](http://research.unc.edu/services/forms.php#wavier_exemption). Questions regarding F&A waivers and reductions should be directed to the associate vice chancellor for research, Office of Sponsored Research, at 966-3411.
- c) **Information on indirect rates and recoverable costs:** Federal agency contracts and grants are governed by a negotiated rate agreement. Federal agency contract and grant indirect costs can be viewed at [http://research.unc.edu/osr/information/general\\_info.php](http://research.unc.edu/osr/information/general_info.php). Indirect costs for State of North Carolina contracts and grants are outlined by the Office of Sponsored Research. Private foundations and agencies often have lower limits on indirect costs. If these lower limits are observed in the budget, indirect rates must be documented in writing from the foundation. In addition, private foundations and agencies usually have guidelines that are more restrictive regarding recoverable direct costs.
8. **Direct costs of Administrative Personnel, Computer Personnel, and Computer Supplies:** The School has established rates for estimating direct costs of administrative personnel (5.5%), computer personnel (2.5%), and computer supplies (1%). These costs are applied as direct expenses before determining facilities and administration (F&A) amounts. Unless otherwise noted, administrative personnel, computer personnel, and computer supply costs are to be included in all proposals. However, in some circumstances these costs may be either reduced or eliminated as direct expenses in budgets:
- a) When a federal proposal includes the full indirect rate, administrative personnel costs are not included in the budget. There may be exceptions to this, such as proposals with multiyear funding, extremely complex projects, or other situations incurring unusual administrative costs. The inclusion of administrative personnel costs in these cases must be approved by the accounting manager.
  - b) Administrative personnel costs do not apply to projects of \$25,000 or less.
  - c) Administrative personnel costs do not apply to subcontracts within the UNC system.
  - d) Administrative personnel costs apply only to the first \$25,000 of subcontracts outside the UNC system.
  - e) Administrative personnel costs apply to half of the amount of student stipends, traineeships, and service awards.
  - f) Computer personnel and computer supply costs do not apply to subcontracts, consultants, or off-campus personnel, unless computer support of those positions or subcontracts is part of the work plan.
  - g) Computer personnel and computer supply costs do not apply to stipends, traineeships, and service awards used entirely for the education of social work students. Computer personnel and computer supply costs will apply when activities other than routine study toward a degree are expected as a condition for receiving a stipend, traineeship, or service award.

*Note.* Exceptions to the inclusion/exclusion of any of the administrative personnel, computer personnel, and computer supply costs may be made at the discretion of the dean.

9. **Purchase of Supplies and Equipment:** All supplies must be purchased through a State of North Carolina vendor. A list of approved vendors is available from <http://www.unc.edu/mds/Mall/Publish/page3.html> Purchases of electronic equipment greater than \$5,000 in cost must be submitted through the School's Computer Information and Technology Unit.

*Note.* Although Staples is listed as a vendor, purchases must be made through UNC. (As convenient as it is, you cannot simply go to Staples and make purchases for which you expect reimbursement through a project account.)

10. **Inclusion of Student Tuition as Direct Costs:** The University has explicit policies that govern the inclusion of student tuition as a direct cost in all grants and contracts. For full-time students, with either in-state or out-of-state residency, who earn more than \$3,500 per semester as a MSW student or \$6,000 per semester as a PhD student or candidate working as a research assistant, teaching assistant, or fellow on contract or grant-funded projects, full tuition, at the in-state rate, must be billed to the project as a direct cost.
11. **Exclusion of Student Tuition for Program Assistants:** The inclusion of student tuition as a direct cost does not apply to students who are hired as program assistants. Program assistants may be assigned daily work tasks such as filing, photocopying, preparing paperwork for invoices, and setting up meetings.
12. **Inclusion of Student Health Insurance as Direct Costs:** The University has explicit policies that govern the inclusion of student health insurance as a direct cost in all grants and contracts. For full-time students who earn more than \$2,667 per year working on contract or grant-funded projects, full health insurance must be provided and billed as a direct cost. The 2006-2007 health insurance premium is \$1,658.04 per year (\$138.17 per month). For more information see [http://research.unc.edu/osr/information/general\\_info.php#fringe2](http://research.unc.edu/osr/information/general_info.php#fringe2)
13. **Amendments and Revisions to Contracts and Grants:** Requests to amend or revise a contract must be signed by the PI. All amendments and revisions to contracts and grants at the School are submitted through the Accounting Unit.
14. **Subcontract Payments:** Subcontractors are required to submit invoices for completed work. Invoices must be signed by the PI before payment is initiated.
15. **Letters of Guarantee:** The School of Social Work will provide, at the dean's discretion, 30 days of funding to contracts and grants deemed to have a high likelihood of being finalized and funded with a 30-day retroactive start date. The PI will retain full responsibility to ensure that all funds guaranteed by the School during this 30-day period are properly charged to the contract or grant once funding is secured.

#### **D. Completion and Submission of Proposal**

1. Working in coordination with the PI, the accounting manager will finalize the budget.
2. Working in coordination with the PI, a staff person from the Accounting Unit of the Contracts and Grants Business Office will prepare proposal forms and internal forms for routing through campus.

- a) If a proposal requires only School of Social Work signatures, the PI should e-mail the program narrative to the Business Office at least **five** business days prior to the submission date.
  - b) If a proposal requires authorizations outside the School, submission at least **nine** business days prior to submission date may be necessary to insure that the proposal reaches the funding agency in a timely fashion.
3. The Accounting Unit staff person will supervise and monitor the authorization process. All proposals submitted through the School of Social Work, the School's Jordan Institute for Families, and proposals submitted through other units that involve commitments of time for persons employed at the School of Social Work must be authorized by the dean.
  4. Once submitted to the Office of Sponsored Research (OSR), no budget changes can be made. For OSR procedures, see <http://research.unc.edu/osr/>
  5. A Contracts and Grants Business Office staff person from the Accounting Unit will administer and submit proposals on behalf of PIs. Staff from the Accounting Unit will complete proper federal, state, or other forms and obtain appropriate authorizations. In addition, they will make copies of proposals or other documents as may be required by funding agencies.
  6. The Contracts and Grants Business Office staff person from the Accounting Unit will send a copy of the proposal's Internal Processing Form to the Jordan Institute for entry into the list of projects and programs on the Institute's Web site.

#### **E. Federal or Large Proposal Development Process**

Contingent on available funds, the School will provide assistance to faculty who develop federal or other large proposals. Described below, the support for developing a federal proposal may involve travel to meet with program officers and external review of proposals by national experts.

1. Six to seven months prior to the submission deadline: Identify a specific funding mechanism (e.g., R01, R03, or R34) and begin to outline the Specific Aims, Background, Prior Studies, and Methods sections of the application.
  - a) Notify the associate dean for research of the intent to submit a proposal. If desired, request funds to meet with federal or foundation project officers. For a large project, such funds may be available through the UNC.
 

*Note.* A face-to-face meeting is often helpful. Project officers participate in the development of current requests for applications (RFAs) and program announcements (PAs). In addition, they observe, but usually cannot participate in, review groups. Project officers tend to have useful information about (a) the intent of a RFA or PA; (b) the portfolio of grants already funded; and (c) the substantive and methodological issues that have concerned recent review groups.
  - b) Create a team of substantive and methodological experts.
  - c) Submit letter of intent to the funding agency (if required prior to proposal submission).
  - d) Meet with Mark Fraser (if desired) for assistance in organizing the substantive argument of the proposal and discussing alternative research designs.
  - e) Meet with Shenyang Guo or Rod Rose (if desired) to develop a plan of analysis and power estimates (as appropriate).

- f) Meet with Accounting Manager Judy Sharpe or her designee to develop a preliminary budget and budget narrative.
  - g) Meet with Nancy Dickinson (if desired) to discuss Jordan Institute resources that may be available to help with proposal development and implementation.
  - h) Meet with the Mary Anne Salmon, chair of the IRB Committee, to develop procedures to protect human participants. Although IRB approval is not required for most federal proposals (i.e., at the time of submission), human participant issues and research ethics often must be addressed in program narratives.
2. Four months prior to submission deadline:
- a) Submit proposal to an external review group (ERG) comprised of national experts. Funds will be made available for this review.  
  
*Note.* The role of the ERG may vary. For some proposals, it may be helpful to involve the ERG earlier in the conceptualization and design of a project.
  - b) Insure that all named staff have current IRB Human Subjects Protection Education Certification.
3. Two to three months prior to submission deadline:
- a) Receive comments from ERG and revise proposal narrative.
  - b) (If required) Submit IRB application or other informed consent materials.
  - c) Make final adjustments to budget and budget narrative.
4. At least five business days (nine days, if authorizations are required by schools or departments outside of the School of Social Work) prior to submission deadline:
- a) Submit proposal to Contracts and Grants Business Office