THE OFFICE OF THE VICE PRESIDENT FOR RESEARCH

Research Handbook

https://home.hamptonu.edu/research/

HAMPTON UNIVERSITY

2026

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OVERVIEW

The *Research Handbook* is Hampton University's (HU) guide to policies and procedures governing research activities. It supports the University's research mission by providing clear direction to administrators, faculty and staff involved in proposal preparation and award administration.

The handbook assists both new and experienced investigators by explaining how to develop and manage sponsored projects, clarifying their responsibilities in research administration and compliance, and outlining the roles of university staff who support the research enterprise. It also provides information about policies, procedures, and other resources that promote the responsible conduct of research at HU.

Hampton University accepts full responsibility for adhering to sponsor requirements, terms of agreement, and all applicable regulatory obligations. Accordingly, the handbook defines responsibilities for the preparation, review, management, and reporting of sponsored programs. Specific guidance is included for principal investigators/project directors (PIs/PDs), department chairs, directors, deans, vice presidents, provost's office, and the office of the vice president for research.

DISCLAIMER: ***Every effort is made to ensure this handbook remains current. Readers should consult the embedded links throughout the document for the most up-to-date policies and procedures.***

MISSION STATEMENT

The Mission Statement 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 curricular 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 beginning 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, faculty are 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 society in a productive, useful manner.

VISION STATEMENT

Elevate Hampton University's standing as a premier R2 research institution and build a pathway towards future R1 designation by advancing leadership in cancer and health sciences; autonomous and classified systems; climate and energy innovation; and digital, AI, and emerging technologies, fostering collaboration that strengthens communities and informs global progress.

SECTION 1

INTRODUCTION

Hampton University aspires to lead among institutions of higher learning through excellence in research, innovation, and creative scholarship. As we strengthen our R2 foundation and advance toward achieving R1 distinction, Hampton will expand the boundaries of knowledge while preparing the next generation of leaders for our nation and the world. This section outlines the strategies that will position Hampton University to deliver the #1 Student Experience in America and emerge as a consistent, nationally recognized leader in research and innovation.

Aligned with Hampton's mission, the purpose of research is threefold: to generate and expand new knowledge, to foster student learning and development, and to share discoveries that benefit society. The Board of Trustees, the President, and senior leadership actively support the integration of research with teaching and learning, recognizing that research and creative activity are central to the University's mission. Research is weighted equally with teaching and professional service in considerations for promotion, tenure, and merit for faculty and staff. Accordingly, faculty and staff are encouraged to pursue external support and are expected to remain actively engaged in research, scholarly activity, and grantsmanship. Multiple offices and individuals share responsibility for processing proposals and for conducting and reporting sponsored projects once funded.

1.1 THE OFFICE OF THE VICE PRESIDENT FOR RESEARCH

The Office of the Vice President for Research (VPR) leads the coordination and enhancement of research across all schools and departments of the University. The office promotes Hampton's research capabilities, provides support and guidance for faculty and staff seeking or managing research projects, and oversees strategic planning for major research initiatives. Its mission is to promote and support research, scholarship, and creative activities; assist faculty and staff in securing internal and external support; advocate for the value of research in education; and strengthen campus-based research to enrich teaching, advance technology transfer, and serve the community.

The Office of the VPR manages units responsible for sponsored projects administration, grants management, Title III programs, research compliance, and interdisciplinary academic research centers. A complete listing of VPR staff can be found at: https://home.hamptonu.edu/research/.

1.2 OFFICE OF SPONSORED PROGRAMS

The Office of Sponsored Programs (OSP) is primarily responsible for pre-award activities that begin with proposal preparation and proceed through submission, award negotiation, acceptance and execution. OSP conducts quality and compliance reviews of all proposals submitted on behalf of the University. Sub-awards are also prepared and negotiated in this office. Additionally, OSP negotiates terms and facilitates execution of material transfer agreements, non-disclosure agreements and other contractual agreements related to research and sponsored programs. OSP serves as the administrative contact and liaison for all programs funded by external grants and contracts.

1.3 OFFICE OF GRANTS MANAGEMENT

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

The Office of Sponsored Programs and the Office of Grants Management work closely with the Business Office in the administration of research grants and contracts, and all externally funded public or private research projects.

Public sector refers to local, state and federal agencies. Private sector refers to individuals, organizations and foundations whose funding capabilities are based on personnel wealth and endowment assets.

SECTION 2

PRE-AWARD PROCESS

Hampton University utilizes Cayuse, a secure, web-based platform for the development, internal routing, and management of grant ad contract proposals. Cayuse supports the full lifecycle of sponsored projects, from initial proposal preparation through final closeout, while ensuring compliance with university, sponsor, and federal regulations.

All Principal Investigators (PIs) are required to create a proposal record in Cayuse for every proposal they intend to submit. This system ensures a structured and transparent review process and facilitates compliance with institutional policies and external sponsor requirements.

Proposal Routing and Institutional Approval Requirements

All sponsored project proposals must be routed through the Cayuse system for institutional review and approval prior to submission to the sponsor. This requirement applies to all proposal-related submissions associated with externally sponsored funding opportunities, including full proposals, Letters of Intent (LOIs), Letters of Commitment (LOCs), pre-applications, white papers, and other sponsor-required preliminary submissions.

LOIs, LOCs, and pre-applications that do not include a budget request, funding request, or binding institutional commitment are not required to undergo the University's full institutional approval process. However, the PI must still initiate and route the submission in Cayuse for review and approval by the Office of Sponsored Programs (OSP), Department Chair, and School Dean prior to submission to the sponsor.

Any LOI, LOC, pre-proposal, or preliminary submission that includes institutional commitments or representations on behalf of the University including but not limited to cost sharing, matching funds, space commitments, personnel commitments, compliance assurances, or other institutional obligations must complete the full institutional routing and approval process in Cayuse prior to submission.

When preparing and routing a full proposal following an LOI, LOC, or pre-application submission, the PI must use the same Cayuse proposal record number originally established for the preliminary submission to ensure continuity of institutional records, approvals, and proposal documentation.

NOTE: ***All sponsored project proposals must be routed through the Cayuse system for institutional review and approval.***

The Office of Sponsored Programs is the authorized office for submitting proposals to external funding agencies upon completion of institutional approval. If a sponsor requires direct submission by the PI, the proposal must still be approved in Cayuse, and OSP will provide authorization to submit.

Proposals submitted without prior approval are not considered official Hampton University submissions, lack institutional endorsement, and will not be accepted or processed retroactively by OSP.

Compliance with this policy is required to ensure institutional authorization and adherence to university and sponsor requirements.

2.1 REQUEST TO APPLY FOR A GRANT/CONTRACT VIA CAYUSE

2.1.1 INSTRUCTIONS FOR CREATING A PROPOSAL RECORD IN CAYUSE

1. The link to Cayuse can be accessed from the OSP landing page.
2. Log into Cayuse by using your InfoTech credentials.
3. In the upper right-hand corner, click on Products.
4. From the Products dropdown menu, select Sponsored Products.
5. Click on Start New Proposal.
6. Choose the option to create a New Project.
7. Enter a title for your project (it does not need to be the final proposal title) and click on Create New Project.
8. Complete the required sections of the proposal record (the fields marked with a red asterisk must be filled out).
9. Upload the following supporting documents as applicable:
    - Agency guidelines
    - Full proposal
    - Budget and budget justification
    - Curriculum Vitae (CV) or Autobiographical Sketch
    - Current & Pending Support
    - Letters of Support or Commitment
10. The proposal record is complete when all sections (listed in the left margin) display a green check mark.
11. Once all of sections are marked with a green check mark, click Route for Review.
12. Click on Certify Proposal.
13. Review the certification information and click Confirm my Certification.
14. Click Certify to confirm that all proposal information is accurate and complete.

2.1.2 INSTRUCTIONS FOR APPROVING A PROPOSAL RECORD IN CAYUSE

Approvers will receive an email from Cayuse containing a link to the specific proposal record they need to review. Click the link in the email to be directed to the Cayuse login page. Enter your Hampton University credentials (username and password).

Alternatively, approvers can log into Cayuse directly and navigate to the **My Tasks** section to find pending approvals. The Cayuse link is available on the OSP website under the **Cayuse** tab.

Reviewing the Proposal Record

1. Open the proposal record you need to approve.

2. Review each of the following proposal sections (located on the left side of the screen):
   - General Information
   - Key Personnel
   - Summary Budget
   - Performance Sites
   - Export Control
   - Foreign Support & Collaboration
   - Intellectual Property
   - Conflicts of Interest
   - Additional Information
3. Review all attached documents, such as the proposal, budget, budget justification, and other relevant documents.

Approving or Returning the Proposal

When approving proposals in Cayuse, there will be two options: **Approve or Return to 'In Development'**.

- **Approve**: If the proposal is satisfactory, click on the **Complete Review** and then select **Approve**. This will complete the task and forward the proposal to the next reviewer.
- **Return to Development**: If revisions are needed, select **Return to Development**. This will stop the routing process and reopen the proposal for editing.
- Click **Save** to complete the task.

NOTE: ***Any comments entered in the comment section will be visible to the PI. When you click on the Routing Tab, you will see the next person in the approval chain***.

2.1.3 CAYUSE ROUTING AND UNIVERSITY APPROVAL PROCESS

After the proposal record is certified by the PI/PD, Cayuse automatically routes it for institutional review and approval as follows:

1. **OSP Review** – Ensures compliance with sponsor and University guidelines.
2. **Department Chair and Dean** – Confirms academic and budgetary alignment.
3. **Provost** – Reviews alignment with academic and research priorities.
4. **Chief Financial Officer (CFO)** – Verifies financial soundness of the proposal.
5. **Vice President for Technology** – Reviews technology-related purchases.
6. **Vice President for Advancement & External Engagement** – Reviews proposals submitted to foundations or individual donors.
7. **University President** – Grants final institutional approval.
8. Once all reviews are complete, **OSP will submit** the proposal to the funding agency and notify the PI.

NOTE: ***OSP cannot submit a proposal without all required institutional approvals.***

2.2 10-BUSINESS DAY POLICY

The proposal and supporting documents should be routed in advance to allow sufficient time for thorough review. OSP requires 10 business days to process proposals, obtain necessary university approvals, and ensure timely submission to the funding agency. Please also note that department chairs and deans may have their own review and approval deadlines.

The 10-business day timeline allows OSP to review proposals, meet with PIs for discussions, revisions, and updates, and route proposals and budgets for approval in Cayuse.

2.3 30-DAY NOTIFICATION POLICY FOR PROPOSALS WITH AGENCY LIMITS

Some grant guidelines include specific limitations that impact institutional eligibility, such as:

- Limit on the Number of Proposals per institution – Some funding agencies restrict the number of proposals that can be submitted from a single institution.
- Limit on the Number of PIs/PDs per institution – Certain opportunities limit the number of PIs/PDs that can be named on proposals from the same institution.

To ensure compliance with these limitations, PIs/PDs must notify OSP at least **30 days before** the proposal submission deadline to confirm eligibility to submit to the funding agency. Failure to notify OSP within the required timeframe may result in missed opportunities if the university is already at its submission limit.

NOTE: ***PIs are encouraged to email the budget (using the*** OSP Budget Template***) and budget justification to OSP in advance for review.***

Early Submissions

Early submissions are strongly encouraged. Submitting proposals early helps to the following:

- Prevent last-minute delays
- Allow time for corrections
- Increase likelihood of successful submission

Late Submissions

Proposals that are not routed through Cayuse by the established internal deadline may not be reviewed, approved, or submitted by OSP. In such cases, the PI/PD may bear responsibility for any delays, which may lead to the following:

- Missed submission deadlines
- Lack of university approvals
- Proposal errors or rejections

Importance of Adherence to Deadlines

Adherence to submission deadlines and processes ensures the following:

- Proposals are reviewed thoroughly for compliance with sponsor guidelines
- Required university approvals are secured
- Proposals are submitted to the funding agency in a timely manner

NOTE: ***Proposals with submission deadlines that fall during university holiday breaks or weekends must still complete the full university review and approval process via Cayuse. In such cases, proposals must be fully approved and submitted by Sponsored Programs to the funding agency prior to the university closing for the holiday period or weekend.***

<u>**Proposal Submission Process**</u>

1. **PI Responsibilities**
   The PI is responsible for completing the Cayuse proposal and submitting it. Once submitted, the "Certify" button will become available. The PI must then certify the proposal in Cayuse.

2. **Routing to OSP**
   After certification, the proposal will automatically route to OSP. OSP staff will review the submission to ensure it complies with both university and sponsor guidelines and will work with the PI to prepare the proposal for timely submission.

3. **OSP Review and Approval**
   Once OSP has completed its review and made any necessary edits, the proposal will be approved within the Cayuse system and routed for institutional review and approval.

4. **Institutional Review and Approvals**
   The proposal may require sequential approval from the following university offices or individuals, depending on the nature of the submission:
   1) Department Chair
   2) Office of Advancement and External Engagement (for proposals submitted to foundations, private corporations, or individuals)
   3) Vice President for Information Technology
   4) Dean/Budget Executive
   5) Executive Vice President (EVP) and Provost
   6) Senior Vice President for Business Operations and Finance
   7) President

Each reviewer is responsible for ensuring the proposal aligns with his/her respective unit's priorities and compliance requirements.

Upon submission to the agency, the PI will receive submission notice. OSP will upload a copy of the final proposal and email confirmation to the PI's CAYUSE proposal record.

2.4 PROPOSAL PREPARATION

2.4.1 PROPOSAL ELIGIBILITY GUIDELINES

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 (that is 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 exist
- receipt of funds is subject to specific terms, conditions or obligations

NOTE: ***Requests for external funding that do not include these characteristics may be considered gifts and should be submitted through the Office of Advancement and External Engagement. Gifts are unrestricted funds provided to the university without specific terms, conditions, or obligation.***

2.4.2 PROPOSAL PREPARATION GUIDELINES

All 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, and businesses *via* agency websites. Included in these guidelines are such things as follows:

- Submission deadline
- Approximate number of awards to be made in that cycle
- Total funding and funds available for individual awards
- Eligible institutions and applicants
- Program priorities
- Review/selection criteria
- Required proposal components
- Submission procedures (online submission, mailing/delivery information)
- Agency and/or program point(s) of contact

2.4.3 THE BASIC STEPS TO FOLLOW IN DEVELOPING A PROPOSAL

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

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 (OSP). All persons who develop proposals are encouraged to include **student support, 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 or if the funding agency has specific guidelines for the indirect cost rate. Contact the Office of Sponsored Programs for additional details.

NOTE: ***All University related information is provided on the fact sheet (***Appendix A***).***

2.4.4 INTERPRETATION OF PROPOSAL APPROVALS

The role of each approver is interpreted as follows:

Director of Office of Sponsored Programs (OSP)
Has reviewed the proposal for compliance and the proposed budget for accuracy. The Director certifies that the proposal is in accordance with university policies and the funding agency guidelines.

NOTE: ***The Director for OSP is the ONLY authorized representative who can submit proposals on behalf of Hampton University.***

Department Chair/Supervisor
Has read the proposal and approves its content related to faculty/staff/student involvement, release time, space requirements, cost share, and other anticipated project costs. The Chair/Supervisor attests to compliance with university policy and the availability of resources for the project.

School Dean/Budget Executive
Has read the proposal and approves its content attesting to compliance with university policy. Furthermore, the Dean/Budget Executive ensures that any concerns related to the proposal 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 approval via Cayuse.

Vice President for Information Technology
Has reviewed the proposal and certifies that the proposed equipment and/or technology is acceptable and compatible with existing and strategic capabilities.

NOTE: ***Applicable only if there are technological needs in the grant.***

Executive Vice President and Provost
Certifies the appropriateness of the proposal as it relates to the University's policies and procedures.

Vice President for Advancement and External Engagement
Has reviewed the proposal and certifies that the proposal addresses the guidelines of the private sponsoring agency or individual and relevant university policies. The VP for Advancement and External Engagement may deny the request if there is an overlap with another proposal to the same foundation.

NOTE: ***Applicable only if the funding source comes from a foundation, corporation or individual.***

Senior Vice President for Business Operations and Finance
Has examined the proposed budget for accuracy and certifies that it is in accordance with university fiscal policies.

President
Has reviewed the proposal and certifies that it relates to the University's policies and procedures and aligns with the University's strategic plan.

2.4.5 GENERAL 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. This concept ensures the proposal is concise, comprehensive, and well structured. Such a document should include the following components:

Abstract
The abstract is a concise statement of the full proposal and must highlight the key concepts. Reviewers will read the abstract first to gain a perspective of the proposal and its expected significance or use it as a reference during discussions with other readers.

The abstract should clearly delineate the following:

- Need (importance, relevance of the proposed idea)
- Objectives (realistic, quantifiable)
- Methodology/Procedures (should match the objectives)
- Significance/Impact (relevance to other disciplines and broader applicability)
- Available resources and personnel

Table of Contents
The Table of Contents should list all the major topics of the proposal, including appendices; however, it is typically not required for brief proposals (up to 5 pages). On most submission websites, the table of contents will auto-populate and does not have to be created.

Problem Statement/Rationale/Need
This section should include a well-documented and realistic description of the problem and the proposed solution(s). If applicable, include relevant statistical data to support your assessment of the problem. Include statements for the current need of the proposed idea and ensure that the project does not duplicate an existing program.

Objectives
This section should clearly state what you intend to accomplish. Objective statements should focus on the end goals to be achieved rather than on the methods. Whenever possible, objectives should be stated in quantifiable terms.

Methodology
This section should fully describe the methods 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 hazardous materials, animals and/or human subjects

requires certain approvals and safeguards. Please refer to the Policies and Procedures section in this Handbook for detailed information on research compliance.

Evaluation Plan

The evaluation plan represents an essential element of any proposal. It is based on project outcomes and includes alternate plans for success. Typically, an internal and/or external evaluator is identified in the proposal who periodically assesses the needed changes or adjustments in the proposed study. 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. External evaluators are paid as consultants when the grant is awarded.

Autobiographical Sketch

An autobiographical sketch (bio-sketch) or curriculum vitae (CV) should be included with all proposals in accordance with agency-specific guidelines. The bio-sketch should document the PI's educational background, training and expertise.

Typical components include the following:

- Professional Preparation
  - Degrees Earned (including dates earned and academic institutions)
  - Specialized Training
- Appointments
- Publications
- Presentations

Budget and Budget Justification

The PI must allocate the funds appropriately and submit budget documents along with budget justification to the OSP for review.

Primary budget categories will often include the following:

- The PI is responsible for preparing the budget using the OSP Budget Template, which includes built-in formulas for calculating fringe benefits, indirect costs (IDC), and other required budget details. The OSP Budget Template also includes Banner line-item numbers and names, which are essential for the university's financial tracking system.
- The PI must allocate funds appropriately and upload the OSP Budget Template and budget justification to the proposal record in Cayuse for OSP review. OSP will work with the PI/PD to verify that funds are allocated to the correct budget line, review the budget for accuracy, and make recommendations as needed to ensure compliance with university policies and sponsor requirements.

NOTE: ***The OSP Budget Template is intended solely for internal use and should not be included in the final proposal submission to the sponsor.***

2.5 PRIMARY BUDGET CATEGORIES

When preparing a proposal budget, the following primary budget categories should be considered:

Personnel (Salaries and Wages)
Personnel costs may be allocated on a full-time or part-time basis. If less than full-time, particularly for the Principal Investigator (PI) or Project Director, clearly indicate the percentage of full-time effort and the corresponding salary base. Future year salaries may be budgeted with estimated annual increases of up to **3%**, subject to university policies and approval.

Student Support
Student financial support may be achieved in the following five categories:

- Graduate stipends
- Fellowships
- Tuition assistance
- Undergraduate wages
- Scholarships

Research proposals are generally expected to include student support unless the sponsor prohibits it. All student support must comply with the University's **Student Pay/Stipend from External Funds Policy**.

Fringe Benefits
Fringe benefits must be included as a direct cost for all salaried personnel (excluding student support). The University applies a federally negotiated fringe benefit rate, updated periodically, to all eligible salary expenses. This rate is required in all proposals.

Travel
Travel covers expenses for transportation, lodging, meals, and related costs (e.g., tolls, parking). Budgets must distinguish between **domestic and foreign travel**, with clear justifications provided. All travel costs must comply with the University's **Travel Policy for Sponsored Projects**.

Equipment
Equipment is defined as items costing $5,000 or more per unit and having a useful life of more than two years. Confirm sponsor-specific rules regarding allowable equipment purchases before budgeting.

Alterations and Renovations
Alterations and Renovations include modifications to existing facilities to support programmatic requirements. Costs in this category are typically allowable only under specific sponsor guidelines.

Other Direct Costs
Other direct costs include the following items:

- Consumable lab supplies and office materials

- Software and computers under $5,000
- Shipping and handling
- Communications (e.g., postage)
- Library acquisitions, memberships
- Consultant services (if not separately categorized by sponsor) Consultant costs must be detailed, including the fee basis and justification. (Refer to Section 2.7)

Subcontracts (Sub-Awards)

If the proposal involves a sub-award, then the following requirements are needed:

- Subrecipient's Statement of Work,
- Detailed budget, and
- A completed Hampton University Subrecipient Form

NOTE: ***The Hampton University Subrecipient Form is sent by the OSP to the subrecipient institution to be signed by an authorized official and ensures the subrecipient complies with applicable regulations and documentation requirements.***

Indirect Costs (IDC)

Indirect Costs cover general support services not directly tied to a specific project (e.g., library, utilities, building and equipment maintenance, general administration). Indirect costs must be applied unless the sponsor has specific restrictions and prior University approval is obtained. The University maintains a negotiated Indirect Cost Rate Agreement with the U.S. Department of Health and Human Services (DHHS). Indirect costs are calculated using Modified Total Direct Costs (MTDC)**,** which include salaries, wages, fringe benefits, consulting, materials and supplies, travel, and the first $25,000 of each sub-award.

Modified Total Direct Cost (MTDC) excludes the following:

- Capital expenditures (e.g., buildings, equipment over $5,000)
- Alterations and renovations
- Tuition and student support (e.g., scholarships, stipends)
- Participant support costs
- Sub-award amounts exceeding $25,000

The current IDC rate is posted on the OSP webpage under the Resources tab. If seeking an exception to the standard IDC rate, then email a categorical budget estimate**,** a written justification and the agency RFP reflecting the IDC rate to OSP. OSP will then request the President's review/approval of the exception to the current university IDC rate. No additional justification is required when applying to these agencies. For questions, please contact OSP.

Matching Funds/Cost Share

Matching funds or cost share are required only when specified by the sponsoring agency. These are project-related costs not covered by the sponsor but necessary for the execution of the project or attainment of its research objectives. Common sources include University funds, third-party contributions, or other non-federal support. All cost share commitments must be approved by the following University officials:

- Department Chair

- Dean/Budget Executive
- Executive Vice President and Provost

Third-party contributions must be documented with a letter of commitment signed by an individual authorized to contractually obligate the contributing organization.

The Principal Investigator/Project Director (PI/PD) is responsible for ensuring all required documentation for matching funds or cost share is collected and submitted.

Per OMB Uniform Guidance 2 CFR §200.306, cost share contributions must meet the following criteria:

- Verifiable from the non-federal entity's records
- Not counted toward any other federal award
- Necessary and reasonable to achieve project goals
- Allowable under federal cost principles (Subpart E of 2 CFR 200)
- Not funded by another federal award, unless expressly permitted by statute
- Included in the approved budget, if required by the federal agency
- Compliant with all other applicable federal regulations

Compliance/Assurance Forms

Many proposals require the inclusion of federal compliance assurances due to statutory or regulatory mandates. These federal compliance assurances typically include, but are not limited to the following:

- Drug-Free Workplace
- Lobbying Restrictions
- Anti-Discrimination Assurances
- Debarment and Suspension Certifications

These assurances must be signed exclusively by the University's Senior Vice President for Business Operations and Finance (SVP). No other faculty, staff, or administrators are authorized to sign these documents. PIs/PDs must notify the Office of Sponsored Programs (OSP) of any required assurances during the proposal development phase. OSP will coordinate the preparation and routing of these documents and obtain the appropriate institutional signature.

2.6 BUDGET JUSTIFICATION

General Rules for Drafting a Budget Justification

The budget justification is a critical component of your proposal. It explains the rationale for each item in your budget and ensures reviewers understand how requested funds will support the project. Key rules and best practices when preparing a budget justification are as follows:

- Match the Budget Line Items
    - Structure the justification to mirror the order and categories in your budget (e.g., Personnel, Travel, Materials and Supplies). This makes it easier for reviewers to cross-reference.

- Be Specific and Justify the Cost
  - Clearly explain what each cost is, why it is needed, and how it supports the goals of the project. Avoid vague language.
- Use Quantitative Detail When Possible
  - Include units, rates, quantities, and timeframes. Example: *"One graduate research assistant will work 20 hours per week for 12 months at $25/hour, totaling $26,000."*
- Align with Sponsor Guidelines
  - Carefully review sponsor requirements and formatting instructions. Some sponsors require specific language or structure.
- Avoid Unallowable Costs
  - Do not include items typically disallowed by federal or sponsor policy, such as alcohol, entertainment, or contingency funds. Refer to Uniform Guidance and sponsor-specific terms.
- Explain Cost-Sharing (if applicable)
  - If the proposal includes cost-sharing or matching funds, clearly describe what costs are being shared and the source of those funds.
- Use Consistent Terminology
  - Use the same terms for personnel roles and budget items throughout the proposal. For instance, if you refer to a "Research Assistant" in the budget, do not call them a "graduate student" in the justification.
- Keep the Tone Professional and Clear
  - Avoid jargon and overly technical descriptions. Write in a formal, third-person tone that is easily understandable by reviewers.
- Include Institutional Rates (if applicable)
  - Justify fringe benefits, indirect costs, and tuition using Hampton University's or sponsor-approved rates. Indicate the basis for these rates, such as a federally negotiated indirect cost rate agreement.
- Justify Only What You Are Requesting
  - Only include and explain those costs for which funding is requested. Do not list items that are not part of the actual budget request.

<u>Travel Expenses</u>

When justifying travel costs, clearly connect each trip to the project's goals or dissemination activities. Provide a detailed breakdown of estimated expenses, including:

- Purpose of Travel: Explain why travel is necessary and how it benefits the project (e.g., attending a conference to present findings, visiting a research site, collaborating with project partners).
- Traveler(s): Identify who will be traveling (e.g., PI, Co-PI, student assistant) and their role in the project.
- Destination: Specify the location of the trip (city, state, or country).
- Timing: Indicate when the trip is expected to occur.
- Itemized Costs: Break down travel costs into components such as:
  - Airfare (based on current rates or historical averages)
  - Lodging (number of nights × rate per night)
  - Per Diem (meals and incidental expenses, using federal rates).

- Per Diem rates vary based on the travel destination: These rates reflect the average cost of meals and incidental expenses in each location. When preparing your travel justification, be sure to use the appropriate rate for the specific city and state (or country) where the travel will occur.
    - Ground transportation (e.g., mileage, car rental, local transit, gas, parking fees)
    - Conference registration fees (if applicable)
    - Ensure that the travel costs or expenses align with Hampton University travel policies and sponsor requirements.

Personnel Expenses

Personnel costs often make up the largest portion of a research budget. Justify personnel expenses as follows:

- Identify Roles: List the title and role of each person on the project (e.g., Principal Investigator, Postdoctoral Researcher, and Graduate Assistant).
- Justify Effort and Rate: Provide the percentage of effort or number of hours and the corresponding salary or hourly rate. Explain why this level of effort is needed. Following these rules will help ensure that your budget justification is clear, compliant, and aligned with sponsor requirements.

Salary Support

Salary support means using grant funds to pay part of either a faculty/staff member or an administrator's salary for the time spent working on the project. If the grant covers effort during the academic year, then the faculty member's salary is paid through normal payroll. If the summer salary is requested for a 9-month faculty member, then compensation is provided separately during the summer. In contrast, Release Time reimburses the institution for reducing the faculty member's regular duties (such as teaching), with funds directed to the institution rather than directly to the individual.

Summer Salary Calculation Example (with Fringe benefit rate of 23.11%)

Description	Calculation	Amount
9 - month academic salary	–	$90,000
Monthly salary rate	$90,000 ÷ 9	$10,000
Summer salary for 2 months	$10,000 × 2	$20,000
Fringe benefit rate	23.11% of $20,000	$4,622
Total cost to grant (salary + fringe)	$20,000 + $4,622	**$24,622**

Release Time

Budgeting Release Time for faculty on a grant involves allocating funds to cover a portion of their salary, allowing them to reduce teaching or administrative duties and dedicate time to the grant project. This cost is typically calculated based on the percentage of effort the faculty member will contribute to the project and must align with the PI's salary for that period and institutional salary policies.

NOTE: ***Approval must be obtained by the PI's chair, school dean, and Executive VP and Provost.***

Release Time Calculation Example at 25% effort (and 23.11% fringe benefit rate)

Description	Calculation	Amount
Annual academic salary	–	$90,000
Release time percentage	25% of $90,000	$22,500
Fringe benefit rate	23.11% of $22,500	$5,200
Total cost to grant (salary + fringe)	$22,500 + $5,200	**$27,700**

Student Stipends vs. Student Wages: Understanding the Difference

It is essential that Principal Investigators (PIs) understand the appropriate use of student stipends and student wages when budgeting and managing sponsored projects. The distinction impacts compliance with federal regulations, tax treatment, and payroll processing.

Student Wages (Employee Compensation)

Definition: Student wages are payments made to students in exchange for work or services performed. These payments are treated as employee compensation and are subject to timekeeping, supervision, and applicable payroll taxes.

Appropriate Use:

- Students are hired to perform specific tasks or services that benefit the grant or department.
- The student has an employment relationship with the university (e.g., research assistant, lab technician, clerical support).
- Time and effort are tracked (e.g., hourly timecards or reports).
- Payment is processed through the payroll system.
- Subject to FICA and tax withholdings (depending on enrollment status).

Examples:

- A student was hired to run laboratory experiments for a faculty research project.
- A student transcribing interviews for a qualitative research study.

Student Stipends (Non-Service Payments)

Definition: Stipends are payments to students for training or education-related support, without the expectation of work or services in return. These are not wages and are typically provided to support the student's participation in a fellowship or training program.

Appropriate Use:

- The student is not required to perform specific work or services.
- The purpose is to support the student's education, training, or development.
- The program is a fellowship, scholarship, or traineeship.
- Payment is processed as a stipend, not through payroll.
- Not subject to FICA but may have tax implications for the student.

Examples:

- A student participating in an NSF REU (Research Experiences for Undergraduates) program.
- A graduate student receiving a stipend as part of a training grant.

Key differences:

Feature	Student Wages	Student Stipends
Work required	Yes (services performed)	No (support for training/education)
Payment type	Hourly or salaried via payroll	Fixed amount, not through payroll
Time tracking	Required	Not required
Tax withholdings	Yes (as applicable)	No FICA; may still be taxable income
Appropriate for	Assistants, hourly workers	Fellowships, traineeships, educational support
Reporting	Time & effort reporting required	May require reporting to funding agency

General Guidelines for Principal Investigators

- When budgeting for student compensation on a federal grant, consult the program announcement and sponsor guidelines to determine whether stipends are allowed.
- Use student wages if the student is performing work or services for the benefit of the project.
- Use stipends if the intent is to support the student's participation in a training or educational program without work expectations.
- All student compensation must be properly documented and aligned with university policies, federal guidelines (e.g., Uniform Guidance 2 CFR §200.430 and §200.466), and sponsor requirements.

2.7 CONSULTANT FEES AND INSTITUTIONAL POLICY

Definition of a Consultant

A *consultant* is an individual who provides expert advice, services, or specialized work in a clearly defined area for a fee. Consultants are typically not employees of the institution and are engaged for services not readily available within the institution.

Restrictions

There is a restriction for paying Faculty/Staff as Consultants on Federal Grants outlined as follows:

Per federal regulations and institutional policy, faculty and staff of the university may not be paid as consultants on sponsored projects funded by the federal government. This is based on the Uniform Guidance issued by the Office of Management and Budget (OMB) under 2 CFR § 200.430 and § 200.459, which outlines allowable compensation and restrictions.

Key Points

- Internal personnel (including faculty, staff, and students) must be compensated through their regular payroll, and any additional compensation (e.g., summer salary) must follow Hampton University policies and sponsor guidelines.
- Consultant fees are reserved for external individuals who are not employed by the university and who have no responsibilities within the university related to the project.
- If a faculty or staff member provides services to a grant project, then they should be compensated through appropriate salary allocations or cost sharing - not as a consultant.
- Using Hampton University personnel as consultants on federal grants is considered a conflict of interest and may be viewed as double dipping or an unallowable cost.

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 they represent. 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.

NOTE: ***All proposals submitted on behalf of the University must be signed by the President.***

NOTE: ***Please refer to the university fact sheet (Appendix A) for general university information commonly required for proposal submissions, particularly information typically requested on funding agency proposal cover sheets.***

SECTION 3

THE AWARD PROCESS

3.1 SPONSOR COMMUNICATION AND AWARD NEGOTIATION

The Office of Sponsored Programs (OSP) serves as the official liaison between external funding agencies and the University. In coordination with the Office of General Counsel, OSP is responsible for reviewing and negotiating all terms and conditions associated with externally funded projects. This ensures that both the University's interests and the rights of the Principal Investigator/Project Director (PI/PD) are fully protected.

If a funding agency recommends an award at an amount lower than originally proposed, the PI/PD may be contacted to revise the proposal narrative and/or budget. In such cases, the PI/PD must immediately notify OSP for guidance in revising the proposal and developing an adjusted budget.

NOTE: ***The PI/PD may not independently communicate official responses related to budget or financial terms to the funding agency. All such responses must be prepared in consultation with OSP and submitted to the agency through OSP to ensure compliance with university policy and sponsor requirements.***

If the PI receives the award notice directly from the funding agency, it must be forwarded immediately to OSP so that OSP may formally accept the award on behalf of the University and process the notice internally.

3.2 NOTICE OF AWARD

An award document is the official notification from a funding agency confirming the approval and allocation of funds to support a sponsored project. It is issued by an authorized representative of the sponsor and serves as the legal basis for initiating the project.

The award document typically includes the following key information:

- Award Number assigned by the funding agency
- Project Title and a description or Statement of Work
- Total Award Amount
- Name of the Principal Investigator/Project Director (PI/PD)
- Name of the Program/Technical Officer at the sponsoring agency
- Name of the Grant/Fiscal Officer responsible for financial oversight
- Period of Performance, including start and end dates
- Applicable Terms and Conditions governing the award
- Reporting Requirements, including financial and technical reports

This document governs the execution of the award and must be reviewed thoroughly. OSP will retain the official copy and assist the PI/PD in understanding and fulfilling all award obligations.

3.3 AWARD ACKNOWLEDGEMENT & ACCEPTANCE

When the Office of Sponsored Programs (OSP) receives an award notice from a funding agency, it conducts a thorough review to ensure that the terms and conditions are acceptable to the University. If revisions or negotiations are needed, OSP will consult with the Office of General Counsel and engage the sponsor until all terms are mutually agreed upon.

Before accepting the award on behalf of the institution, OSP will confirm the Principal Investigator's (PI/PD's) acceptance of the award in relation to the project scope, deliverables, and obligations.

3.4 ACCOUNT SETUP AND BUDGET CONFIRMATION

Once the award is approved, the following actions occur:

- OSP works with the PI to finalize documentation needed to establish a Banner account through Grants Management and the Business Office.
- If the award is fully funded, the PI/PD must sign a Hampton University (HU) budget template reflecting the full proposal budget.
- If the award is incrementally funded, the PI/PD will be required to allocate funds according to the proposed budget for that funding period and submit a signed HU budget template reflecting those allocations.

The signed HU budget template signifies the PI/PD's following agreement:

- The terms and conditions of the award
- The final budget allocation
- All reporting and administrative requirements

This document serves as the official budget confirmation for Banner posting.

3.5 AUTHORIZED SIGNATURE ON AWARD NOTICES

If the award notice requires an institutional signature, then OSP will coordinate with one of the University's authorized contracting officers, either the President or the Senior Vice President (SVP) for Business Operations and Finance. These are the only officials with legal authority to obligate the University.

NOTE: ***If a PI/PD receives an award notice directly from a sponsor, then it must be immediately forwarded to the Director of Sponsored Programs. PIs/PDs are not authorized to sign award documents on behalf of the University.***

After the legal award execution, OSP will distribute copies of the fully approved award documentation to the following offices:

- The PI/PD
- The Director of Grants Management (Office of the Vice President for Research)
- The Grants and Contracts unit (Business Office)

3.6 CONTACT WITH FUNDING AGENCIES

Once a grant has been awarded, PIs may not contact funding agencies on matters pertaining to budgets without written approval from the General Counsel. 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.

3.7 PROCEDURES FOR REVISING A GRANT OR CONTRACT

If revisions are needed to an existing grant or contract, the PI/PD must complete a Request to Revise a Grant/Contract Form (Appendix B), available on the OSP website. Typical revision requests include the following:

- Change of PI/PD
- Addition or removal of key personnel
- Budget reallocation or modification
- Change in the performance period
- Request for a No-Cost Extension (NCE)

All revision requests must be routed for signature approval by the following individuals, as applicable:

- PI/PD
- Department Chair
- Dean/Budget Executive
- Vice President for Information Technology (if technology-related changes are involved)
- Executive Vice President and Provost
- Director of Sponsored Programs
- Deputy Chief Financial Officer

A No-Cost Extension should only be requested when additional time is necessary to complete project activities. Extensions may not be requested solely to spend unexpended funds. A clear justification must be provided, outlining the specific tasks or objectives to be completed during the extension period.

Once all internal approvals have been obtained, OSP will formally submit the revision request or extension to the funding agency on behalf of the University.

3.8 THE UNSUCCESSFUL PROPOSAL

Most federal 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 because of the review process. Often a copy of the reviewers' comments/scores is provided upon request. The National Institutes of Health offers the following reasons why some research proposals are not funded:

Inappropriate or Unclear Research Goals

- 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.

Deficient Study Design

- 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.

Inappropriate Staff, Time or Budget

- 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.

Problems with 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.

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.

SECTION 4

POST AWARD PROCESS

Upon receipt of the HU budget form from the OSP, the Director of Grants Management reviews the grant budget, assigns a University Account Number identifying the award, and provides award documentation to the Grants and Contracts Office (GCO) in the Business Office. The GCO Supervisor creates a Banner account for the award grant to facilitate both purchasing and accounting transaction and provides the Banner account information to the Director of Grants Management. Once the Banner account has been established, the PI will receive a copy of the budget and the assigned Banner account numbers to facilitate financial management of the projects. After the PI receives a copy of the Banner account numbers, the PI needs to obtain Banner training and approval to access their grant budget in Banner.

4.1 BANNER TRAINING AND APPROVAL

Access to Banner is crucial to the PI's ability to financially manage their grant project. To obtain Banner training and access, the PI is required to do the following:

- E-mail Banner Jobs at BANNERJOBS@HAMPTONU.EDU to request the Banner training form.
- Once the PI receives the Banner training form, the PI must complete the form with the appropriate signatures along with the grant index and fund numbers needed for Banner access.
- After the completion of the Banner training form, the form is emailed to the OGM Director for approval.
- Within 24-48 hours of receiving Banner approval, the PI/PD should be able to access their grant in Banner.

NOTE: ***The OGM Director submits the approved Banner training form to Banner Jobs.***

4.2 GRANT PAYMENTS

The PI can use the grant funds for all expenses included in the budget narrative. A few examples are:

- Order supplies
- Order equipment (office and computer)
- Pay faculty/staff grant employees
- Pay consultants
- Pay student stipends/wages
- Travel (domestic and/or international, if grant permits international travel)
- Subaward/Subrecipients

4.3 BUDGET TRANSFERS

A budget transfer is the reallocation of funds from one line item to another. The award document normally stipulates guidelines applicable to the allowability and procedure for budget revisions and transfers. To request a budget transfer, the PI must initiate a revision request from the funding agency. Once approval is obtained, the PI may complete a Budget Transfer form (Appendix C), requesting the transfer from one account to another account.

The PI should take into consideration the avoidance of budget transfers that negatively impact on the indirect cost (IDC) of the award. DO NOT transfer funds from an account that carries IDC to one that does not carry IDC. Additionally, transferring from participant support to another account needs strong justification of the need to transfer from participant support (i.e. student stipends, student aid, or travel).

NOTE: ***The University does not allow transfers from Indirect Cost line items.***

4.4 HIRING PROJECT PERSONNEL

The PI of the grant/contract award who needs to hire new faculty/staff, should obtain the necessary hiring forms from Human Resources after the position is approved by Human Resources. For continuing grant/contract employees, the PI should submit a faculty Authorization to Hire form (Appendix D), or an Educational Support Staff form (Appendix E), to the OGM for processing. After PI completes the hiring form, the hiring form is submitted to the OGM Director for verification and processing.

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 Executive Vice President and 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.

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 these forms are available in the Financial Aid office, the Grants Management Office, and on the University website. 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.

4.4.1 CERTIFICATION OF PERSONNEL ACTIVITY (TIME AND EFFORT)

All persons who are paid fully or in part from a grant/contract funds, the person must comply with university and funding agency policies. All persons who are paid through grant funding must provide certification that they have performed the assigned grant duties in keeping with project requirements. The Certification of Personnel Activity form (Appendix F), should attest to the accuracy of the time and effort the grant personnel worked on the grant. The signatures of the related immediate supervisor or department chair followed by the school dean/budget executive. The duly signed certification forms are submitted monthly to the OGM. The OGM will send the signed certification forms to the payroll office for processing regarding the salary of the grant/contract employee.

NOTE: ***See Time and Effort Policy on page 59.***

4.4.2 ANNUAL LEAVE FOR GRANT-SUPPORTED PERSONNEL

Persons who have twelve (12) month appointments are required to take accumulated annual leave prior to the grant/contract's end date to assure availability of funding.

Consistent with University policy, all twelve-month employees are entitled to 20 (twenty) working days of annual leave accrued at 13.34 hours per month and 96 (ninety-six) annual hours of sick leave.

- It is recommended that grant/contract-funded employees take all accrued annual leave each program year so that there is no carry-over.
- In the event of an employee transfer from one grant/contract-funded project to another, accrued vacation may not be transferred.

General policies governing annual and sick leave, as well as leave balances are maintained by The University's Office of Human Resources.

4.5 PURCHASING PROCEDURES

4.5.1 PURCHASING RESPONSIBILITIES MATRIX

Principal Investigators	Grants Management	Purchasing	Business Office
Initiates/prepares requisition	Reviews requisition for compliance and budget availability.	Issues purchase order and, when appropriate, places order with vendor	Issues vendor checks; maintains grant accounting; submits financial reports

The principal investigator/project director initiates a requisition based on the needs of the project and consistent with the approved budget. Requisitions for expenditures on grants and contracts must be signed/approved by:

- PI

- Department Chair
- Dean
- Executive Vice President and Provost/Budget Executive

Prior to submission to Purchasing, the Director of Grants Management reviews all requests for expenditures of grant funds to determine the following:

- Compliance with Agency Regulations: All purchases made with external funds must follow 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. 000000-000000-0000-7201-0000 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 difficult for investigators to anticipate their needs; however, every effort must be made by the Investigator, Director of 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 free and open competition. Purchases exceeding $15,000 "shall be made with as much competition as is practical and deemed necessary by the Director of Purchasing". (HU Purchasing Policy No. P-080).
    - Purchases $1,5000.01- $250,000 – Require at least two (2) vendor quotes
    - Purchases that exceed $250,000.01 – Require at least three (3) vendor quotes
- 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 several sources, competition is determined to be inadequate.

The sole source purchase justification form is located on the HU Purchasing website. Once approved the requisition is submitted to Purchasing. A Purchasing Agent will issue a Purchase Order and, if appropriate, place the order.

Hampton University's Purchasing Webpage: https://home.hamptonu.edu/purchasing/
Hampton University's requisition processing training guide: Purchasing Policies and Procedure Manual.

4.5.2 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, principal investigators/project directors are required to have equipment inventoried immediately upon receipt and acceptance. The University inventories all equipment with a cost of $500 or more. The University's Property Manager should be contacted so that items can be assigned an inventory control number. It is incumbent upon principal investigators/project directors 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 principal investigators/project directors may make such requests and they must also have the approval of the department chairperson/budget executive. The principal investigator/project director 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 Senior Vice President for Business Operations and Finance 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 Senior Vice President for Business Operations and Finance, 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 with 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.

4.6 GRANT MONITORING

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 Officers 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 demote efficiency of operation but at the same time indicate that this sponsor is not receiving the level of expected output.

The PI is responsible for the financial stewardship of their grant project. The PI must ensure that funds are expended in a timely manner to facilitate satisfaction of all project goals, objectives, and deliverables. The OGM Director monitors each award to ensure expense allowability, and funding availability. To accomplish this, all-payment vehicles (requisitions, contracts, vouchers, travel, etc.) on externally funded projects are routed through OGM for approval.

The Business Office further monitors the spending rates of each award. Each month, the Business Office delivers “Unexpended Letters” that reflect the award total, remaining unspent balance, and the rate of spending. These letters are delivered to communicate perceived spending issues to the PI and their respective department Budget Executive. The PI is expected to take the lead in expending funds by making any required changes to ensure that all funds are used prior to the end date of the award.

NOTE: ***See Budget Monitoring Policy under the purview of the Business Office on page 61.***

4.7 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 awards 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 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 these specific award guidelines with the exception that a copy should be provided to the office of sponsored programs via e-mail at sponsoredprograms@hamptonu.edu.

Final reports should also be submitted in accordance with specific award guidelines, particularly if technical reports must be submitted electronically directly by the PD/PI. Copies of all final report should be provided to the office of sponsored programs via e-mail at sponsoredprograms@hamptonu.edu. OSP will then work with the Funding Agency to ensure that the project is properly closed.

NOTE: ***Required financial reports are prepared in the Business Office. 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.***

SECTION 5

RESEARCH COMPLIANCE

5.1 INSTITUTIONAL REVIEW BOARD

5.1.1 OVERVIEW

The Hampton University Institutional Review Board (IRB) exists to safeguard the rights, dignity, and welfare of individuals who participate in research under the auspices of the University. Its primary role is to ensure that all human subjects research conducted by faculty, staff, students, or affiliates meets ethical standards and complies with applicable federal, state, and institutional regulations.

Activities that Require IRB Review at Hampton University

IRB review is required when the following conditions apply:

- Systematic research involving living individuals
- Use of identifiable private data or biospecimens
- Federally funded or FDA-regulated research
- Research involving surveys, interviews, focus groups, medical procedures, or behavioral tasks
- Research conducted by or in collaboration with Hampton University faculty, staff, students, or affiliates
- International or off-campus studies involving human participants
-

If your project involves collecting data from or about living individuals in a systematic way intended for dissemination, then you likely need IRB review. When in doubt, contact the HU IRB Office for clarification before initiating the study.

5.1.2 IRB APPLICATION AND SUBMISSION PROCESS

All human subjects research conducted under the auspices of Hampton University must receive IRB review and approval **before** any research activities begin. This includes studies by faculty, staff, and students. Proper preparation and timely submission are essential for ensuring compliance and avoiding delays.

Step 1: Prepare Required Documentation
Investigators must complete and submit the following materials as part of their IRB application package:

- Protocol Using HU IRB Application Template
- Informed Consent Forms
- Recruitment Materials
- Letters of Support

If working with external sites (e.g., schools, clinics), then include formal **letters of support or cooperation agreements**.

- Data Use/Sharing Agreements
  If accessing data from third parties (e.g., medical records), include **data use agreements** or **data transfer agreements**.
- Copyright Permissions
  Provide **permission letters** for any copyrighted surveys, tests, or materials not in the public domain.

The forms are available at [Tools and Forms - Hampton University Research]().

Step 2: Submit Application to the IRB

- Applications must be submitted electronically to the Hampton University IRB via the designated IRB submission system or email as outlined in current IRB guidance.
- Only complete applications will be processed
- Students must have a faculty advisor listed as the PI or Co-PI
- Revisions may be requested prior to review

For additional information, please see [Institutional Review Board - Hampton University Government Relations]()

Responsibilities of Principal Investigators (PIs)

Principal Investigators (PIs) are the individuals primarily responsible for the ethical and compliant conduct of research involving human subjects. At Hampton University, PIs must adhere to the IRB's Standard Operating Procedures, federal regulations, and institutional policies throughout the lifecycle of the research study.

Failure to fulfill these responsibilities may result in IRB sanctions, suspension of the study, or reporting to federal oversight agencies.

Preferred method for inquiries and submissions - **Email:** irbchair@hamptonu.edu

5.1.3 PROCEDURES FOR IRB

1. All research documents involving human subjects (research documents in this context may be research proposals, thesis proposals, class projects, survey, etc.) will be forwarded to the Chairperson of the IRB at irbchair@hamptonu.edu 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.

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 Approval Form will be returned to the investigator with appropriate notification that the investigation is exempt.

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 will manage the review process.
    a. The chairperson will distribute copies to the IRB with an appropriate cover memorandum and approval form.
        1) The IRB members will review the document for the 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 risk 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.

NOTE: ***No change in research activities can be made after the IRB approval without written approval from the IRB Chairperson. The procedure described above for initial review will be followed for proposed research changes.***

5.2 INSTITUTIONAL ANIMAL CARE AND USE COMMITTEE

5.2.1 OVERVIEW

The Institutional Animal Care and Use Committee (IACUC) is a local institutional committee with federally mandated oversight responsibilities, including:

- Reviewing animal-use protocols
- Reviewing significant changes to animal use protocols
- Evaluating institutional compliance with PHS Policy, U.S. Department of Agriculture (USDA) Animal Welfare Act and Regulations, and institutional policies
- Monitoring institutional animal care and use programs, including inspecting animal facilities
- Reviewing concerns about animal care or use
- Reporting noncompliance and suspensions to the NIH Office of Laboratory Animal Welfare (OLAW).

The IACUC meets every six months to review protocols/checklist and conduct an Animal Housing Checklist. During these meetings, investigators are required to meet with the committee to review their protocols and be present during the Animal Housing Checklist site visit. At least once every 12 months the IACUC must report to the NIH Office of Laboratory Animal Welfare (OLAW).

Information to be reported includes:

- Any change in the institution's accreditation status
- Any change in the institution's program of animal care and use or facilities
- Any changes in the IACUC membership
- The dates that the IACUC conducted its semiannual evaluations of the program and facilities
- Any minority views filed by members of the IACUC

Researchers planning activities involving animal care and use must contact the IACUC prior to beginning activities. Further information is available at the Research Compliance page at Research Compliance - Hampton University Research.

Please send requests for further information or questions to the email: IACUC@hamptonu.edu

5.2.2 IACUC APPLICATION AND SUBMISSION PROCESS

All animal research conducted under the auspices of Hampton University must receive Institutional Animal Care and Use Committee (IACUC) review and approval **before** any research activities begin. This includes studies by faculty, staff, and students. Proper preparation and timely submission are essential for ensuring compliance and avoiding delays.

Step 1: Prepare Required Documentation
PIs must complete and submit the IACUC Protocol using the IACUC application template.

Step 2: Submit Application to the IACUC

- Applications must be submitted electronically to the Hampton University IACUC via the designated IACUC submission system or email to IACUC@hamptonu.edu as outlined in current IACUC guidance.
- Only complete applications will be processed
- Revisions may be requested prior to review

5.3 INSTITUTIONAL BIOSAFETY COMMITTEE

5.3.1 OVERVIEW

The function of Hampton University's Institutional Biosafety Committee (IBC) is to review projects and activities involving recombinant DNA or synthetic nucleic acids in accordance with NIH guidelines.

The IBC is responsible for promoting the safe use of biohazardous materials in research and teaching, as well as for protecting the health of faculty, staff, students, the public, and the environment. This includes the following:

1. Ensure that all research and teaching activities involving biohazardous materials comply as follows:
    a. The NIH Guidelines
    b. CDC/NIH Biosafety in Microbiological and Biomedical Laboratories (BMBL)
    c. OSHA regulations
    d. State and local biosafety regulations
    e. Hampton University's Biosafety Manual and Policies
    f.
2. Advise and assist the university community as follows:
    a. Conducting risk assessments and developing safe laboratory practices
    b. Managing biohazardous waste and implementing appropriate containment measures
    c. Establishing training and medical surveillance programs, as necessary

3. Protect the Hampton University community, the public, and the environment by identifying and mitigating biological risks.

Researchers planning activities involving recombinant DNA or synthetic nucleic acids must consult with the IBC prior to beginning activities. Further information and the Hampton University IBC form are available on the Research Compliance page at Research Compliance - Hampton University Research.

Preferred method for inquiries and submissions – Email**:** ibcchair@hamptonu.edu

5.3.2 IBC APPLICATION AND SUBMISSION PROCESS

All research projects and activities at Hampton University involving recombinant DNA or synthetic nucleic acids must receive Institutional Biosafety Committee (IBC) review and approval in accordance with NIH guidelines **before** any research activities begin. This includes studies by faculty, staff, and students. Proper preparation and timely submission are essential for ensuring compliance and avoiding delays.

Step 1: Prepare Required Documentation
Investigators must complete and submit the IBC Protocol using the HU IBC Application Template (IBC Application)

Step 2: Submit Application to the IBC
- Applications must be submitted electronically to the Hampton University IBC via the designated IBC submission system or email to ibcchair@hamptonu.edu as outlined in current IBC guidance.
- Only complete applications will be processed
- Revisions may be requested prior to review

5.4 TRAINING REQUIREMENTS FOR RESEARCHERS

5.4.1 OVERVIEW

All Hampton University faculty, staff, students, and research personnel involved in research activities that require regulatory oversight should complete the appropriate Collaborative Institutional Training Initiative (CITI) training before participating in research. CITI training provides education in research ethics, regulatory requirements, responsible conduct of research, human subjects protection, animal care and use, biosafety, and other compliance topics required by federal agencies and institutional policies. Completion of required CITI courses is a common prerequisite for review and approval of research protocols by Hampton University's Research Compliance Committees.

Researchers should ensure that all required compliance approvals and training are completed before initiating research activities. Hampton University's research compliance program includes oversight through:

- The IRB for human subject research
- The IACUC for animal research
- The IBC for activities involving recombinant DNA or synthetic nucleic acids

Additional information on Hampton University Compliance Committees is available at Research Compliance - Hampton University Research.

5.4.2 STANDARD REQUIRED TRAINING TOPICS

Depending on the nature of the research, investigators may be required to complete one or more of the following CITI courses:

- Human Subjects Research (IRB)
- Social and Behavioral Research
- Biomedical Research
- Responsible Conduct of Research (RCR)
- Laboratory Animal Welfare (IACUC)
- Conflict of Interest (COI)
- Research Security
- Good Clinical Practice (GCP)

Specific training requirements vary based on project type, funding source, and investigator role. Researchers should consult the relevant Hampton University compliance committee(s) to determine the exact courses required for their projects. Compliance Committee contact information is available at: Research Compliance - Hampton University Research.

5.4.3 ACCESSING CITI TRAINING

The CITI Program is an online training platform used by universities and research institutions nationwide to provide research compliance education. Contact the Hampton University CITI Program Point of Contact to request access to CITI. Information associated with CITI training including the current Point of Contact is listed on Hampton University's Research webpage: Research Compliance - Hampton University Research.

SECTION 6

OTHER POLICIES AND PROCEDURES

6.1 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 Senior Vice President for Business Operations and Finance. Contracts and grants that require a signature must be signed by either of these two individuals to have validity and enforceability.

6.2 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.

Types of Research Fraud

- Misconduct
    - 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
    - Failure to meet other material legal requirements governing research
- Falsification of Data
    - Fabrication to deceptively selective reporting, including the purposeful omission of conflicting data with the intent to falsify results
- Plagiarism
    - Representation of another’s work as one’s own
- Misappropriation of Others’ Ideas
    - The unauthorized use of privileged information (such as violation of confidentiality of peer review), however obtained.

Research Fraud Governance

Hampton University’s policies and procedures for dealing with research fraud will follow, essentially, the Policy on Faculty Grievance (Section 3.20) found in the Faculty Handbook.

However, the procedure for the investigation of fraud shall at least be four stages as follows:

Stage 1. An inquiry to determine whether the allegation or related issues warrant further investigations;
Stage 2. When warranted, an investigation to collect and thoroughly examine evidence;
Stage 3. A formal fact finding; and,
Stage 4. Appropriated disposition of the matter.

To address allegations of fraud 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.

6.3 INTELLECTUAL PROPERTY RIGHTS POLICY

Intellectual property (IP) 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 or useful has been conceived or developed, or when unusual, unexpected or non-obvious results, obtained with an existing Invention, can be practiced for some useful purpose. One or more individuals, each of whom is to be an Inventor, must have conceived of an essential element or have contributed to its conceptual development, can create IP.

NOTE: ***Researchers are advised to review the Intellectual Property Rights Policy in Part XIV of the Faculty Handbook. This policy establishes the University's framework for the ownership, protection, management, commercialization, and distribution of intellectual property. It also outlines the policies and procedures governing tangible research property, administrative responsibilities, patents, infringement, intellectual property licensing, copyrights, trademarks, royalty distribution, conflicts of interest, and related matters.***

Faculty Handbook

6.4 INVESTIGATOR FINANCIAL DISCLOSURE FOR FEDERALLY FUNDED PROGRAMS

Federal regulations require the University to manage, reduce or eliminate any actual or potential conflicts of interest that may be presented by 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.

NOTE: ***For definitions, requirements, procedures, and related regulations governing investigator financial disclosures for federally funded programs, please refer to Section 14.10 of the Faculty Handbook.***

Faculty Handbook

6.4.1 POLICY ON CONFLICTS OF INTEREST

No employee, administrator, faculty member, staff member, student, officer, or agent of Hampton University will participate in the selection, award or administration of a contract in which external funds are used where, to his or her knowledge, any of the following has a financial interest in the contract:

1. The employee, administrator, faculty member, staff member, student, officer, or agent of Hampton University;
2. Any immediate family member of an employee, administrator, faculty member, staff member, student, officer or agent of Hampton University;
3. A domestic partner of an employee, administrator, faculty member, staff member, student, officer or agent of Hampton University;
4. A business partner of an employee, administrator, faculty member, staff member, student, officer or agent of Hampton University;
5. An organization in which an individual identified in 1-4 above, is an officer, director, or employee; or
6. A person or organization with whom any of the above individuals is negotiating, or has any arrangement concerning, prospective employment.

Employees, administrators, faculty members, staff members, students, officers or agents of Hampton University may neither solicit nor accept gratuities, favors or anything of 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 any violation of this policy is found, the individual or individuals found to have committed such violation will subject to disciplinary actions as recommended by the committee appointed by the Provost. Disciplinary actions may include letters of reprimand, suspensions, or terminations of employment. A written recommendation regarding the disciplinary action to be taken shall be made by the committee to the Provost within thirty (30) days of any finding of a violation of this policy.

NOTE: ***The University's Policy on Financial Conflicts of Interest is contained in Section 14.11 of the Faculty Handbook and is reproduced herein for ease of reference and implementation.***

Faculty Handbook

6.4.2 HAMPTON UNIVERSITY PUBLIC HEALTH SERVICE (PHS) FINANCIAL CONFLICT OF INTEREST

Hampton University Financial Conflict of Interest for Public Health Service (PHS) and Other Sponsored Research

Revised: September 01, 2025

Purpose

Hampton University is committed to promoting objectivity in research and maintaining the highest standards of integrity in the design, conduct, and reporting of sponsored research. This policy establishes requirements for identifying, disclosing, reviewing, managing, and reporting Financial Conflicts of Interest (FCOIs) in accordance with federal regulations governing Public Health Service (PHS)-funded research and other sponsored projects requiring compliance with federal FCOI requirements.

Scope

This policy applies to all Investigators participating in externally sponsored research conducted under the auspices of Hampton University, including:
• Principal Investigators (PIs)
• Co-Investigators
• Senior/Key Personnel
• Project Directors
• Research Staff responsible for the design, conduct, or reporting of research
• Subrecipient Investigators when required by the terms of a subaward agreement

Regulatory Authority

This policy implements the requirements of:

• 42 CFR Part 50, Subpart F – Responsibility of Applicants for Promoting Objectivity in Research for Which Public Health Service Funding Is Sought

• 45 CFR Part 94 – Responsible Prospective Contractors
Where federal regulations differ from this policy, federal regulations shall prevail.

Definitions

Institutional Responsibilities: Institutional Responsibilities means an Investigator's professional responsibilities performed on behalf of Hampton University, including research, teaching, clinical activities, professional practice, administration, committee service, and professional activities.

Investigator: Any individual, regardless of title or position, who is responsible for the design, conduct, or reporting of sponsored research.

Family Member: A spouse, domestic partner, dependent child, or other dependent as recognized under applicable federal regulations.

Significant Financial Interest (SFI): A Significant Financial Interest means one or more of the following interests of the Investigator and/or Family Members that reasonably appear related to the Investigator's Institutional Responsibilities:

1. Publicly Traded Entities
   Remuneration received from an entity during the preceding twelve months and the value of any equity interest in the entity that, when aggregated, exceeds $5,000.
2. Non-Publicly Traded Entities
   Any equity interest, regardless of value.
3. Compensation
   Income from consulting, honoraria, advisory board participation, or other services that exceeds $5,000 during the preceding twelve months.
4. Intellectual Property
   Income related to patents, copyrights, licenses, or other intellectual property rights.
5. Sponsored or Reimbursed Travel

Any sponsored or reimbursed travel related to Institutional Responsibilities, except travel reimbursed by:

- Federal, state, or local government agencies
- Institutions of higher education
- Academic teaching hospitals
- Medical centers
- Research institutes affiliated with institutions of higher education

The following are not considered Significant Financial Interests:

- Salary, royalties, or compensation paid by Hampton University
- Income from investment vehicles where the Investigator does not directly control investment decisions
- Income from seminars, lectures, or teaching engagements sponsored by governmental or academic entities
- Income from advisory committees or review panels sponsored by governmental or academic entities

Financial Conflict of Interest (FCOI): A Significant Financial Interest that could directly and significantly affect the design, conduct, or reporting of sponsored research.

Disclosure Requirements

Investigators shall disclose all Significant Financial Interests:

- Prior to proposal submission
- Prior to participating in sponsored research
- Annually during the period of award
- Within thirty (30) days of discovering or acquiring a new Significant Financial Interest

All disclosures must be submitted through the University's designated disclosure system. Each Investigator shall certify that:

- The disclosure is complete and accurate;
- Updates will be provided within thirty (30) days of acquiring a new SFI; and
- Any approved management plan will be followed.

Sponsored Travel Disclosure

Investigators shall disclose sponsored or reimbursed travel related to their Institutional Responsibilities.

Disclosures shall include:

- Purpose of travel
- Sponsoring organization
- Destination
- Duration

- Monetary value, if known

The University may request additional information necessary to determine whether the travel constitutes an FCOI.

Review Of Disclosures

The OSP Director shall conduct an initial review of all disclosures. The Director shall determine:

1. Whether a Significant Financial Interest exists;
2. Whether the SFI is related to sponsored research; and
3. Whether the SFI constitutes a Financial Conflict of Interest.

When necessary, disclosures shall be referred to the Financial Conflict of Interest Review Committee for further review.

Financial Conflict of Interest Review Committee

The FCOI Review Committee shall evaluate disclosed interests and recommend appropriate management, reduction, or elimination measures.

The Committee shall consist of faculty and administrative representatives appointed by the Executive Vice President and Provost.

The Executive Vice President and Provost shall serve as the final institutional authority regarding FCOI determinations.

Management of Financial Conflicts of Interest

If an FCOI is identified, Hampton University shall implement a written management plan before expenditure of sponsored funds.

Management plans may include:

- Public disclosure of the conflict
- Disclosure in publications and presentations
- Disclosure to research participants
- Independent monitoring
- Modification of research activities
- Modification of Investigator responsibilities
- Disqualification from specific research activities
- Divestiture of financial interests
- Severance of relationships creating the conflict

Management plans shall be reviewed annually and updated as necessary.

PHS Reporting Requirements

For PHS-funded projects, Hampton University shall:

- Report identified FCOIs to the PHS awarding component prior to expenditure of funds;
- Report newly identified FCOIs within sixty (60) days of identification;
- Submit annual FCOI reports throughout the life of the award;
- Submit mitigation reports when required following retrospective review findings.

Retrospective Review

If an FCOI was not identified or managed in a timely manner, Hampton University shall complete a retrospective review within one hundred twenty (120) days of the determination of noncompliance.

The review shall assess whether any bias occurred in the design, conduct, or reporting of research. Where bias is identified, the University shall develop and implement a mitigation plan and submit any required reports to the sponsor.

Training

Investigators must complete FCOI training:

- Prior to engaging in federally funded research;
- At least every four years thereafter;
- Immediately when the policy is revised in a manner affecting Investigator responsibilities;
- When an Investigator is new to Hampton University; or
- When an Investigator is found noncompliant with this policy.

Subrecipient Compliance

Subrecipient agreements shall specify whether subrecipient Investigators will comply with:

- The subrecipient institution's FCOI policy; or
- Hampton University's FCOI policy.

Subrecipient agreements shall include reporting timelines sufficient to allow Hampton University to comply with sponsor reporting requirements.

Public Accessibility

For PHS-funded research, Hampton University shall make information concerning identified FCOIs available to the public within five business days of a written request.

The information disclosed may include:

- Investigator name
- Investigator title and role
- Entity in which the SFI is held
- Nature of the SFI

- Approximate dollar value or value range consistent with federal regulations

Record Retention

The University shall maintain all disclosure records, review documents, management plans, and related records for a minimum of three years following submission of the final expenditure report or as otherwise required by federal regulations.

Confidentiality

Disclosure records shall be maintained confidentially to the extent permitted by law. Information shall be disclosed only when required by sponsors, regulatory agencies, legal process, or applicable regulations.

Noncompliance

Failure to comply with this policy, disclose required information, or adhere to an approved management plan may result in disciplinary action up to and including termination of employment, termination of participation in sponsored projects, or other institutional sanctions.

6.5 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 to carry out activities associated with an externally funded project. Faculty who has release time for the academic year may not defer that time to gain more release time in any one semester. For example, faculty may not combine two semesters of release time into one. Further, faculty investigators may not have more than 50% release time.

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

Released Time for Research and Grant Activities

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. However, special permission shall be required from the Executive Vice 113 President and Provost for those who will go beyond the time limitation expressed in the policy. Compensation for consultant services at a remote location shall be allowable and shall not exceed one day per week during the academic year.

Summer Session Pay Scale

Each full-load faculty member teaching during the Summer Session is paid a salary approved by the University President and the Board of Trustees. Salaries for instructors who do not teach a full load, but who have one or two classes that meet the enrollment qualifications, will be prorated accordingly. Those persons on individual grants (external funds) may be paid according to the salary stipulated in the grant, up to 1/3 of the academic year salary. The University does not match retirement benefits during the summer.

NOTE: ***The University's Policy on Release Time and Summer Session Compensation is set forth in Sections 8.21 and 8.22 of Part VIII (Faculty Responsibilities in the Instructional Program) of the Faculty Handbook and is reproduced herein for the convenience of faculty, investigators, and administrators.***

Faculty Handbook

6.6 PROPOSAL SUBMISSIONS BY ADJUNCT UNIVERSITY PROFESSORS

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 to receive University approval to submit proposals. Both parties, therefore, must sign proposals. The VPR and OSP Director will have responsibility for ensuring that appropriate co-investigators who are full-time employees Hampton University at are named in proposals submitted by adjunct faculty.

It will be the responsibility of the full-time Hampton University employee to ensure that the proposal is routed through Cayuse for required approvals before proposal submission. Upon receipt of award the Hampton University full-time employee will be responsible for the successful execution of the grant and for ensuring that the technical reports are submitted, that equipment is inventoried, and that students are hired as indicated in the approved proposal.

6.7 FINANCIAL ASSISTANCE FOR STUDENTS

The Office of Financial Aid (FA) is responsible for all financial assistance programs at Hampton University. However, an effective enrollment management process must involve a coordinated effort that is assisted by deans, chairs, faculty and other administrators. In this process, it is the responsibility of the Dean of Administrative Services to coordinate the interactions of these units to ensure maximum utilization of funds for enrollment management purposes.

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 (OGM) will provide the FA with a budget statement that indicates the funding level for student support categories. Concurrently, OGM will notify FA via the Student Aid/External Grants and Contracts form. The Principal Investigator (PI) must submit the Student Aid/External Grants and Contracts form to FA within 15 days following the certification of the budget by GM. The PI will 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/Employment forms containing student aid information for the full academic year. Summer session forms should be submitted during the spring term. All forms should specify the amount available for each semester/session. 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. All forms should be submitted to the Office of Grants Management.

FA will use established procedures to post student aid awards to students' accounts and/or to generate student work-study contracts. The Business Office will provide FA with a composite printout daily of all designated aid or external financial assistance posted to students' accounts. The Business Office will also provide FA with a composite monthly printout of student support categories for all externally funded projects. 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 OGM 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 contracts 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. New and continuing students may be employed in the summer although they may not be enrolled in classes.

Graduate Assistance

In providing financial assistance to graduate students, the Graduate College will notify FA when a graduate student is admitted. The Graduate College will provide FA with a copy of the acceptance letter that reflects the offer of a graduate assistantship/fellowship. Letters of such assistantships must carry the proviso that FA will certify the award.

6.8 ALLOWABILITY OF COSTS

Allowable, Allocable, and Reasonable Costs

The concepts of allowability, allocability, and reasonableness of costs address directly the legitimacy of a cost charged against a specific sponsored award. Determination of allowability, allocability, and reasonableness of a given expense is based on specific guidelines of the sponsor and according to federal cost principles. Allowability, allocability, and reasonableness are defined and determined by the Office of Management and Budget (OMB) and the sponsor's requirements.

Uniform Administrative Requirements, Cost Principles and Audit Requirements for Federal Programs, states that "The recipient institution is responsible for ensuring that costs charged to a sponsored research agreement are allowable, allocable, and reasonable..." Each financial transaction charged against a sponsored award is evaluated against these three concepts. The primary responsibility of the Office of Grants Management is to ensure that all costs charged to the sponsored award are allowable and allocable. A determination of allowability and allocability for a given cost is based on the specific guidelines of the sponsoring agency and according to federal cost principles.

Factors Affecting Allowability of Costs

Except where otherwise authorized by statute, costs must meet the following general criteria in order to be allowable under Federal awards:

- Be necessary and reasonable for the performance of the Federal award and be allocable thereto under these principles.
- Conform to any limitations or exclusions set forth in these principles or in the Federal award as to types or amount of cost items.
- Be consistent with policies and procedures that apply uniformly to both federally financed and other activities of Hampton University.
- Be accorded consistent treatment. A cost may not be assigned to a federal award as a direct cost if any other cost incurred for the same purpose in like circumstances has been allocated to the Federal award as an indirect cost.
- Be determined in accordance with generally accepted accounting principles (GAAP).
- Not be included as a cost or used to meet cost sharing or matching requirements of any other federally financed program in either the current or a prior period.

Reasonable Costs

A cost is reasonable if, in its nature and amount, it does not exceed that which would be incurred by a prudent person under the circumstances prevailing at the time the decision was made to incur the cost. The question of reasonableness is particularly important. In determining reasonableness of a given cost, consideration must be given to the following:

- Whether the cost is of a type generally recognized as ordinary and necessary for the operation of Hampton University or the proper and efficient performance of the Federal award.
- The restraints or requirements imposed by such factors as: sound business practices; arm's-length bargaining; Federal, state, local, tribal, and other laws and regulations; and terms and conditions of the Federal award.
- Market prices for comparable goods or services for the geographic area.

Allocation and Distribution of Recovered Facilities and Administrative (F&A) Costs

Policy Title: **Indirect Cost Return (ICR) Policy**

Policy Number: **TBD**

Responsible Office: **Office of the Vice President for Research and Business Office**

Effective Date: **July 01, 2026**

Approved By: **Administrative Council**

1. **Purpose**

The purpose of this policy is to provide guidelines for the recovery and management of Facilities and Administrative (F&A) Costs, also known as indirect costs, associated with sponsored projects and grants at Hampton University. This distribution serves as an incentive to the researchers and schools or units responsible for procuring and implementing these sponsored activities and aims to ensure financial sustainability, promote research excellence, and reward outstanding performance.

2. **Scope**

This policy applies to Hampton University administrators, faculty, and staff who are principal investigators or co-principal investigators on externally funded grants that allow indirect costs.

3. **Policy Statement**

Hampton University is committed to the effective recovery and strategic reinvestment of F&A costs to support faculty research, strengthen institutional capacity, and sustain the infrastructure necessary for a competitive and compliant research enterprise.
F&A costs recovered from externally sponsored projects provide Hampton University with the ability to reinvest critical resources into activities related to sponsored projects for its faculty, staff, and students. These F&A costs represent actual expenses incurred by the institution in managing sponsored projects and are intended to support the University's research, instructional, and other sponsored endeavors.

Unless restricted by the sponsor, all grant and contract proposals must include the full negotiated F&A cost recovery rate. If the sponsor limits or prohibits this, the PI must submit documentation of the restriction for internal review. If requesting a waiver of F&A costs, the PI must provide a written justification, which requires approval from the divisional Vice President and the President.

The ICR policy establishes guidelines for indirect costs allocation at Hampton University, ensuring that a percentage of the recovered indirect costs from eligible external grants are distributed among PIs, schools, and other units. The allocation structure is as follows:

- **General Funds/Central Administration:** Supports facilities maintenance, infrastructure, and general operations.

- **Principal Investigators (PIs):** Supports research assistants, covers grant-related activities and unexpected expenses, such as equipment failures or emergency repairs.
- **PI's School or VP Unit:** Supports research growth, aids broader research initiatives and professional development.
- **Office of the Vice President for Research (VPR):** Supports research compliance, training, grant support services, and research administration.

F&A Utilization, Distribution, and Review

All expenditures must align with the University's commitment to advancing its research mission and adhere to applicable federal cost principles and university guidelines.

The primary purpose of this policy is to incentivize growth in research and creative activities as well as successful grantsmanship. Program incentives may be used for research/training/faculty development-related expenses including travel, equipment, supplies, computer hardware and software, student support for research, administrative costs not covered by the award, recognition awards, meetings, and professional development for faculty. Indirect costs funds can be spent on any research-related activity but are **not allowed to be used as salary for the PIs or co-PIs**.

Similarly, departments and schools must use their allocated indirect costs funds exclusively for research-related purposes. Indirect costs funds may not be used for entertainment, refreshments, office celebrations, or unrelated general operational expenses not directly tied to research enhancement. Allowable uses of indirect costs funds include, but are not limited to, faculty participation in research-related conferences (e.g., travel, registration fees), support for pilot research projects, student research assistant stipends, acquisition or maintenance of specialized research equipment, and costs associated with research proposal development.

Funds allocated to the Office of the VPR may also support administrative costs related to scholarly activities, in-kind costs for grant recipients, award recognition, travel, equipment, seed or mini-grants for data collection, feasibility studies, temporary staff, and other research-related expenses. These funds must be dedicated to supporting research activities and **cannot be used for refreshments or other non-research-related items**.

4. **Authority**

The governing authority for this policy is the Administrative Council.

5. **Definitions**

- **Facilities and Administrative Costs,** or Indirect Costs, are expenses related to the university's infrastructure and operations that support externally funded projects. Indirect costs are not directly attributable to a specific research project but are necessary for the general operation of the institution and for conducting activities it performs. These include maintenance of buildings and grounds, equipment and library usage, facilities renovation, hiring new faculty, and managing projects. They also cover high-tech laboratory maintenance, utilities, telecommunications, hazardous waste disposal, and compliance with regulations. Unlike direct costs, F&A costs cannot be precisely attributed to specific projects. The federal government reimburses universities for the portion of these costs related to federal research.

- **Externally Sponsored Projects** refer to externally funded scholarly activities such as research, instructional programs, student aid, career development, and infrastructure building. These projects are distinct from gifts based on the nature of the agreement between the University and the external funder. Key characteristics include:
- Specific objectives, timelines, and budget limits.
- Funding via grants, contracts, or cooperative agreements.
- Required deliverables like reports on research results or expenditures.
- Obligation to return unspent funds.
- Financial reporting and potential audits.
- Provisions on publication restrictions or intellectual property rights.

- **Investigator** refers to the principal investigator (PI) or co-investigators at Hampton University who are designated as key personnel on the project. They are responsible for the design, conduct, or reporting of the project, either in whole or in part.

- **Indirect Cost Recovery Rate** refers to the percentage of Modified Total Direct Costs (MTDC) that can be recovered from a sponsoring agency. This rate is influenced by several factors, including the sponsor type (federal, state, or private), the nature of the project (whether it involves research, instruction, or other activities), and the project's location (on or off campus). The university's federally negotiated indirect cost rate is 50% of Modified Total Direct Costs (MTDC). This rate is applicable to all sponsored projects unless the sponsoring agency has a published policy that mandates a different rate.

- **Modified Total Direct Costs (MTDC)** base is used when the federally negotiated rates are applied and refers to the total direct costs of a project, excluding certain expenses such as equipment, capital expenditures, participant support costs, tuition remission, rental costs, scholarships, fellowships, and subawards more than $25,000. Not all sponsoring agencies may include all these categories in the MTDC calculation. It is important to check specific agency guidelines for instructions on budget calculation when submitting a proposal.

6. **Procedures**

<u>Allocation of Recovered F&A Costs</u>

1. For externally sponsored projects involving a **single** PI and school or unit, the University will allocate the recovered F&A costs as described below to encourage further research, instruction, and sponsored project activity. Allocations will be made on a per-project basis.

Area	Allocation Year 1	Allocation Year 2 and Beyond
General Fund	85%	80%
Principal Investigator (s)	6%	8%
School/Unit	6%	8%
The Office of the VPR	3%	4%
Total	100%	100%

2. For externally sponsored projects involving **multiple** PIs and schools or units, the redistributed indirect costs will be allocated based on the effort (time commitment) of each investigator. The distribution of indirect costs will be as follows:
   (a) If investigators from different schools or units contribute equally to a project, the redistributed indirect costs assigned to the PI portion will be divided equally. Each investigator's school or unit will receive half of its respective share. If both investigators are from the same school or unit, that school or unit will receive the full redistributed indirect cost allocation.
   (b) If investigators from different schools or units contribute unequally, for example, one investigator contributes 70% of the effort and the other 30%, the redistributed indirect costs will be allocated proportionally based on contribution. In this example, 70% will be distributed to the investigator with the greater effort and 30% to the other investigator. Each investigator's school or unit will receive its corresponding share based on the PI allocation. If both investigators are from the same school or unit, that school or unit will receive the full redistributed indirect cost allocation.

3. For externally sponsored projects from **divisions outside of Academic Affairs**, recovered F&A costs will be allocated to the relevant area based on the expenditures eligible for F&A recovery incurred by the PI or project director during the project. This allocation will follow the outlined formula.

Area	Allocation Year 1	Allocation Year 2 and Beyond
General Fund	85%	80%
Principal Investigator (s)	6%	8%
Applicable VP Unit	6%	8%
The Office of the VPR	3%	4%
Total	100%	100%

When a project involves multiple investigators and units, the redistributed indirect costs will be allocated according to the effort (time commitment) of each investigator on the project as outlined in bullet point number 2a and 2b.

4. For externally sponsored projects from **the Office of the VPR**, recovered F&A costs will be distributed as outlined below.

Area	Allocation Year 1	Allocation Year 2 and Beyond
General Fund	85%	80%
Principal Investigator (s)	6%	8%

The Office of the VPR	9%	12%

When a project involves other schools/units in addition to the VPR unit, the redistributed indirect costs will be allocated according to the effort (time commitment) of each investigator on the project as outlined in bullet point number 2a and 2b.

Allocation of F&A costs will occur once per fiscal year. Recovered F&A costs will be allocated by the Grants and Contracts division of the Business Office. In the rare event of nonpayment by the sponsor, any previously distributed F&A funds that correspond to the unpaid amount will be reversed by the Business Office, subject to the approval of the Chief Financial Officer.

The Business Office, in consultation with the VPR and Director for Sponsored Programs, may delay or withhold distribution of recovered F&A costs to a sponsored PI or PD or department if the PI or PD fails to comply with fiscal, programmatic, or administrative requirements. Distribution will be withheld until the outstanding requirements are resolved. The Office of Sponsored Programs will consult with the relevant administrative unit head (Dean/VP) before making any decision to pause the distribution of recovered F&A funds.

7. **Records Retention**

Records related to this policy will be maintained by the PIs and Business Office along with other grant-related records and retained for as long as grant records are retained, following University and external sponsor guidelines and policies.

8. **Related Information**

N/A

9. **Scheduled Review Date**

This policy will be **reviewed** every three years or as needed to ensure compliance with federal regulations and university goals. In exceptional situations, the Vice President for Research, in consultation with the Chief Financial Officer, the Executive Vice President and Provost and the President, may decide that reallocating the above percentages is in the University's best interest to further advance the research mission. Changes to the indirect costs rate or distribution model will be communicated to all relevant stakeholders.

10. **Roles and Responsibilities**

Responsible Office: Office of the VPR and Business Office
[Oversees implementation and compliance]
Supervisor/Department Heads: Deans and appropriate Vice Presidents
[Ensure adherence within their units]

Employees/Students: Grant Principal and Co-Principal Investigators
[Comply with policy requirements]

11. **Compliance and Enforcement**

Failure to comply with this policy may result in disciplinary action in accordance with applicable University policies and procedures.

12. **Related Documents:**

Research Handbook

13. **Review and Revision:**

This policy will be reviewed every 3 years or as required by regulatory or institutional changes.

14. **Contact Information**

For questions regarding this policy, please contact the Office of the VPR or Business Office.
Phone: 757.728.6580; 757.727.5661
Email:vpforresearch@hamptonu.edu; businessoffice@hamptonu.edu

15. **Revision History**

Version	Date	Description of Change	Approval by
1.0	July 01, 2026	Initial Policy Implementation	Administrative Council
1.1	July 01, 2029	3-Year Review	Office of the VPR and Business Office

6.10 BUDGET AND EXPENDITURE MONITORING AND FEDERAL REPORTING

Budget and Expenditure Monitoring Policy and Federal Reporting

The University's accounting system operates in compliance with federal regulations, which facilitates the monitoring of grant expenditures as well as the preparation of required reports. The Principal Investigator and Office of Grants Management cooperate in the budget management process to ensure that budgets are not exceeded.

Upon receipt of the award instrument and a request from the OGM, the Fiscal Officer will assign a University Account Number identifying the award. The budget will be placed in the Banner system to facilitate both purchasing and accounting procedures. Monthly expenditure reports are provided to the Project Director to assist in budget management. Also, online access to these accounts is available to directors and budget executives via the Banner system for review.

All required financial reports are prepared in the Office of the Deputy Chief Financial Officer. Project Directors/Investigators may not submit such reports on behalf of the University but must have assistance from the Business Office in verifying the accuracy of expenditures.

The University must submit, no later than 90 calendar days after the end date of the period of performance, all financial, performance and other reports as required by the terms and conditions of the award. Failure to meet this deadline may result in nonpayment by the Government.

Due to these strict requirements, all financial reports and Hampton subaward invoices are centralized through the Deputy Chief Financial Officer for signature.

The Business Office grant accountant supervisor reviews each proposed subrecipient and confirms their compliance with federal requirements.

Departments are responsible for collecting and retaining progress and final performance reports from all subrecipients as part of the monitoring process.

Project Changes

The ability of the Project Director 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.

NOTE: ***Investigators/Directors are required to read and adhere to the regulations governing their awards.***

A Request to Revise a Grant/Contract form (Appendix B) must be initiated by the principal investigator and approved by the Deputy Chief Financial Officer prior to making any project changes. Questions on the allowability of certain activities or expenditures (which cannot be answered at the University) will be addressed to the designated project officer at the funding agency. Written requests for information or approvals must be signed by both the principal investigator and the Deputy Chief Financial Officer. Both the inquiry and the response must be in writing. Refer to section 3.7 for the complete official process.

6.11 RECORD RETENTION

Record Retention Requirements

In accordance with Uniform Guidance 200.333, Financial records, supporting documents, statistical records, and all other records pertinent to a Federal award will be retained for a period of three years from the date of submission of the final expenditure report or, for Federal awards that are renewed quarterly or annually, from the date of the submission of the quarterly or annual financial report, respectively, as reported to the Federal awarding agency or pass-through entity in the case of a subrecipient.

The only exceptions to the three-year period are the following:

- If any litigation, claim, or audit is started before the expiration of the 3-year period, then the records must be retained until all litigation, claims, or audit findings involving the records have been resolved and final action taken.

- When the University is notified in writing by the Federal awarding agency, cognizant agency for audit, oversight agency for audit, cognizant agency for indirect costs, or pass-through entity to extend the retention period.
- Records for real property and equipment acquired with Federal funds must be retained for three years after the final disposition.
- When records are transferred to or maintained by the Federal awarding agency or pass- through entity, the three-year retention requirement is not applicable.
- Records for program income transactions after the period of performance. In some cases, the University must report program income after the period of performance. Where there is such a requirement, the retention period for the records pertaining to the earning of the program income starts from the end of the fiscal year in which the program income is earned.
- Indirect cost rate proposals and cost allocation plans. This paragraph applies to the following types of documents and their supporting records: indirect cost rate computations or proposals, cost allocation plans, and any similar accounting computations of the rate at which a particular group of costs is chargeable (such as computer usage chargeback rates or composite fringe benefit rates).
    - If submitted for negotiation
      If the proposal, plan, or other computation is required to be submitted to the Federal government (or to the pass-through entity) to form the basis for negotiation of the rate, then the three-year retention period for its supporting records starts from the date of such submission.
    - If not submitted for negotiation
      If the proposal, plan, or other computation is not required to be submitted to the Federal government (or to the pass-through entity) for negotiation purposes, then the three-year retention period for the proposal, plan, or computation and its supporting records starts from the end of the fiscal year (or other accounting period) covered by the proposal, plan, or other computation.

6.12 TIME AND EFFORT

Purpose

Time and Effort policy ensures that salaries charged to federal grants are allowable, documented, and reflect actual work performed, complying with 2 CFR 200.430. Time and Effort policy require accurate, after-the-fact documentation of employee time with monthly certifications for single grant and multi-grant employees.

Scope

This Time and Effort policy applies to all employees paid by grant funds and the tracking of personnel compensation charged to federal awards to verify work was performed.

The federal government requires an effort report when an individual is compensated by or has agreed to contribute time to a federally sponsored project. All faculty serving as investigators on sponsored agreements are personally responsible for certifying their own effort, as well as the effort of any grant-funded personnel whose salaries are supported by the award.

Definition

Effort is defined as the amount of time spent on a particular activity. It includes the time spent working on a sponsored project in which salary is directly charged or contributed (cost-shared effort). Individual effort is expressed as a percentage of the total amount of time spent on work-related activities - instruction, research (including externally funded research), and administration - for which the University compensates an individual.

Grants Management Effort Reporting

Effort reporting is the mandated method of certifying to the granting agencies that the effort charged, or cost shared to each award has actually been completed.

Faculty and staff will complete an effort certification if they perform work on sponsored projects that are funded by federal and federal pass-through organizations. Non-exempt grant staff who record their time using the University's timekeeping system are also subject to effort reporting requirements.

Hampton University utilizes the **after-the-fact effort certification method** to document personnel time and effort on sponsored projects. Faculty and staff are required to submit effort reports to the Office of Grants Management (OGM) following the completion of each month in which time was devoted to a sponsored project. The Office of Grants Management submits the duly signed Certification of Personnel Effort forms to the payroll office.

The Certification of Personnel Effort form includes the name of the employee submitting the report, the grant title, grant number, and reporting period. Any grant or non-grant activities performed during the reporting period should be described in the appropriate section of the report. The percentage of time spent on grant or non-grant activities should be entered in the appropriate box. Any administrative or leave time and the distribution of time spent on each should be entered in the appropriate fields. The total time should always equal hundred percent (100%). The employee submitting the report should sign and date the report. The Principal Investigator/Project Director should sign the report and return the completed report to the Office of Grants Management.

Business Office Processing

The Payroll Office and the Grants and Contracts Department within the Business Office are responsible for ensuring that reported time and effort align with payroll charges for the corresponding month. Following the month in which the payroll expense is incurred, Grants and Contracts Department will review and process the certified time and effort reports and appropriately allocate salary and fringe benefit expenses to the respective grant account.

6.13 TRAVEL POLICY

Requests for advance of funds for travel on official University business must be approved by the appropriate budget executive, i.e., the President, Provost, Deputy Chief Financial Officer. University funds can only be used for travel within the Continental United States. Where University funds are included in a trip abroad, University funds will cover the cost of travel to the port of embarkation such as San Francisco for travel to the Pacific and New York for travel to Europe. An application for Travel of money for the purpose of travel should be submitted to the appropriate budget executive and to the Office of the Deputy Chief Financial Officer (Business Office section) at least 48 hours prior to the day the funds are needed. All faculty and staff traveling on official University business are automatically covered by travel insurance of $50,000.

The University owns only a limited number of automobiles and station wagons. Whenever it is more convenient to travel by automobile, faculty and staff members are encouraged to use their private vehicles particularly where the distance is 200 miles or less. When two or more persons are attending the same conference, travel should be together by automobile. The University will reimburse at the rate of $.27 per mile plus toll charges, but not in an aggregate amount that would exceed coach-rate airplane fare plus limousine service. The reimbursement of $.27 per mile covers ordinary automobile operating expenses such as gas, oil, insurance, etc.

Funds advanced for travel may be used to cover taxi and limousine service, bus fare, mileage, tolls, meals and lodging, registration fees and gratuities. All airline tickets must be requisitioned through the Purchasing Office, and the Passenger Receipt must be submitted with the Travel Report. Travel funds are not to be used for entertainment, libations or personal expenses. The University will pay only coach-rate airplane fare. If coach-rate is not available, a statement from the airline stating this should be submitted with your travel report. Limousine service should be used for travelling to and from airports. The cost of meals should not exceed $32 per day, excluding gratuities.

NOTE: ***Itemized receipts supporting all expenditures for travel, including meal allowance, must be submitted. An itemized hotel bill must be submitted with the Travel Report for all hotel expenses paid for by the traveler as well as those requisitioned through the Purchasing Office. (Any exception to the policy must be approved by the Deputy Chief Financial Officer or the Deputy Chief Financial Officer).***

The time of departure from and return to the home base should be noted on both the application for advance and the travel expense voucher. Fractions of days will be prorated as follows:

Breakfast	$ 6.00
Lunch	$ 8.00
Dinner	$ 18.00
Total	$ 32.00

The University will no longer approve reimbursements for tips. If you wish to tip someone, it will be at your own expense. All other approved items must be accompanied by appropriate receipts attached to your travel report. The cost of lodging shall be allowed at the single room rate for commercial establishments for only two nights and other expenses for up to three days. Lodging in non-commercial facilities will be allowed at the rate of $10 per night.

Expenses for rental cars will not be allowed unless approved by the Deputy Chief Financial Officer prior to the trip. If an emergency occurs necessitating a rental car, a statement of justification must be submitted with the report on travel. Long-distance calls charged to hotel bills will not be reimbursed unless justified in writing. The purchase of materials or supplies with travel funds will not be allowed unless approved by the Deputy Chief Financial Officer prior to trip.

Report on advance of funds must be submitted to the appropriate budget executive within 48 hours after returning to the campus. Any unused funds must be returned at that time. Advance of funds for additional travel will be withheld until a report has been received in the Office of the Deputy Chief Financial Officer for any prior trip. The University reserves the right to charge unreported advances for travel to faculty or staff member's personal account.

6.15 PARTICIPANT SUPPORT COSTS POLICY

Purpose

Participant Support Costs are a defined budget category in grant awards intended to directly support individuals participating in a sponsored project**,** rather than supporting the project's operational or research infrastructure.

Scope

This Participant Support Costs policy applies to all Principal Investigator(s) (PI) engaged in federally funded research and creative activities conducted under the auspices of Hampton University.

Definitions

The Office of Management and Budget (OMB) Uniform Guidance (UG) defines **Participant Support Costs** (2 CFR 200.75) as direct costs for items such as stipends or subsistence allowances, travel allowances, per diem, and registration fees paid to or on behalf of participants or trainees (but not employees) in connection with conferences or training projects. For participant support costs to be allowable:

1. The costs must be programmatically justified.
2. The costs must be explicitly included in the budget, and the budget is approved or prior written approval is received from the Federal awarding agency; and
3. The expense does not take indirect costs.
4. The expense must support the participant's engagement in the training/learning activity.

A **participant** is a non-employee of Hampton University who is the recipient of a service or training opportunity as part of a workshop, conference, seminar, symposium or other short-term instructional or information sharing activity funded by a sponsored award, and who receives a stipend, per diem or subsistence allowance rather than a salary and fringe benefits. A participant DOES NOT provide any goods, services or knowledge to Hampton University. Participants may be, but are not limited to, students, scholars, scientists from other institutions, or teachers. Participant support costs are typically incurred for projects that include an education or outreach component. Participant support allowances may not be paid to trainees who are receiving compensation, either directly or indirectly, from other Federal government sources while participating in the project.

Categories of Allowable Grant Participant Support Costs

Stipend - A stipend is a set amount of money to be paid directly to the participant in connection with a short-term training activity.
Subsistence - The cost of a participant's housing and per diem expenses necessary for the individual to participate in the conference or training activity are generally allowed, provided these expenses are reasonable and limited to the days of attendance and reduced accordingly if meals are provided at the meeting/conference.
Supplies - supplies for participants are allowable, whereas general conference supplies must be charged to the non-Participant Support Costs category.
Fees – The fees paid by or on behalf of a participant in connection with meetings, conferences, symposia, or training projects are generally allowable costs.
Travel - Travel includes the costs of transportation and associated costs and must follow sponsor guidelines (e.g., US flag carrier (Reference: Fly America Act | GSA), coach class, most direct route) as well as Hampton University Meals and Travel expense policies and guidelines. The sole purpose of the trip must be to participate in a conference or training activity. If a training activity involves field trips, the cost of transportation for participants may be allowable.

General Requirements for Participant Support Costs

- Participant support costs are excluded from the allocation base of the project's indirect cost calculations unless this is explicitly provided for in the award agreement.
- Participant support costs are segregated in the Hampton University accounting system using separate account codes.
- Funds budgeted for participant support cannot been reallocated to other budget categories without prior written approval from the cognizant program officer.
- Participant attendance at meetings, conferences and other events must be tracked and documented by the PI and/or department in compliance with documentation requirements set forth in 2 CFR 200.302(b)(3), which states that organizations must maintain "records that sufficiently identify the amount, source, and expenditure of Federal funds for Federal awards. These records must contain information necessary to identify Federal awards, authorizations, financial obligations, unobligated balances, as well as assets, expenditures, income, and interest. All records must be supported by source documentation.

Recommended Documentation

Documentation must be retained when managing participant support costs and may vary based on scope of work or revisions to the award (with prior approval). Below are some examples of programmatic documentation:

- For attendance at in-person workshops and meetings: Sign-in sheets
- For attendance at virtual workshops and meetings: Attendance logs, login/logout timestamps, and attendee reports

- Documentation for supplies that are ordered or distributed to participants and how they support the participant in the project activity
- List of participants the materials are intended for
- Invoices, receipts for travel/lodging/program expenses
- Proof of payment/stipend distribution

Procuring these documents and providing context in cases of audit or review is the responsibility of the PI and/or department. Maintaining such documentation at the department level is important due to portfolio changes and employee turnover.

APPENDICES

FREQUENTLY REQUIRED PROPOSAL DATA

Official Address:
Hampton University
Office of Sponsored Programs
200 William R. Harvey Way
Hampton, VA 23669-4561

Contractual Points of Contact:

Ms. Tiajuana Jackson	
Director of Sponsored Programs	Deputy CFO for Business Operations
757-727-6155	757-727-5221
Tiajuana.Jackson@Hamptonu.edu	GrantsandContracts@Hamptonu.edu

Effective Date of Indirect Cost Agreement: November 2, 2020

Indirect Cost Rates: 50% of MTDC (on campus), 26% (off campus)

Fringe Benefits: 23.11% (**Payroll Benefits:** 7.65%, **Fringe:** 15.46%)

Cognizant Federal Agency: Department of Health and Human Services (DHHS) Darryl Mayes (202) 401-2808

Type of Organization: Private-Nonprofit Institution of Higher Education

Tax ID#: 54-0505990	**Congressional District:** VA-003
UEI: KSJKE3KVNBB4	**NAICS:** 6113
Duns #: 003135068	**House District:** 91st, 92nd
Cage Code: 4W066	**Senate District:** 1st

System for Award Management (SAM) Expiration Date: October 21, 2026

Annual Labor Hours: 2080 **Monthly Labor Hours:** 173.33

May 2026

Date ____________________

HAMPTON UNIVERSITY
REQUEST TO REVISE A GRANT/CONTRACT

Funding **Agency** ____

____ **Project Title** ____________________

____ **Principal Investigator**________________

____**Department** ______________________________

Agency Award No._____________________________**HU Account No.** __________________________

Complete all that apply

Change in PI/Director	**Current**	**New** ______________________________
Change in Other Senior Personnel	**Deletions** ______________________________	**Additions**
Change in Budget (Attach Copies of Original, Revised Budgets, and The Banner Account Balance)	**New Funds Requested?** Yes__________No_____________	**Changes in Indirect Cost or Release Time?** Yes__________No ____________
Changes in Performance Period (Attach Statement of Work for New Period)	**Current date:** **From**_______________________ **To**__________________________	**Requested date:** **From** ____________________ **To** ______________________

Please note, PIs/PDs should not request a no-cost extension solely to utilize remaining funds. A clear rationale must be provided, outlining the specific work or project that will be completed during the requested extension period.

Rationale for Change ____

____

____

____

____

____

Approval Recommended:

____________________________________ Principal Investigator/Project Director

____________________________________ Department Chair/Supervisor

____________________________________ School Dean/Budget Executive

____________________________________ VP for Information Technology*

____________________________________ Executive VP and Provost

____________________________________ Director, Sponsored Programs

____________________________________ Deputy Chief Financial Officer for Business Operations

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

TO BE COMPLETED BY SPONSORED PROGRAMS

AGENCY ACTION ____DATE ___________________________________

Revised 12/24

HAMPTON UNIVERSITY
Hampton, Virginia 23668

Budget Transfer

Date______________________

Budget Transfer No.:__________________
(BUSINESS OFFICE USE ONLY)

Department_________________________

Index Number_______________________

Request is hereby made for change in the budget appropriation available to this department as follows:

New appropriation:……………………………………………………………………………..$___________

Transfer of Appropriation:

From: Fund_________ Org________ Prog__________ Account Description_____________ Acct.________ $______

To: Fund_________ Org________ Prog__________ Account Description_____________ Acct.________ $______

The Budget adjustment requested above is required to permit the effective functioning of this department.
Specific explanation and justification of this request follows:

____
Chairman or Head of Administrative Unit

____
School Dean/Director

____
Director of Grants Management

DO NOT WRITE BELOW THIS LINE

Comment	Comment	Action
____________	____________	____________
____________	____________	____________
____________	____________	____________
____________	____________	____________
Executive Vice President and Provost	Treasurer's Signature	President's Signature

INSTRUCTIONS: Request pertaining to budgets of instructional and other areas under the supervision of the Academic Dean should be submitted to that office before transmission to the Office of the Treasurer. All other areas should submit requests directly to the Treasurer's Office. After review by personnel in the Treasurer's Office, action will be taken by the President and a copy of the executed copy form sent to the department and to the Treasurer's Office.

WHITE: TREASURER'S OFFICE CANARY: DEPARTMENTAL COP

RESET

HAMPTON UNIVERSITY
HAMPTON, VIRGINIA 23668

Authorization to Hire Internal/External Personnel
Under Funded Projects/Grants, etc.

______ Internal Personnel ______ External Personnel

Permission is requested to engage the individual identified in an academic position at Hampton University.

Name: ____ ______________
First Middle Last Title HU ID#

Mailing Address ______________________________________ ______________________(H)
Street City State Zip Area Code Telephone Number

______________________(O)

Responsibilities and Salary

I should like the individual identified above to serve as ______________________________
Position

in the ____
(program, course, project or grant)

Specific responsibilities will be ____

The duration of the assignment will be from______________to______________for a total of__________semesters.

or______________weeks or______________hours. The recommended salary is $ ______________

This position is authorized in ____
(Identify project/grant/program by title and index, fund, organization, account code (6001) and program numbers).

☐ New position ☐ Continuation ☐ Temporary ☐ Replacement Replacement for ______________

I certify that the individual recommended has the credentials and experience necessary to maintain the integrity of the program.

______________________ ______________________ ______________
Signature Position Date

Administrative Approval

______ Approval ______ Non-Approval ______________________ Chair Date	______ Approval ______ Non-Approval ______________________ Dean Date	______ Approval The salary and position is authorized in Budget # ______________ ______________________ Grant Officer Date
______ Approval ______ Non-Approval ______________________ Vice President for Business Affairs and Treasurer Date	______ Approval ______ Non-Approval ______________________ Chancellor and Provost Date	______ Approval ______ Non-Approval ______________________ President Date

Employment application, transcript(s), letters of reference, resume, INS documents must be attached.

APPENDIX E: EDUCATIONAL SUPPORT STAFF

HAMPTON UNIVERSITY
HAMPTON, VIRGINIA

EDUCATIONAL SUPPORT STAFF APPOINTMENT FORM

TO BE COMPLETED BY HIRING DEPARTMENT

Name (Last, First, MI, Suffix)		HUID

Position Title	Date of Hire	Employment End Date	HR ONLY Actual Employment Begin Date

Type of Action

- ☐ New Hire - New Position
- ☐ Rehire - New Position
- ☐ Extension
- ☐ New Hire - Replacement
- ☐ Rehire - Replacement

Name of Person Replaced ______________________

Type of Employment

- ☐ Full Time
- ☐ Part Time

Description of Duties

Salaried or Hourly Rate	Index #	Fund #	Org. #	Acct. #	Prog. #	Department Name / Grant Program Name	# HOURS WORKED Weekly	# HOURS WORKED Yearly

Requested By	Date	Approved By	Date

TO BE COMPLETED BY GRANTS MANAGEMENT

Index #	Fund #	Org. #	Account #	Program #	Account Amount	Payroll Amount	Payroll %	Grant Budget Period	Grant Project Period

Amount to be Paid $ Period of Payment

Index #	Fund #	Org. #	Account #	Program #	Account Amount	Payroll Amount	Payroll %	Grant Budget Period	Grant Project Period

Amount to be Paid $ Period of Payment

Index #	Fund #	Org. #	Account #	Program #	Account Amount	Payroll Amount	Payroll %	Grant Budget Period	Grant Project Period

Amount to be Paid $ Period of Payment

Grants Management Signature   Date

TO BE COMPLETED BY HUMAN RESOURCES

Area left intentionally blank	Area left intentionally blank	Area left intentionally blank	Type of Employee
			☐ 12 Month Academic ☐ Reg Bi-Weekly ☐ Temp Bi-Weekly ☐ Part Time Bi-Weekly ☐ Reg Monthly ☐ Temp Monthly ☐ Reg Part Time Monthly ☐ Grant

			Position #	Rate (hourly employees)	Annual Amount (monthly employees)

APPROVALS

GRANT ACTION: ☐ Approved ☐ Not Approved	DATE:	Assistant Vice President for Grants Management Signature	ADMINISTRATIVE ACTION: ☐ Approved ☐ Not Approved	DATE:	Chancellor and Provost Signature
HUMAN RESOURCES ACTION: ☐ Approved ☐ Not Approved	DATE:	Director of Human Resources Signature	BUDGET ACTION: ☐ Approved ☐ Not Approved	DATE:	Assistant Vice President for Business Affairs and Comptroller Signature
TREASURER'S ACTION: ☐ Approved ☐ Not Approved	DATE:	Vice President for Business Affairs and Treasurer Signature	COMMENTS:		

White - Payroll ◆ Canary - Office of Human Resources ◆ Pink - Employee

HAMPTON UNIVERSITY

CERTIFICATION OF PERSONNEL ACTIVITY

NAME ______________________ ID# ______________

SCHOOL/DEPARTMENT ______________________

MONTH/TERM ______________________

PAID ON INDEX NUMBER (S)
____
____
____

ACTIVITY			% EFFORT ASSIGNED	RELEASE TIME %
Grants and Contracts Administration:	(List by Agency, Index, Fund #'s)		%	%
AGENCY NAME	INDEX#	FUND#		
______	______	______		
______	______	______	______	______
______	______	______	______	______
______	______	______	______	______
Teaching:			______	______
Other:			______	______

I certify that the above information is correct.

Signature of Employee ______ Date ______ Signature of Supervisor/Chair ______ Date ______

Signature of School Dean/Budget Executive ______ Date ______ Signature of Director of Grants Management ______ Date ______

Completed forms are automatically sent to the Director of Grants Management, Dr. Karen Brown, at karen.brown@hamptonu.edu.

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