

College of Engineering OGSRO

*A Quick Reference Guide on Graduate
Studies, Research & Outreach*

www.engr.psu.edu/ogsro

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Your College Contact

Faculty in the College must submit all proposals and awards through the Office for Graduate Studies, Research & Outreach (OGSRO). This office provides advice in development of proposals, procedures for processing proposals and awards, and administers post-award administration actions. Penn State requires that all proposals receive institutional approval *prior* to formal submission. The College facilitates this approval process. Faculty are urged to work with College personnel early in the proposal preparation process to ensure timely submission of proposals.

OGSRO personnel:

John M. Mason:

Associate Dean for Graduate Studies, Research and Outreach
Director, Pennsylvania Transportation Institute
(814) 865-4542 jmason@engr.psu.edu

Ruth I. Weber:

Administrative Assistant to the Associate Dean. Provides administrative support and maintains calendar for the Associate Dean, participates in research development activities.
(814) 863-7013 rweber@engr.psu.edu

Terry K. Reed:

Coordinator for Graduate Studies and Fellowships. Serves as liaison to the Graduate School. Provides administrative support to faculty and student organizations.
(814) 863-7014 treed@engr.psu.edu

John R. McKee:

Associate Director, Grants and Contracts. Oversees research administration and graduate studies activities for OGSRO. Serves as liaison to the Office of Sponsored Programs and other Penn State offices.
(814) 863-8099 jrmdo@engr.psu.edu

Vacant:

Temporary Contact
John R. McKee

Assistant Coordinator of Grants and Contracts. College contact for Electrical Engineering and Computer Science & Engineering. Provides administrative support for negotiations and post-award administration.
(814) 863-8099 jrmdo@engr.psu.edu

Cindy Musser:

Temporary Contact
John R. McKee

Assistant Coordinator of Grants and Contracts. College contact for Aerospace Engineering, Acoustics, Engineering Science & Mechanics and CNEU. Provides administrative support for proposal development and processing.
(814) 863-8099 jrmdo@engr.psu.edu

Michael L. Patten:

Assistant Coordinator of Grants and Contracts. College contact for Industrial & Manufacturing Engineering, Mechanical and Nuclear Engineering and the Radiation Science Engineering Center. Provides administrative support for proposal development and processing.
(814) 863-1292 mlp2@psu.edu

- Christine A. Wilson:** Coordinator of Research and Administrative Services. College contact for Architectural Engineering, BioEngineering, Chemical Engineering, Civil & Environmental Engineering, Engineering Dean's Office (including FEL, MEP, WEP), School of Engineering Design, Technology and Professional Programs, and Science, Technology & Society.
(814) 865-3272 cqw8@psu.edu
- Gregory W. Dauber:** Assistant Coordinator of Grants and Contracts. College contact for the Pennsylvania Transportation Institute. Provides administrative support for proposal development and processing.
(814) 863-9848 gdauber@engr.psu.edu
- Vacant:** Proposal and grant assistant. Assists with the processing of proposals, grants and contracts.
(814)865-1804
- Terry J. Reed:** Director, Continuing & Distance Education, identifies, develops, and implements programs to serve the lifelong learning needs of alumni and other engineering and technical professionals. Works with College faculty and Penn State Outreach units to identify and deliver programs.
(814)865-7643 tjr10@psu.edu
- Deborah L. Zimmerman:** Program Coordinator, Assist Director and Assoc Dean in determining market demand and identifying potential customers for C&DE.
(814)865-7643 dlz1@psu.edu
- Bonnie M. King:** Staff Assistant to Continuing & Distance Education
(814) 865-7644 bmk1@psu.edu
- Melissa A. Stark:** Staff Assistant in Continuing & Distance Education, assist students in submitting applications for the FE exam, arrange video conferences.
(814)865-7643 masdo@engr.psu.edu

Finding Sponsors - The Quest for Funds

(Federal, State, Local, Industrial)

The best way to identify potential sponsors is to network with faculty at Penn State and other universities, industry representatives, and governmental agencies. Experience within the College has proven that nearly all industrial funding results from personal networking.

Several regular publications and e-mail alert services provide information for funding opportunities in both the public and private sectors. OGSRO monitors a variety of these services and also receives announcements of competitions from sponsors. College faculty can access services directly or request assistance from OGSRO.

Faculty can perform personalized searches through web based services such as SPINS, Fedix, NSF, Community of Science, as well as other funding agencies. These services use key words to perform the search, and then alert the faculty via e-mail when an opportunity matches the key words.

What's In a Name?

(Gifts, Grants, Cooperative Agreements, Contracts, and Master Agreements)

While the award instrument through which a project is funded is a significant distinction for sponsored programs administrators, many faculty and research investigators are far more concerned with the amount of funding and duration of an award. There are five primary funding instruments: Gifts, Grants, Cooperative Agreement, Contracts and Master Agreements.

Gifts to the University support a variety of faculty activities. **Gift** characteristics include:

A letter stating it is a gift.

No statement of work.

No formal technical reports are required.

A check in-advance.

No formal financial reports are required.

No deliverables are required for the activities supported.

Unrestricted grants to the faculty support a multitude of research activities.

Unrestricted grant characteristics include:

- A check in-advance.*
- No statement of work.*
- No restrictions on publications.*
- No restrictions on intellectual property.*
- Less than \$50,000 per fiscal year.*

Grants and **Cooperative Agreements** are employed when the principal objective of the sponsor is the transfer rather than the acquisition of project results/outcomes to accomplish a public purpose.

Grant characteristics include:

- Sponsor's principle objective is the accomplishment of a public utilization.*
- Project usually has stated goals and objectives.*
- Substantial sponsor involvement is **not** expected.*
- Sponsor has expectations about how the funds will be spent.*
- Grant deliverables may include formal technical reports.*
- Financial reporting and/or accounting is required.*

Cooperative Agreements characteristics include:

- Sponsor's principle objective is the accomplishment of a public utilization.*
- Project usually has stated goals and objectives.*
- Substantial sponsor involvement **is** expected.*
- Sponsor has expectations about how the funds will be spent.*
- Grant deliverables may include formal technical reports.*
- Financial reporting and/or accounting is required.*

Contracts are used when the principal objective of the sponsor is the acquisition of property or services for the direct benefit of the sponsor. **Contract** characteristics include:

- Specific deliverables are stipulated in negotiations.*
- Project performance is monitored by the sponsor.*
- Technical reports are required.*
- Detailed financial reports are required.*

Master Agreements are emerging as a fourth type of administrative structure and are most common with industry. These are umbrella agreements that support faculty activities through Task Orders.

Preparing Your Proposal

(Two Parts - Technical Proposal & Cost Proposal)

Technical Proposal

Sponsoring agencies generally have guidelines for preparing a proposal. In an RFQ, RFP, or formal competition, these guidelines can be very detailed with specific forms accompanying the proposal text. Often there are limitations with regards to page length, font size, title length, and supporting documentation. Instructions must be carefully followed, since many funding agencies reject proposals outright for noncompliance.

When no guidelines are provided, there are some general rules of thumb. A cover page should always accompany the proposal. It must include space for the Principal Investigator (PI) and Assistant Vice President signatures and contain a list of items such as proposal title, PI name(s) and addresses, host department or center, funding requirements, and time frame. Page numbers are essential, and a table of contents benefits the reviewers during the review process.

An abstract accompanying the proposal should be both concise and complete. Funding agencies often use abstracts in their annual reports. Abstracts also help OGSRO staff in preparing reports.

Proposal text should include a clear statement of the project goals and objectives, as well as a description of the proposed work. Preliminary studies or those by other investigators should be summarized. Care should be taken in the text to explain the need for unusual or large expenses, such as equipment, special travel, or use of facilities. References should be included, as well as a full bibliography and a vitae.

Cost Proposal

The budget is often reviewed separately from the proposal. Budget notes should be provided to identify the roles of each person who will be involved in the project and detail the use of all funds requested. This is the opportunity to justify funds that are requested. If the sponsor requires cost sharing, please contact your research administrator (see page 1) for sources of cost share and policies.

Easy Budgeting

The College of Engineering has developed the Cost Proposal System (CPS). This system supplies standard rates and applies fringe benefit and indirect cost rates automatically. Nearly 95% of the proposals originating from the College use budgets generated by CPS. The computer program is user-friendly and eliminates the need for hand calculations and manual preparation of common agency budget forms, as well as Clearance Data Forms (CDF).

Estimating Your Budget - Frequent Rates & Expenses

Fringe benefits are applicable to all University salaries and wages. All full-time salaries carry a fringe benefit rate of 25.8%; graduate assistant stipends carry a rate of 15.7%; part time staff, post-docs, and wage-payroll personnel are assessed at 8.2%. (Based on 2007-08 rates.)

Facilities and Administrative (F&A), or indirect costs, represent the University's expenses associated with operating the research enterprise. The rate is established through careful review of University research-related expenses and negotiations with the Office of Naval Research (ONR).

F&A costs are based on the project's Modified Total Direct Cost (MTDC). The MTDC is an adjusted figure and is not always equal to the direct costs requested. The following formula should be used to find the MTDC:

MTDC = Total of the Direct Costs excluding:

Tuition

Value of subcontracts > \$25,000

Equipment expenses for items > \$5,000

The University collects F&A at the rate of 47.4% of the MTDC for non Department of Defense and Department of Defense grants (based on 2007-08 rates) ; and 51%for Department of Defense contracts; and 52.4% for industry sponsored projects on campus research.

The University establishes salary increases. Estimated salaries can be based upon a 3.5% annual increase, to occur July 1 of each year for faculty, and 3.5% for all other full-time employees and graduate assistant stipends. These rates should be used unless the sponsor specifies the salary inflation rates.

Graduate assistant stipends and tuition are set for quarter-, half-, and three-quarter time project support. In the College, Grade 10 and Grade 12 half-time assistantships are most common.

	Grade 10	Grade 12	Tuition
Fall 2007	\$6,570	\$7,582	\$5,935
Spring 2007	\$6,570	\$7,582	\$5,935
Summer 2008	\$4,402	\$5,058	\$2,968
Fall 2008	\$6,800	\$7,848	\$6,470
Spring 2009	\$6,800	\$7,848	\$6,470
Summer 2009	\$4,556	\$5,235	\$3,235

Faculty should contact their department administrative assistant or OGSRO staff for stipend and tuition charges for other grades and times. The inflation rate for tuition is 9.0%.

From Faculty Hands to the Mail Room

The proposal package must be approved, and approvals are evidenced by signatures on the proposal and the University's internal CDF, signed off by the Department Head or Program Chair, COE/ OGSRO and the University. The CDF includes a significant financial disclosure statement conflict of interest statement, which must be initialed by the PI, and an assignment of credit form to designate effort to the appropriate University strategic initiatives before the proposal can be further processed.

After a review by the College, the proposal is then signed on behalf of the University, assigned an identification number, and submitted to the sponsor electronically or via FedEx. The emerging trend is for research sponsors to require that proposals be submitted electronically. For example, NSF requires total electronic submission, including electronic signature, via *Fastlane*. A growing number of sponsors are developing similar means of electronic submissions.

Who's Who in University Research Administration

(and other important, but hard to remember facts)

The University has specific administrators who oversee individual functions within the research administration enterprise. Likewise, there are preferred mailing addresses and contact persons. Sponsors may also request very detailed tax, employer, indirect cost, and other information.

The following list should help you fill out the proposal application forms.

When an application requests...

Penn State suggests...

Submitting Organization

The Pennsylvania State University

Address for Official Correspondence

Office of Sponsored Programs
110 Technology Center
200 Innovation Blvd.
University Park, PA 16802
814-865-1372 Fax: 814-865-1008
Email: osp@psu.edu

Type of Organization

State-Related Institution of Higher Education

Official Authorized to Sign Proposals

David W. Richardson, Assistant Vice President and
Director of Sponsored Programs

Official Authorized to Sign Contracts

David W. Richardson, Assistant Vice President and
Director of Sponsored Programs
Susan J. Weideman, Assistant Controller

Financial Contact

Richard Killian
Manager, Research Accounting
401 Rider Building II, 227 West Beaver Avenue, Suite 401
University Park, PA 16802
814-865-7525 Fax: 814-865-3910

Contractual Contact

Helen Tyson, Lead Negotiator and Team Leader
Office of Sponsored Programs
110 Technology Center, 200 Innovation Boulevard
University Park, PA 16802
814-863-4020 Fax: 814-865-3377
hrt2@psu.edu

Cognizant Agency/Contract Administration Office	Contact OGSRO
Local Audit Office	Contact OGSRO
Congressional District	5th
PA Representative District	171st
Senate District	34th

Employer ID Number	24-6000-376	NIH Identifier Number	1246000376A1
NSF Institution Code	00 3329 000	DUNS Number	00-340-3953
CAGE Code	7A720	Standard Industrial Code (SIC)	8221 & 8773
NAICS (North American Industry Classification System)	611310	Contractor Establishment Code (CEC)	003403953
PA Dept of Education (Administrative Unit Number)	4-10-14-720-1	NIH Human Subject Assurance No.	FWA 00001534
DHHS Assurance Number	81894	Commonwealth Vendor SAP ID	141597-005
FICE	006965	J-1 Visa Designation (INS Code)	P10329
PA Dept of Educaiton (Admin Unit Numbers)	4-10-14-720-1	NIH Animal Welfare Assurance No.	A3141-01

Date of Last Negotiation Agreement (for facilities and administrative cost rate approvals)	July 2, 2007, by ONR
Date of Central Contractor Registration (CCR)	May 18, 1998, under DUNS number 00-340-3953
Date of CASB-DS-2 Filing	Last Revision - March 9, 2006
Date of Government Property Control System	Approved by ONR
Date of Misconduct in Science Filing	February 13, 2001
Date of Purchasing System Approval	Approved by ONR
Date of Travel Policy Approval	Approved by ONR
Date of Accounting System Approval	Approved by ONR

Negotiations

All awards received by Penn State faculty members are actually made to the University on the individual's behalf. Penn State assumes all financial responsibility and guarantees completion of the project. To accept an award, a number of steps are required. First, OSP receives notification that the sponsor wishes to support the project.

For a grant or cooperative agreement, OGSRO simply reviews the award guidelines and recommends that the University either accept it as offered or with minor changes to non-technical details.

For contracts, the process begins before an award is made. During pre-negotiations, the sponsor and faculty discuss technical details. OGSRO then verifies the budget details and confirms all rates of the quoted in the proposal.

After this phase, OSP enters into formal negotiations with the sponsor and reviews the non-technical details of the contract such as copyrights, patents, default, and termination clauses. The Research Accounting Office (RAO) and the OGSRO also review the formal contract. After all parties agree to the content of the contract, the University accepts the award.

Start Date

Grant start dates are usually determined by the sponsor of the award. Faculty have access to the funding as soon as the University accounting system is ready. Contracts are not as predictable, because, in some cases, the start date is specified while in others it is determined by the final signature date. The final signatory may be the University or the sponsor, depending on the contract. Funds are not released to the University until the official start date of the project.

Account Numbers

When a start date has been determined, OGSRO establishes an account number. To be processed, each expenditure must be tagged with a unique identifier for each account for reporting purposes. An electronic budget (BARA) is forwarded to the department(s) involved, which then provides a copy to the PI. If the budget has changed since the proposal, a budget revision should be processed through OGSRO immediately.

Expenditures

Individual departments manage award funds and initiate all expenditures. The RAO monitors expenses and submits any reports to the sponsor as required.

For some sponsors, faculty occasionally wish to expend funds before the award is finalized. In these cases, the PI can request an Advance Fund Number (AFN) prior to acceptance of the award when there is a solid commitment from the sponsor. The department assumes all risk in covering AFN expenditures.

Faculty Responsibilities

The University assumes legal responsibility for all funded projects. The PI is responsible for the management, research, and technical reporting activities. All technical reports and project deliverables are the full responsibility of the faculty member. The PI must maintain contact with the sponsor's technical monitor and comply with all technical reporting requirements. The PI must also initiate correspondence through OGSRO with the sponsor's administrative or contract monitor to request programmatic or budgetary changes.

A Check in Hand

Sometimes industrial sponsors or donors send the check directly to the faculty member. True gifts must be processed through the engineering development office, **please contact:**

Engineering Development Office
101 Hammond Building
University Park, PA 16802
(814)863-3848

Unrestricted grants for general research support and support specific activities must be forwarded to the Engineering Finance Office for processing. To process a unrestricted grant, departments need to prepare the following package and forward all materials to Engineering Finance. This package includes:

The check
Departmental receipt (yellow copy)
Copies of supporting documentation
(proposal, sponsor letter, thank you letters, etc.)

A budget or budget revision (BARA)
A Penn State Report of Cash Receipts (ROCR)
Questionnaire & Long Form CDF

For more information contact: Office for Graduate Studies, Research & Outreach
101 Hammond Building
University Park, PA 16802
814-865-1804 Fax: 814-863-0497

Continuing & Distance Education

In today's rapidly-changing, knowledge-based economy, engineers must devote the time and effort to learn new skills and technologies in order to add value for their employers and clients and to remain personally marketable.

An undergraduate degree in Engineering provides both an entree to the profession and a foundation for future learning. It is, however, the beginning, not the end. It has been estimated that the life of a B.S. degree in Engineering is approximately seven years. With the technological changes and innovations, Continuing & Distance Education (CDE) links engineers' educational needs with the knowledge discovered and organized by the Engineering faculty, and supports the faculty in the delivery of quality programs.

Every year, the College supports the delivery of hundreds of programs to thousands of learners throughout Pennsylvania and the U.S. Programs are delivered at University Park, at Penn State campuses throughout the Commonwealth of Pennsylvania, to work sites, and to people's homes and offices through distance education.

In addition to the standard face-to-face instruction, CDE links learners and faculty through a broad range of technologies, including: the Internet, e-mail, videoconferencing, fax, and an interactive telephone system. CDE takes great pride in bringing you quality courses, taught by expert instructors, and delivered in a user-friendly manner.

For more information contact: Office of Continuing and Distance Education in Engineering
301 Engineering Unit C
University Park, PA 16801-4819
Phone: (814) 865-7643 Fax: (814) 865-3969