

Grants & Sponsored Projects at Winona State University

Grants Handbook

Grants & Sponsored Projects (G&SP) is a catalyst for members of the Winona State community who are seeking external funding to further their interests and expertise through research, professional development, program development, and special projects.

The G&SP staff coordinates, together with Finance & Administration, the grant and contract process and the many administrative activities associated with awards, award agreements, award compliance, and sponsored activities.

[Policy 2-8](#) establishes the policies, guidelines, procedures, and responsibilities for the submission of grant proposals and administration of awards at Winona State University. The materials in this handbook provide an overview of applicable policies and procedures. In many cases, these materials reference policies or procedures found in other Winona State University or Minnesota State Colleges and Universities publications. Links to these policies and procedures are provided throughout this guide, where appropriate.

Resources for funding opportunities, proposal preparation and submission, award administration, and compliance can be found at the [Grants & Sponsored Projects website](#).

Contents

[Sponsored Projects \(Grants\) vs. Gifts](#)

[Pre-Award Overview](#)

[Post-Award Overview](#)

[Sponsored Projects Administration](#)

- [Pre-Award](#)
- [Post-Award](#)
- [Award End, Closeout](#)

[Provisions for Allowable Costs for Federally Funded Projects](#)

[Determining Salary, Wages, and Fringe Benefits](#)

[Determining Indirect Costs](#)

[Training and Registrations](#)

[Key Contacts](#)

Sponsored Projects (Grants) vs. Gifts

Grants, contracts, sub-awards, and similar agreements that bind the university to a specific scope of work and include deliverables are usually referred to as sponsored projects or sponsored research.

Donations for the university's use and/or ownership that generally impose no contractual requirements or deliverables are usually referred to as gifts.

Following are general characteristics of sponsored research and gifts.

Sponsored Projects	Gifts
<ul style="list-style-type: none"> • Have a specific statement or scope of work to be implemented • Carry a specific completion date or performance period • Require something of value to be delivered, such as results, data, intellectual property, or a mandatory report • Require return of unexpended funds • Involve disposition of property, whether tangible or intangible, resulting from the project, such as records, inventions, data rights, and equipment 	<ul style="list-style-type: none"> • Impose no contractual requirements, although gifts may be accompanied by an agreement restricting their use • Expect no specific start and end date or period of performance • Require nothing of significant value in return other than recognition of the gift and its disposition in accordance with donor wishes • Require no formal fiscal accountability to the donor



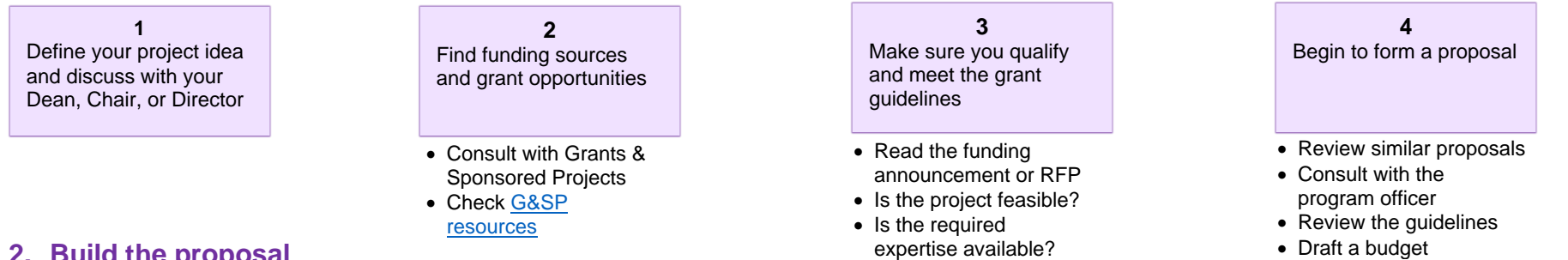
<p>Sponsored projects are coordinated through Grants & Sponsored Projects</p>	<p>Gift solicitation and receipt are coordinated through the Winona State University Foundation</p>
--	--



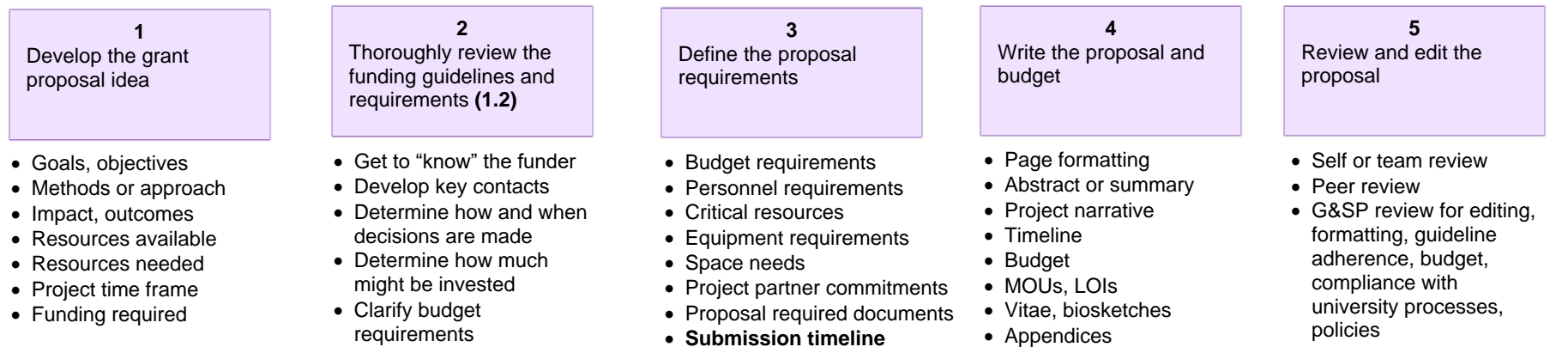
<p>The grant or sponsored project lifecycle is usually divided into the following phases:</p> <ul style="list-style-type: none"> • Pre-award – proposal development, review, and application • Post-award – award notification, implementation of the project, management of the project, reporting, and closeout

Pre-Award Overview

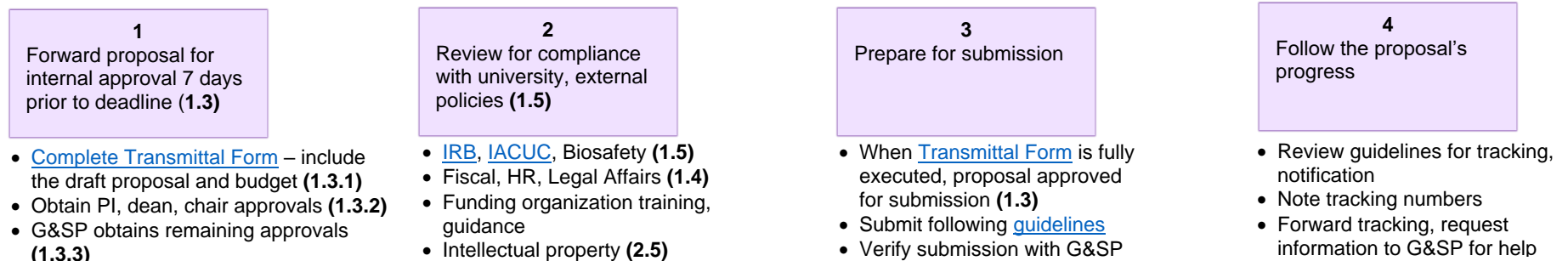
1. Find funding sources



2. Build the proposal

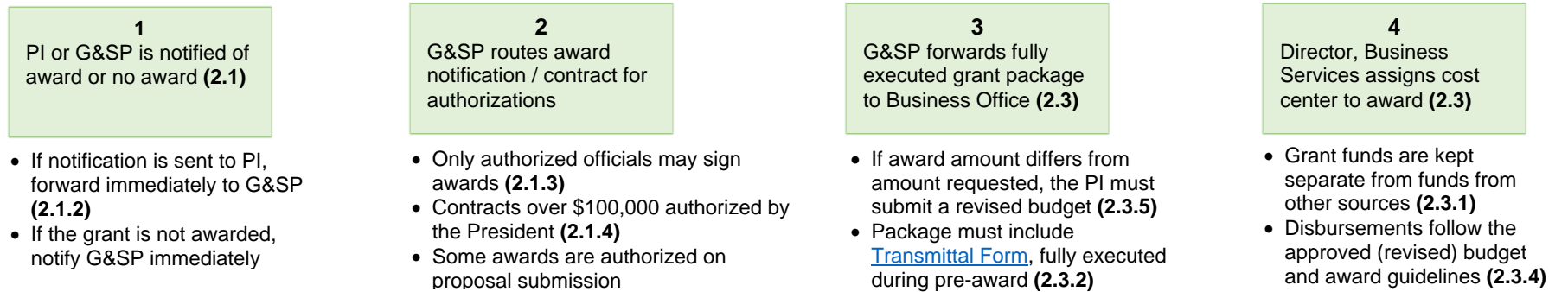


3. Submit the proposal

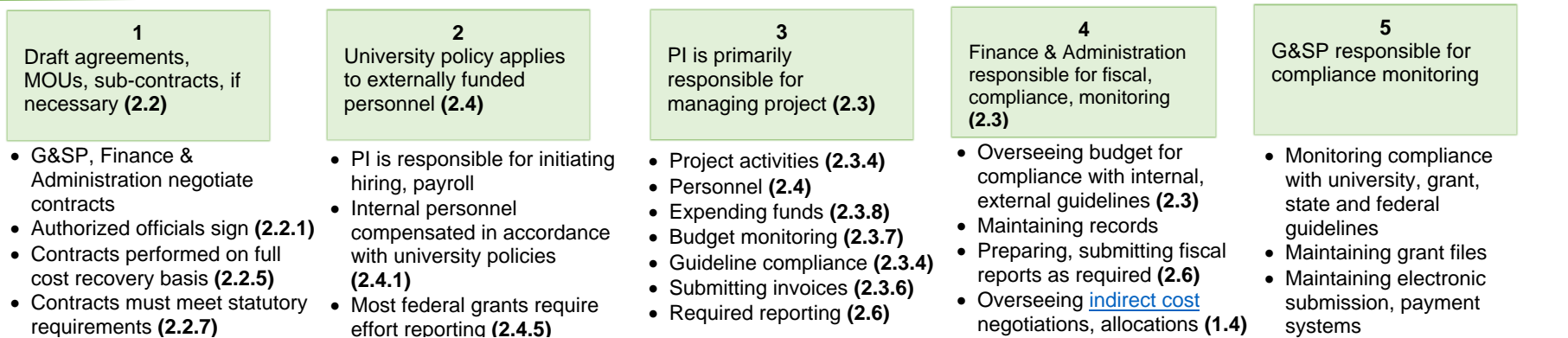


Post-Award Overview

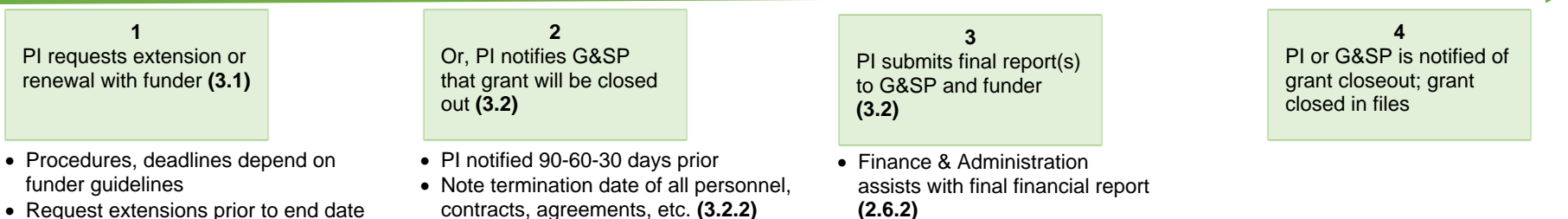
1. Award



2. Award management



3. Award end / closeout



Sponsored Project Administration

1. Pre-Award

1.1 Proposal Information

A grant proposal outlines a proposed research or scholarly project and its budgetary requirements and requests funding in the form of a grant. At Winona State University, a proposal includes:

1. [Transmittal Form](#) – an internal form which requests proposal and funding agency information and requires institutional authorizations
2. Funding agency form(s) – varies by agency but typically requires an abstract or summary, project narrative, project timeline, detailed budget
3. Forms, text specific to the agency – may include aims of the project, data management plans, investigator vitae, citations, disclosures and certifications, institutional information, memoranda of understanding with cooperating organizations, etc.

1.2 Proposal Types

1. Request for proposals (RFP) response – one-time solicitations addressing a specific need or area of interest, usually with a specific deadline
2. Solicitation response – a sponsor request for research, training, or scholarly activity in a specific area of interest, usually with a recurring annual or periodic deadline
3. Unsolicited responses – an investigator proposes a request for support to a sponsor; some unsolicited proposals must meet specific guidelines, depending on the organization
4. Letters of intent (LOI) – a letter or pre-proposal to gauge the project's connection to the sponsor's interests prior to an invitation to develop a full proposal; typically includes a project description, budget overview, and the project's outcomes or broader impacts
5. Continuation, renewal request – a proposal for continued funding at the end of the cycle; a progress report (non-competing continuation request) or full proposal may be required
6. Resubmission – a revised request in response to a previously submitted proposal

1.3 Proposal Approval at Winona State

1. The Principal Investigator (PI) must complete, include supporting materials, and sign the Transmittal Form prior to external submission. The PI is responsible for obtaining all required signatures as listed below.
2. Chairs, deans or directors, or other supervisors are also required to sign the Transmittal Form where indicated. For proposals involving more than one unit, all affected supervisors must review and sign the form. Approvals indicate the proposal has been reviewed for consistency with institutional and unit priorities and appropriate commitment of resources.
3. Following supervisor approval, the Transmittal Form and proposal and supporting materials are forwarded at least seven (7) working days prior to submission to [Grants & Sponsored Projects](#) for remaining signatures. At a minimum, these include the G&SP Director and the Vice President who has oversight for the submitting unit (typically, the Vice President for Academic Affairs).
4. Proposals which require matching or in-kind funds, reallocation of existing resources, or other major commitments must be discussed and approved by the appropriate Vice President(s) before the proposal can be fully approved. In this case, PIs should meet with the G&SP Director at least 10 working days prior to deadlines.

1.4 Finance and Administration / Indirect Costs

Facilities and Administration Costs (F&A, indirect costs, overhead) are costs incurred for common or joint objectives and are therefore not easily attributable to a single project, such as utilities, building maintenance, human resources, library costs, etc. The U.S. Office of Management and Budget has established procedures to determine indirect costs for institutions of higher education (the “federally negotiated rate”).

1. WSU’s [federally negotiated rate](#) applies when calculating budgets on proposals submitted to federal agencies when permitted by the agency, and on proposals to non-federal agencies if permitted
2. On proposals to state, local, corporate, or private sponsors when the federal rate is not permitted or in effect, apply a rate of 10-percent of modified total direct costs (MTDC – salaries, wages, and fringes; materials and supplies; services; travel; publication costs; and the first \$25,000 of each subaward to other organizations)
3. When the sponsor does not permit indirect costs or allows less than the designated rates, the PI is responsible for providing documentation that states the policy with the Transmittal Form. G&SP must approve the non-standard rate on the Transmittal Form.

1.5 Other Proposal Approval Considerations

1. Representations and certifications – federal agencies may require assurances or certifications of compliance with a variety of regulations, such as lobbying, drug-free workplace, executive compensation, etc. Notify G&SP and allow time for form completion and obtaining signatures.
2. Conflict of interest, significant financial interest disclosure – many sponsors have conflict of interest policies. PIs should be aware of university conflict of interest policies ([Reg. 3-28](#)) and inform their chairs, deans, or supervisors of any potential conflict of interests. WSU provides and documents the [CITI training module](#).
3. Responsible conduct of research – NSF supported personnel are required to complete training and PIs should be aware of university research misconduct policies ([Reg. 3-27](#)). WSU provides and documents the [CITI training module](#)
4. Research involving human subjects – all research involving human subjects must be reviewed by the [WSU Institutional Review Board \(IRB\)](#). Some proposals may require proof of IRB approval prior to submission.
5. Research involving animal subjects – all research and teaching activities involving animal subjects must be reviewed by the [WSU Institutional Animal Care & Use Committee \(IACUC\)](#). Some proposals may require proof of IACUC approval prior to submission.
6. PIs are responsible for identifying health and safety hazards in the Transmittal Form, as well as complying with all use and disposal regulations. Consult with [Environmental Health & Safety](#) for information on regulations, training, equipment, and handling.
7. When working on proposals in which the university will be a sub-awardee or sub-contractor, the lead institution may require completion of a letter of commitment or letter of intent. Contact G&SP for assistance with completion and submission.
8. G&SP maintains registrations, assurances, and certifications with federal, state, and private submission and payment systems such as Grants.gov, NSF Fastlane, Research.gov, ERA Commons, G5.gov, NASA NSPIRES, Proposal Central, and the System for Award Management (SAM)

2. Post-Award

G&SP will request a cost center from the Business Office only when a complete grant package has been submitted, consisting of a fully approved Warrior Space Grant Transmittal Form; an award notification, grant agreement letter, or fully executed contract; and an approved budget. A cost center will not be set up without a complete grant package.

2.1 Award Notification

1. Typically, awards are made in the form of:
 - a. Grant – transfer of something of value to assist the grantee in carrying out a goal
 - b. Contract – agreement for procurement of a service or a product for the direct benefit of the contracting sponsor
 - c. Cooperative agreement – involves substantial involvement between grantee and sponsor in carrying out the activity
2. The PI, G&SP, Authorizing Official, or Business Office may receive written notification of the sponsor's decision
3. The notification, in whatever form, must be immediately forwarded to G&SP for appropriate authorization
4. An authorized institutional official signs award documents which require a signature for acceptance. G&SP will review the award document, budget, and terms and conditions before determining proper authorization for the award notice.
5. Awards of \$100,000 or more may be authorized only by the President and may require original (or "wet") signatures
6. Awards of \$3 million or more may be authorized only by Minnesota State Colleges and Universities Board of Trustees

2.2 Contracts

[Contracts](#) are usually more complicated than grant awards and must be prepared and negotiated by G&SP and Finance & Administration. The following general policies apply to contracts with federal, state, local, and non-profit contracts:

1. Contracts can be prepared, negotiated, and signed by authorized representatives only after a proposal has been submitted and approved through the internal review process
2. In general, there are two types of contracts:
 - a. Fixed price – payment based on an agreed upon price regardless of actual expenditures
 - b. Cost reimbursable – payment based on actual, allowable costs incurred in performance of the work
3. Proprietary information is governed by individual nondisclosure agreements between the sponsor and the investigator(s) performing the activities
4. Copyrights and publication rights belong to the author and Winona State, although a sponsor may retain ownership of information if both parties agree
5. Contracts with for-profit sponsors are negotiated on a basis of full cost recovery for both direct and indirect costs. Payment schedules may be negotiated depending on project scope, timelines, and pattern of expenditures.
6. Standard agreement states that the sponsor indemnify, save, and hold Winona State and its employees and representatives harmless from any and all claims or causes of action, including attorneys' fees incurred by the university, arising from the performance of the

contract by the sponsor or its employees, and that Winona State cannot indemnify the sponsor.

7. As a state entity, Winona State has statutory requirements to add specific nondiscrimination, conflict of interest, non-appropriation, and arbitration clauses in all contracts
8. Should the sponsor terminate the funding agreement, it will be expected to reimburse Winona State for costs incurred to the termination date and for all non-cancelable obligations. Expenses for which Winona State is not reimbursed become the responsibility of the principal investigator and his or her department.
9. The name of Winona State University must not be used in advertisements, press releases, or other forms of promotion or publicity without prior approval

2.3 Financial Management

The PI is responsible for carrying out activities and fiscal management of the project while complying with sponsor and university policies.

The Director of Business Services, Purchasing Director, and Grants & Sponsored Projects Director are available to the PI for one-on-one training or discussions to outline budget management and review, purchasing, contracts, etc. specific to the grant.

1. When G&SP receives the final, fully executed award agreement, the full grant package will be forwarded to the Director of Business Services to assign a cost center to the award
2. A cost center will not be assigned without the fully approved grant package, including the Transmittal Form and budget
3. Project work, including purchasing and hiring, may not begin prior to the date of award notification or the grant starting date specified in the award notification or contract
4. The PI's fiscal responsibilities include:
 - a. Understanding the sponsor's policies, terms, and conditions for the award
 - b. Approving only expenditures that are allowable, necessary, and reasonable to reach the project goals
 - c. Adhering to the approved project budget and spending no more than authorized by the sponsor for the project period and budget category
 - d. Incurring costs only for goods and services that will be used or received during the project period
 - e. Charging costs directly to the appropriate cost center and avoiding cost transfers
 - f. Requesting budget changes or extensions according to granting organization guidelines, and reporting approved changes or extensions to Grants & Sponsored Projects and the Director, Business Services
 - g. Documenting cost share commitments
 - h. Working with the Director of Business Services on invoicing and financial reporting information, where appropriate
5. Should the project budget require re-allocation among budget categories, consult with G&SP to determine if it is permitted by the sponsor. A request to the sponsor may be required, depending on its guidelines. Documented approval from the sponsor is required by the Director of Business Services implement budget re-allocation.
6. The PI is responsible for directing the Director of Business Services to prepare and submit all invoices and financial reports to the sponsor. The Director will pursue prompt payment of commitments from sponsors.

7. Financial reports will be distributed by the Director, Business Services periodically throughout the fiscal year:
 - a. The PI is responsible for reviewing reports and verifying expenditures and encumbrances are allowable, correct, and charged to the appropriate cost center
 - b. The PI is responsible for notifying the Director, Business Services of any errors
 - c. Watch for overspending. When expenditures exceed the total award and/or budget line allocation, the PI is responsible for working with the Director, Business Services to cover overruns
 - d. Watch for underspending – it may be a sign that expenses have been charged to an incorrect cost center, or that a personnel appointment has not been set up
8. Purchase of goods and services must comply with both [university policies](#) and the sponsor's regulations:
 - a. [Purchasing procedures](#) on grants are the same as for other university activities
 - b. The PI is responsible for ensuring that expenditures are allowable and adequately documented to show how they benefit completion of the project
 - c. Pay particular attention to WSU Business Office policies for expenditures such as [food and drinks, entertainment, gift cards](#), etc.
 - d. Sub-contracted services or tasks must have been shown in the funded proposal or in subsequent documented approval from the sponsor. G&SP and Finance & Administration will assist with sub-contract preparation, negotiation, and approval
 - e. Sub-contractors will submit invoices directly to the Director of Business Services
 - f. For consultants (independent contractors who supply services to the university), sponsors may require specific prior approval for each instance or may limit the rate paid or number of days retained
9. [Allowable costs on federal grants](#) are defined as:
 - a. Reasonable
 - b. Allocable to the project
 - c. Given consistent treatment by using generally accepted accounting principles
 - d. In conformance with limitations or exclusions set forth by the sponsor agreement or [OMB Circular A-21](#)
10. [University and state policies](#) apply to travel unless sponsor regulations are more restrictive:
 - a. Travel charged to the grant must directly benefit the project rather than enhance the reputation of university
 - b. In most cases, international travel requires written prior approval for each trip even if it was shown in the award budget. Federal sponsors usually require 60-90 days' notice.
 - c. For federally funded projects, keep in mind the [Fly America Act](#) which requires U.S. carrier service for all air travel and cargo transportation
11. Equipment purchases must have been itemized and approved in the funded proposal or in subsequent documented approval from the sponsor:
 - a. General purpose equipment – not limited to research, medical, scientific, or technical activities, such as office equipment, furnishings, computers, etc.
 - b. Special purpose equipment – used only for research, medical, scientific, or technical activities
 - c. Some sponsors may require specific prior approval for certain types of equipment or formal screening or bidding, even if the approved budget lists the equipment. The PI is responsible for obtaining such approval prior to submitting purchasing or payment requests.

12. Supplies, equipment, and services should be ordered, delivered, and put into use well in advance of the project termination date as sponsors may not consider the purchases to be of benefit to the project

2.4 Personnel Management

The PI is responsible for initiating hiring and payroll activities and supervision of project while complying with [university policies](#).

A Human Resources representative and Grants & Sponsored Projects Director are available to the PI for one-on-one training or discussions to outline hiring, personnel management, and payroll specific to the award.

1. Job classifications, salary, rates, fringe benefits, and personnel regulations on grants are the same as for all other employees and must follow bargaining unit master contracts
2. Salary costs should be shown on the project budget at the level of effort performed
3. Salary adjustments – including increases – must be consistent with university procedures (i.e., if a salary increase is not authorized university-wide, grant personnel will not receive increases even though grant funds may have been budgeted)
4. Actual fringe benefit costs are charged to the cost center and may vary from the budgeted amounts
5. Supplemental pay for full-time faculty members is generally restricted by federal sponsors; however, most bargaining units may be paid stipends on many non-federal grants
6. External funding may be used to supplement sabbatical leave compensation for IFO faculty members, so long as goals of grant activities align with sabbatical goals and pending approval by the dean of the sabbatical request; fringe benefits should be charged at the “summer” rate
7. For stipends, fringe benefits should be charged at the “summer” rate
8. Federal grants may require effort certification. All personnel who receive payment from such a sponsored project must certify that time spent on the project is proportionate to the amount paid. The Director, Business Services will forward time and effort reports and the PI is responsible for certifying that the actual effort level corresponds to the reported effort level, whether paid or contributed.

2.5 Property Management

Finance & Administration is responsible for the management, inventory, and audit of property, and tags university and sponsored property.

1. For federal grants, property is determined capital equipment if the unit cost is \$5,000 or more and has a life of more than one year
2. Minnesota State / university policy determines property to be capital equipment if the unit cost is \$10,000 or more and has a life of more than one year
3. Many sponsors require specific prior approval or formal screening or bidding on certain types of capital equipment even if it shows in the approved budget.
4. Property purchased with grant funds may be used only for the purpose for which it was intended and during the project period
5. Property ownership may vary depending on sponsor policies:
 - a. Federally owned – furnished by the federal government for use on a specific project; title remains vested in the federal government

- b. Exempt – acquired with federal funds with funding agency having the option to vest title in the recipient without further obligation to the federal government
 - c. Donated – given by an outside party; title is given to the university
 - d. Loaned – provided by an outside party for use on a project; title remains with owner
6. Sponsor owned property must not be integrated with university property

2.6 Intellectual Property

If marketable or patentable inventions or discoveries may be developed or are developed at any time through the project, contact Academic Affairs. Some agreements require an invention disclosure report within a defined timeframe, in addition to annual or end-of-project patents and inventions reports.

2.7 Project Reporting

1. The PI is responsible for preparing and submitting required periodic and final project reports. A copy should be forwarded to G&SP for retention in the project files.
2. The Director of Business Services is responsible for preparing and submitting financial reports, although the PI may be contacted with questions
3. Typically, sponsors notify the PI and G&SP of overdue reports. G&SP will forward the overdue notice directly to the PI, copying the Dean. Late or missing project reports may delay administrative actions (e.g., no cost extensions) and processing of funding increments or threaten future funding to the institution by the sponsor.

3 Award End / Closeout

3.1 No-cost Extensions

If the project period needs to be extended – without requesting additional funds – requests must be made to the sponsor well in advance of the termination date. Processes vary by sponsor and type of award.

Federal agencies may allow a one-time no-cost extension that can be approved by G&SP. Other sponsors may require a letter requesting the extension, a description of why more time is needed to complete the project, how much time is needed, and remaining funds and how they will be spent. G&SP can assist with the extension request and document preparation.

3.2 Project Termination

1. Grants & Sponsored Projects will notify the PI of project closeout at 90, 60, and 30 days prior to the specified project end date. It is up to the PI to follow recommended end-of-cycle steps and comply with sponsor guidelines regarding closeout procedures.
2. Begin closeout well prior to the project end date – stop spending at least 30 days prior to the end date so that payments clear before termination, be aware of personnel appointment dates, be aware of discrepancies between project dates and university fiscal year dates
3. The PI should arrange to move project personnel to another funding source or advise of pending layoff at least 30 days before the end of the project
4. The PI may need to terminate maintenance and service agreements, return leased equipment, or take other actions
5. Final progress and financial reports are usually due up to 90 days after the project end

3.3 Property Disposition

Contact G&SP for procedures for return or disposal of property. Prior approval from the sponsor may be necessary before disposal.

Provisions for Allowable Costs for Federally Funded Projects

[OMB Circular A-21, Cost Principles for Educational Institutions](#), identifies direct and indirect costs that may be charged to federal research grants and contracts. The following table provides an overview.

Cost Type	Allowable Direct Cost	Unallowable as Direct Cost
Advertising, public relations	Only if related to and necessary for project performance	Unallowable for promotional items, memorabilia, gifts
Advisory councils	Unallowable	Unallowable
Alcoholic beverages	Unallowable	Unallowable
Communications costs	Costs directly attributable to specific project	Unallowable for recurring line changes, network changes, local calls
Compensation – personal services	Salaries, wages, fringes of personnel who directly contribute to the project technical purpose	Unallowable for administrative, clerical staff
Compensation – fringe benefits	Costs are reasonable; required by law, entity-employee agreements, and established policies	Costs for entity provided automobile for personal use unallowable
Donations, contributions	Unallowable	Unallowable
Entertainment	Unallowable	Unallowable
Equipment, capital expenditures	Only for special purpose equipment used exclusively for research, scientific, or other technical activities. Unit cost of \$5,000 or more requires prior approval.	General purpose equipment costs unallowable (office, IT, printing, motor vehicle equipment) unallowable
Fines, penalties	Only when incurred as a result of compliance with specific federal award provisions	Unallowable
Fundraising	Unallowable	Unallowable

Goods, services for personal use	Unallowable	Unallowable
Housing, living expenses	Unallowable	Unallowable
Insurance, indemnification	If related to and necessary for project performance	Malpractice only if the research involves human subjects
Intellectual property	Only costs required by the federal award provisions, such as preparing disclosures, reports, application filing, counseling services	Costs not required by award provisions and foreign patent costs are not allowable
Lobbying	Unallowable	Unallowable
Losses on other awards	Unallowable	Unallowable
Maintenance, repair	As necessary to carry out the technical and scientific aspects of and if used for the project	Costs incurred for improvements which add to the permanent value of the building and equipment or appreciably prolong their life are treated as capital expenditures
Materials, supplies including computing devices	When necessary and used for the performance of the project	Routine office supplies, postage unallowable
Memberships, subscriptions, professional activities	Technical, professional organization costs generally allowable	Country club, social or dining club, lobbying organization costs unallowable
Meetings, conferences	When primary purpose is dissemination of technical information directly related to the project (travel, meals, facilities rental, speakers' fees, incidentals)	Entertainment costs unallowable
Pre-award costs	Only with prior approval from granting agency	Costs allowable only if they would have been allowable if incurred after award date
Professional services	Professional and consultant services from a particular profession or possessing a special skill	See OMB 200.459 (b-c) for compliance
Publication, printing	Costs must be identified with research project. Costs allowable for professional	Routine copying, postage unallowable

	journals if work is supported by federal government and charges are levied impartially on all papers published.	
Rearrangement, alteration of facilities	When incurred specifically for the project and with prior approval of agency	Ordinary rearrangement, alterations of facilities unallowable
Recruiting	When related to and necessary for the project	Color and excessively sized advertising unallowable
Rental of property, equipment	When incurred specifically for the project	Amounts paid for profit, management fees, taxes that would not have been incurred with a purchase unallowable
Royalties, cost for patents	When necessary for performance of the project	Unallowable when government has a license or right to free use, or when patent or copyright is invalid, expired, or unenforceable
Scholarship, student aid awards	Only when the purpose of the award is to provide training to participants, and charges approved by agency	Payments must be reasonable for work performed
Specialized services	Allowable when necessary for performance of project	Services must be charged applicable to project and cost based on actual use of services
Student activities	Unallowable	Unallowable
Termination costs	When costs would not have arisen had the sponsored agreement not been terminated	Costs continuing after termination due to failure of institution to discontinue costs are unallowable
Training, education	Employee development costs allowable	
Transportation (freight)	Costs for freight, express, cartage, postage, etc. when related to purchased goods specified for the projects	Routine, general costs unallowable
Travel	Costs for transportation, lodging, subsistence, related items for travel related to project	See OMB 200.474 for compliance

Determining Salary, Wages, and Fringe Benefits

Sponsored Project Personnel	Contract Basis	Salary Basis*	Fringe Basis**	Summer Fringe	Comments
IFO faculty	168 duty days / 9 mo.	Actual rate / duty day	Actual fringe / duty day	20%	224 maximum duty days per year; summer salary same as academic year
IFO faculty – new hire	168 duty days / 9 mo.	Comparable rank	40%	20%	224 maximum duty days; summer salary same as academic year
Adjunct faculty	Credit hour	\$1,645 / credit hr.	7.65%	7.65%	If 9 or more credits per semester, then full benefits (40% fringe)
Academic faculty, staff	12 mo. / 26 pay periods	Actual rate / pay period	Actual fringe / pay period	Actual fringe / pay period	Salary, fringe same in summer
Academic faculty, staff – new hire	12 mo. / 26 pay periods	Comparable classification	40%	40%	Salary, fringe same in summer
Graduate assistant – full time	Semester	\$5,000 / semester	7.65%	--	Must include tuition for 9 credit hr. / term in addition to salary
Graduate assistant – part-time	Semester	\$2,500 / semester	7.65%	--	Must include tuition for 4 credit hr. / term in addition to salary
Graduate assistant – full-time summer	Summer term	\$5,000 / summer term	--	7.65%	Must include tuition 9 credit hr. in addition to salary
Graduate assistant – part-time summer	Summer term	\$2,500 / summer term	--	7.65%	Must include tuition 4 credit hr. in addition to salary
Student employee	Hourly	\$10.59 / hour	7.65%	7.65%	May pay up to \$17 / hour; no more than 60 hrs. / 2-week pay period per semester and no more than 80 hrs. / 2 week pay period in summer
Work-study student	Hourly	\$10.59 / hour	--	--	May pay higher than minimum but maximum \$2,750 / academic year

*For multi-year proposals, include 2% salary increases for each year for faculty, adjunct faculty, and academic faculty and staff

**Fringes differ for each employee but may include health insurance, social security, unemployment compensation, workers' compensation, medical FICA, retirement, income continuation insurance, life insurance, severance allowance, tuition reimbursement.

Determining Indirect Costs

Facilities and Administration costs (F&A), also called indirect costs or overhead, are costs that are incurred by the institution for common or joint objects and therefore not easily attributable to a single project or activity. These costs include utilities, building maintenance and upkeep, administrative services such as accounting and human resources, technology support, etc.

Winona State grant proposals must request the full F&A rate available from the funding source. The federally negotiated F&A rate is negotiated between the university and its cognizant federal agency every five years.

The federally negotiated rate may be requested on grant proposals to federal agencies, unless otherwise specified. On proposals to state, local, corporate, and private sponsors when the federal rate is not in effect, use the university rate as specified by [Policy 3-7](#).

Indirect Rate Type	On-Campus (%)	Off-Campus* (%)	Basis
Federally negotiated	42.80	20.80	Direct salaries, wages, fringes**
University rate	10.00	10.00	Modified total direct costs (MTDC)***
<p>*Off-campus – activities performed in facilities not owned by the institution and to which rent is directly allocated to the project</p> <p>**Fringes – specifically identified to each employee and charged as direct costs; includes FICA, retirement, workers' compensation, unemployment insurance, health and dental insurance, disability insurance, life insurance, retirement, severance allowances, tuition remission</p> <p>***MTDC – salaries, wages, and fringes; materials and supplies; services; travel; publication costs; and the first \$25,000 of each subaward to other organizations)</p>			

Training and Registrations

Funding Agency or Type	Training to complete and document	Registrations	Agency-Specific Guidelines
USDE U.S. Dept. of Education	<i>Recommended:</i> CITI Conflicts of Interest CITI Responsible Conduct of Research	G5 Grants.gov	Some programs, lead institutions may require CITI Data Privacy training
HHS U.S. Dept. Health & Human Services	<i>Recommended:</i> CITI Conflicts of Interest CITI Responsible Conduct of Research	eRA Commons Grants.gov	ASSIST used for some submissions May require CITI Data Privacy, HIPAA Privacy Rule training
USDOJ U.S. Dept. of Justice	<i>Recommended:</i> CITI Conflicts of Interest CITI Responsible Conduct of Research	USDOJ Just Grants Grants.gov	Some programs may require specific training, certifications, agreements
NASA National Aeronautics & Space Administration	<i>Required:</i> CITI Conflicts of Interest CITI Responsible Conduct of Research	Grants.gov	Review Grant and Cooperative Agreement Manual (GCAM) for guidelines
NEH National Endowment for the Humanities	<i>Recommended:</i> CITI Conflicts of Interest CITI Responsible Conduct of Research	eGMS Grants.gov	
NIH National Institutes of Health	<i>Required:</i> WSU: CITI Conflicts of Interest NIH: FCOI tutorial	eRA Commons Grants.gov	NIH programs may have additional requirements, such as human subjects , animal care required training
NSF National Science Foundation	<i>Required:</i> CITI Conflicts of Interest CITI Responsible Conduct of Research	Research.gov Grants.gov	Review Proposal & Award Policies & Procedures Guide (PAPPG) for specific guidelines
Other U.S. Departments (USDA, Labor, Energy, etc.)	<i>Varies but recommended:</i> CITI Conflicts of Interest CITI Responsible Conduct of Research	Grants.gov Refer to agency specific guidelines	Refer to specific policies Review relevant OMB Uniform Guidance
Minnesota State agencies***	<i>Varies but recommended:</i> CITI Conflicts of Interest	Refer to agency specific guidelines	Review MN Department of Administration Grants Management Policies, Statutes, and Forms
Human subjects research	WSU Human Subjects Education Module	IRBNet	For faculty, graduate students recommend CITI Human Subjects Research
Animal subjects research	CITI Laboratory Animal Research IACUC Animal Care and Use Education Module (<i>student investigators</i>)	IRBNet	For faculty and staff, CITI species specific training required
G&SP maintains institutional registrations for submission, payment, and reporting systems such as Grants.gov, Research.gov, eRA Commons, and SAM			

Key Contacts

Name	Position	Phone	Website
Tyler Treptow-Bowman	Director, Grants & Sponsored Projects	5519	Grants & Sponsored Projects
Tanya Schamaun	Director, Business Services	5071	Grant Accounts
Beth Comero	Purchasing	5419	Business Office
Ashley Anderson	HR Business Partner	2706	Human Resources
Kaleb Pozanc	Travel	5073	Travel Office
Kaleb Pozanc	Student Payroll	5073	Student Employment
Amanda Brouwer	Chair, IRB	2593	IRB
Amy Runck	Chair, IACUC	5272	IACUC
Phil Sonnenberg	Finance Director, WSU Foundation	5518	WSU Foundation