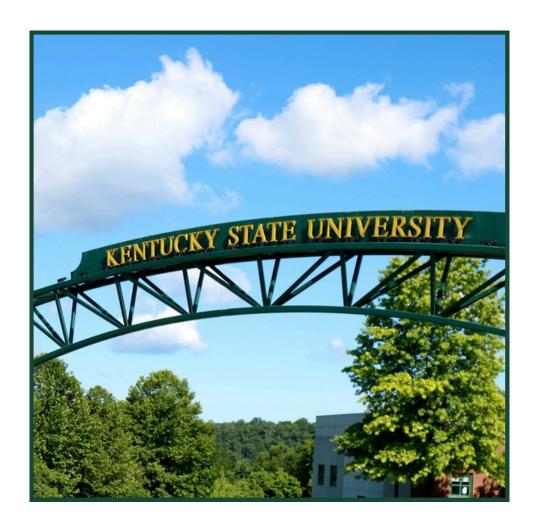# KENTUCKY STATE UNIVERSITY
OFFICE OF RESEARCH & INNOVATION

GUIDE FOR NEW FACULTY

www.kysu.edu

Office of Research and Innovation

Welcome to Kentucky State University! The Office of Research and Innovation (ORI) supports faculty in their grant seeking efforts including pre-award administration and budget advising, competitive proposal development, and post-award management of grants.

This Guide for New Faculty was developed to help you navigate the services available to you within ORI to support your sponsored research. The information in this guide is also available in expanded form on the ORI website.

WELCOME

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CHECKLIST:

Once you get settled at KSU

☑ Reach out to the Office of Research & Innovation with any questions!

☑ Sign up for ORI Newsletter to receive Bi-weekly alerts here.

☑ Attend training sessions offered by the Office of Research and Innovation.

We appreciate your feedback—let us know how we can improve!

MEET YOUR TEAM

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Pre-Award

OVERVIEW: THE OFFICE OF RESEARCH AND INNOVATION

The Office of Research and Innovation (ORI) assists faculty in obtaining and managing sponsored awards and with ensuring the proper stewardship of funds.

Key ORI services include:

- **Pre-Award Services:**
    - Assistance finding funding opportunities
    - Support developing grant budgets
    - Guidance on federal regulations and sponsor policies
- **Proposal Development Support:**
    - Templates to guide development of the narrative
    - Review of the narrative for alignment with the funding opportunity
    - Editing for flow and clarity
- **Post-Award Services:**
    - Assistance facilitating award negotiations
    - Support for post-award administration including budget reallocations and no-cost extensions

HOW CAN ORI HELP YOU?

Grant Proposal Support:

- Let us know how we can help by filling out our office Intent to Submit Form! Here

Training: *Coming Soon!*
- Workshops on NSF CAREER and more.

ORI Website:
- Policies, Forms, and FAQs Here

ORI Newsletter:
- News and Announcements
- Research Highlights and Funding Opportunities
- Professional Development Opportunities

FINDING FUNDING

Below are some key tools to get you started:

Grants.gov – The main federal grants portal. Search, save filters, and set up email alerts. Start at grants.gov/search.

Grant Gopher – A free tool to search federal, private, and nonprofit funding by keyword, deadline, or eligibility. Visit grantgopher.com.

ORI Assistance – Contact ORI for personalized support in securing funding. Email ORI@kysu.edu

Let us know how we can help!

Current KSU Funding Landscape:

AWARDING AGENCIES

Name	Obligations	% of Total
Department of Agriculture (USDA)	16.21M	48.97%
Department of Education (ED)	12.99M	39.23%
National Science Foundation (NSF)	3.91M	11.8%

AWARDING SUB-AGENCIES

Name	Obligations	% of Total
Department of Agriculture (USDA)	15.15M	45.75%
Department of Education (ED)	12.99M	39.23%
National Science Foundation (NSF)	3.91M	11.8%

PREPARING YOUR PROPOSAL (1/3)

Proposal Submission :

Most federal agencies use systems like Grants.gov, Research.gov, or agency-specific portals (e.g., NIH uses ASSIST). Principal Investigators should refer to the individual sponsor guidelines for information about the required method of submission. ***ORI is the only office with the delegated authority to submit sponsored project proposals to external funding agencies on behalf of KSU***. Unless otherwise stated in the Notice of Funding Opportunity (NOFO) or equivalent external funding solicitation, proposals may not be submitted directly to the funding source without the prior approval of ORI. **An Intent to Submit Form is required for all proposal submissions, even those to non-federal sponsors and those submitted by other institutions in which KSU is named as a subrecipient.**

Agency Guidelines/Forms:

Each Federal Agency has specific guidelines for preparing and submitting federal grant applications. Below are links to the preparation and formatting guidelines for select federal agencies:

USDA (National Institute of Food and Agriculture - NIFA)
- NIFA Grants Application Guide: This guide provides general information and references pertaining to the grant application process as well as NIFA-specific instructions and requirements. Link

NSF (National Science Foundation)
- Proposal & Award Policies & Procedures Guide (PAPPG): The PAPPG is the source for information about NSF's proposal and award process. Each version applies to all proposals or applications submitted while that version is effective. Link

Department of Energy (DOE)
- DOE Application Guide: This guide explains the steps needed to get started on a funding application, including types of opportunities and application statuses. Link

PREPARING YOUR PROPOSAL (2/3)

IMPORTANT POLICIES

Submission Deadlines Policy:

To ensure compliance with KSU and federal or non-federal sponsor policies, requirements, and regulations, Principal Investigators (PIs) must adhere to the **ORI Intent to Submit Policy** and the **Grant Submission Deadlines Policy**.

The **Intent to Submit Policy** states that an **Intent to Submit (ITS) form** must be submitted **at least 30 calendar days before the federal funding agency's due date** for grants to federal agencies, or **at least 15 calendar days before the external funding agency's due date** for grants to non-federal sponsors or grants being submitted by another institution in which KSU is named as a subrecipient.

The the ORI Grant Submission Deadlines Policy states that an **ITS form** must be submitted **at least 30 calendar days** before the federal funding agency's due date, **near-final budgets** must be submitted to ORI **at least two weeks** prior to the sponsor deadline, and **complete grant application packages** must be submitted to ORI in final form **five (5) business days before the sponsor's due date**. The final submission package must include a **Grant Submission Form** signed by the PI's Dean or Department Chair. Failure to meet these deadlines will result in the proposal not being submitted to the sponsor on behalf of KSU.

All deadlines associated with the new Grant Submission Deadlines Policy are summarized in the graphic below. You can find more information on the updated Grant Submission policy here.

Grant Submission Deadlines and Requirements

Within 30 Days	Within 2 Weeks	Within 5 Days
An Intent to Submit (ITS) form must be submitted to ORI/SPS at least 30 days prior to a sponsor's deadline to initiate the proposal process.	A near-final budget and budget justification must be submitted for review and approval 2 weeks prior to the sponsor's deadline.	The complete grant application package is due to ORI at least five (5) full business days prior to the sponsor's deadline.

PREPARING YOUR PROPOSAL (3/3)

Budget:

Estimating Your Budget - Frequent Rates and Expenses

SALARIES are established by the University. Multiple-year budgets should include estimated salary increases. A 3% increase may be projected unless the sponsor specifies salary inflation rates.

GRADUATE ASSISTANT STIPENDS are set by the departments. The ORI budget template contains a tab that outlines the minimum School/department-level GRA stipends.

FRINGE BENEFITS apply to all University salaries and wages. The actual costs for fringe benefits are charged (billed) to the sponsored project at the time the costs are incurred; the amount charged is based on salary, selected benefit package, and other variables applicable to the individual employee. Graduate student benefit amounts include additional funds to cover employee and employer insurance premiums.

INDIRECT COSTS (IDC) (also known as Facilities and Administrative Costs). At present, KSU does not have a federally-negotiated IDC rate. Thus, KSU must use the De Minimis IDC rate of 15%, unless a different IDC rate is stipulated in the notice of funding opportunity.

The De Minimis rate is applied to Modified Total Direct Costs (MTDC), which typically include all direct salaries and wages, applicable fringe benefits, materials and supplies, services, and travel.

MANAGING YOUR SPONSORED RESEARCH

General Responsibilities

Individual departments manage award funds, initiate, and monitor all expenditures. The University assumes legal responsibility for funded projects.

Faculty Responsibilities

- The PI is responsible for the management and conduct of research activities.
- All technical reports and project deliverables, including subawards, are the full responsibility of the PI.
- The PI must initiate budget revisions, cost transfers, and extension requests with ORI.
- The PI is responsible for monitoring subrecipients, managing subaward performance, and reviewing and approving subaward invoices.

Award Negotiations & Acceptance

Awards are received by Kentucky State University on behalf of the Principal Investigator (PI). While the PI assumes the responsibility for technical oversight and completion of the work, the University remains legally responsible for the award. Therefore, all awards must conform to University policies and procedures.

Important Policies

ORI has established several important policies to guide the submission and management of sponsored awards. Be sure to visit the ORI website to familiarize yourself with ORI policies and to explore the various resources and services available to you to support your grant seeking efforts!

If you need assistance do not hesitate to reach out - we are here to help you! ORI@kysu.edu