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PREFACE

1. INTRODUCTION

Seton Hall University is committed to maintaining an environment that encourages intellectual creativity and inquiry. Faculty members and administrators are encouraged to pursue scholarly, training, and service activities that contribute to their disciplines and fields. The scholarly and service activities of the faculty and administration are expected to reflect and sustain the academic goals and mission of the University. The University also encourages the participation of students in sponsored research and other sponsored activities.

It is within the mission of the University’s Office of Grants and Research Services (OGRS) to assist faculty and administrators in seeking external support for research, teaching, and outreach into the neighboring community. OGRS provides all necessary assistance that may be required by individuals and groups seeking to attract external funds to support such endeavors and ensures compliance with all applicable federal, state, and university policies and procedures.

The *Principal Investigator's Handbook* is designed to introduce faculty members and administrators to the process of obtaining funding and the procedures governing interactions with external sponsors, as well as to assist in their efforts to find, obtain, and administer external grant support. This reference guide provides guidance in writing sponsored research proposals, submitting them through the University, and managing the grant awards. It contains standard policies, procedures, and forms that faculty will need to accomplish these tasks. In the event of a conflict between policies of the University and the funding agency, the more restrictive policy shall be followed.

The *Handbook* is a good starting point for grant seekers at the University. When questions arise that are not addressed here, faculty members and administrators may contact OGRS at (973) 275-2974 or via e-mail, at grantsoffice@shu.edu. OGRS is located on the third floor of Presidents Hall.

2. SPONSORED RESEARCH AND OTHER SPONSORED PROJECTS

Faculty members at Seton Hall University are encouraged to seek external funding to relieve them of the restrictions of departmental funding in support of their research, community service, and teaching. Categories of support for which faculty might seek external funds include: curriculum development, training, equipment, travel, research, fellowship support, public service, conferences, art exhibitions, and scholarship funds. In each case, the sponsor could be the Federal Government, the State of New Jersey, a private philanthropic foundation, a corporation, or a professional organization. The award may be a grant, contract, sub-award, purchase order, or other agreement with Seton Hall being the award recipient. When the award is a gift to the University, e.g. there is no quid pro quo, the correct office to handle the award is the Office of Corporate and Foundation Relations. OGRS performs all pre-award services for the University in sponsored projects administration.

2.1. Rights and Responsibilities of Faculty Members

The purpose of the *Handbook* is to meet the increasing need at Seton Hall University for guidance in the conduct of research and other sponsored programs. This need is due to the recent increase in external grants awarded to the University. Our success is due in no small part to the attention our faculty members and administrators pay to all aspects of externally funded programs, including obligations to the University and to sponsors. This *Handbook* outlines the University policies and procedures related to grants. Grant seekers and recipients also have to be mindful of their obligations to students, staff, and external sponsors. The following statements outline rights and responsibilities of grant recipients or principal investigators (PIs) in the conduct of research and other sponsored programs at Seton Hall University.

In the conduct of research and other sponsored programs, all faculty members have the right to academic freedom as defined in the Seton Hall University *Faculty Guide*. Faculty members have the right to disseminate
the results and findings of your research without suppression or modification by external sponsors. They also have the right to engage in external consulting activities as defined in the Seton Hall University Faculty Guide. It is important to adhere to both the spirit and the letter of the policy.

Along with these freedoms come corresponding responsibilities. PIs must be aware of their obligations to staff and students working as part of the research team. It is particularly important that at least annually, each PI reviews intellectual and tangible property rights and responsibilities (for management of data in all media, for proper authorship attribution, etc.) with all members of the group under her or his direction, including staff, students, postdoctoral fellows, and visiting scholars. Each member of the research team has the right to know who is sponsoring the research and supporting his or her salary or stipend. On an individual level, the best interests of each staff member and student should be of particular concern. The University is committed to demonstrate support and appreciation for its staff. To that end, PIs are encouraged to provide staff development opportunities and, if possible, a mentor relationship for those working in their team.

Certification of Salaries Charged to Sponsored Projects
Seton Hall University is required by the Federal Government to document effort charged to sponsored projects. It is the responsibility of each department chair and dean to see that a system is in place to ensure that PIs fulfill the requirement for review and certification of salaries, and to assure that salaries charged to sponsored projects correspond to effort expended on those projects, within the appropriate limitation for their school or college.

Equipment Control
The control of both Seton Hall University and government-owned equipment is mandatory under the University’s externally sponsored contracts and grants as well as under University policy. PIs are responsible for securing necessary approvals for the purchase of the equipment and for proper tagging, inventory, and eventual disposal of equipment.

Fiscal Obligations
Although the legal agreement establishing a sponsored project is between the sponsor and Seton Hall University, the overall responsibility for management of a sponsored project within funding limitations rests with the PI. Funds must be expended within the restrictions of the contract or grant and if any overdraft should occur, it is the responsibility of the PI to clear the overdraft by transferring charges to an appropriate account.

Research Protocols
PIs also need to ensure that approved research protocols for the use of human and animal subjects in research are obtained and followed. These protocols do not need to be approved in order to apply for external support; however, no research involving animals or human subjects is allowed to begin at the University without first obtaining the necessary approvals.

Health and Safety
Each PI is responsible for training members of his or her team in appropriate health and safety procedures for that particular research area and for management of those procedures in her or his laboratory or other workplace. PIs are also responsible to assure the periodic inspection of lab facilities and to cooperate in any inspections by Seton Hall personnel or by external agencies.
3. **THE OFFICE OF GRANTS AND RESEARCH SERVICES (OGRS)**

Seton Hall University encourages faculty members and administrators to seek funding from outside sources to meet existing needs and to conduct special projects. In recognition of the importance of this search for external funding, OGRS provides a variety of support services. OGRS assists and advises the University community in obtaining and managing external funds for research, instructional, and public service activities that advance the mission of Seton Hall University, whether to meet existing needs or for new projects.

OGRS coordinates the submission of proposals and acceptance of external awards and contracts at Seton Hall University. External grants and contracts come from many sources, including federal and state agencies, local government, as well as foundations and corporations. Any members of the University faculty and administration who wish to submit proposals for externally funded grants and contracts should first contact OGRS. OGRS and the Office of Corporation & Foundation Relations will coordinate the submission of proposals. **No proposals may be submitted without obtaining the appropriate approvals through these offices. Proposals must be submitted to OGRS for review and approval at least five business days in advance of the sponsor deadline.** This is to ensure that there is enough time for any changes to be made, duplications, fax copies, or next day or electronic delivery of proposals.

Additionally, OGRS provides administrative support for the Seton Hall University Research Council (URC). The URC was established to foster faculty research and to promote faculty development activities, including the identification of priorities and programs which shall provide opportunities for faculty growth and renewal. It conducts an annual awards competition for research-expense grants and summer stipends in accord with guidelines approved by the University.

The OGRS website contains a wide range of resources for those seeking external funding. These resources include proposal writing guides, searchable databases of funding opportunities, grant alert services, and links to the websites of public agencies, private foundations, and electronic application systems.

### 3.1. OGRS Services

**Information about Sources of Funding**
- The OGRS website ([http://academic.shu.edu/grants](http://academic.shu.edu/grants)) provides links to public and private funding agencies and searchable databases of funding opportunities, such as SPIN and ResearchResearch.
- We review newsletters, publications, and electronic resources regularly and forward information on grant and fellowship opportunities to faculty members and administrators.
- We assist in identifying government, foundation, and corporate grant programs to match faculty interests.
- We disseminate information on internal awards, such as the URC awards and the Provost’s Faculty Scholarship Awards.

**Project Design**
- We provide consultation and assistance in the project design phase preceding proposal preparation.
- We provide coordination and consultation in the design of campus-wide, multidisciplinary, and/or inter-institutional projects.

**Budget Preparation**
- We review and approve all proposal budgets. The Director of OGRS is the official Seton Hall University institutional representative who signs off on agency forms.
- We provide consultation in completing all required federal budget forms, budget narratives, and assurances.
- We advise applicants regarding current University policies on Facilities & Administrative (F&A) or indirect costs, fringe benefit rates, etc.
- We advise applicants on obtaining matching funds for cost sharing when required by the sponsor.
Proposal Assembly
- We provide assistance in securing the necessary approvals, including official signatures required on the Seton Hall University Intent to Apply for External Funding form.
- OGRS is responsible for assuring that all proposed projects, prior to submission, are in compliance with all federal regulations concerning human subjects and animals, scientific misconduct, conflict of interest, etc.
- OGRS is charged with ensuring that proposals conform to University policies, and that proposed budgets contain the necessary fringe benefits, Facilities and Administrative costs, and cost sharing requirements.
- We provide assistance with the duplication, assembly, and next day delivery of proposals to sponsors.

Electronic Submission
- We provide assistance with the online submission of proposals.
- We provide training about the online submission process.

Agency Foundation Contact and Follow-up
- We act as a liaison between the PI/University and the funding agency to explore funding opportunities and to follow up on submitted proposals.

Subcontracts and Sub-grants
- We work with the University’s legal department to ensure that subcontracts comply with University requirements.
PRE-PROPOSAL STEPS

1. **STatement of Principal Investigator Eligibility**

Principal Investigator (PI) refers to an employee of Seton Hall University (see below) who is or becomes eligible under this policy to submit a proposal through OGRS for external support for a research, training, or public service project; who personally participates in the project to a significant degree; and who has primary responsibility for the scientific, technical, and administrative conduct and reporting of the project, and assures the project's adherence to relevant policies and regulations. A PI who is the head of a training or public service project or other non-research sponsored programs may be known as a Project Director (PD). For the purposes of this policy, the terms shall be considered equivalent. The title of Principal Investigator or Project Director identifies the individual responsible for the conduct of the project.

Co-Principal Investigator (Co-PI) refers to one or more investigators who share responsibility with the Principal Investigator for the scientific, technical, and administrative conduct and reporting of a project. Each person thus involved in the project shall be considered to be a Co-Principal Investigator. Primary responsibility and oversight of the project remain with the Principal Investigator.

The PI or PD on a grant awarded to Seton Hall University must belong to one of the following categories:
- full-time faculty or staff members
- post-doctoral fellows (but not a post-doctoral visitor, please see below)
- Professors Emeriti can be PIs conditional on the availability of departmental resources and on the approval by the appropriate academic dean
- any other full-time employees of the University.

Eligibility to serve as a PI or Co-PI is contingent upon continuation of the employment or other status under which eligibility was initially determined; and upon compliance with all applicable policies of the University and the funding agency. In the event of a conflict between policies of the University and the funding agency, the more restrictive policy shall be followed.

Titles including the terms “adjunct” or "visiting” do not confer the right to serve as a PI. “Adjunct” indicates that the individual is not a full-time employee, and "visiting” appointments are for individuals whose primary responsibilities rest outside the University.

2. **Project Development**

In the earliest stage of a project, there is an idea. The researcher must develop that idea into a clearly articulated goal that can answer the question “what does the researcher hope to accomplish with the completion of this project?” This overarching goal forms the backdrop for presenting a proposal that can successfully describe a solid and realistic work plan and budget, and provide some assurance to the sponsor that the award will be used to its best potential advantage. The proposal must be able to provide quick, simple answers to the following questions:
- What will the research accomplish, how much will it cost, and how much time will it take?
- What is the plan for completing the research?
- How will results be evaluated?
- How does the proposed project relate to the sponsor's interests?
- Why should you, rather than someone else, do this project?
- What has been done already in the area of the project?
- What difference will the project make to the institution, students, the discipline, or whatever appropriate categories are identified?
2.1 RFAs and RFPs

Requests for Applications (RFAs) and Requests for Proposals (RFPs) are special types of proposals. They outline specific initiatives (RFAs) or requests for services (RFPs) and are initiated by the sponsor. RFAs are formal announcements that describe an initiative in a well-defined area and invite researchers in the field to submit a grant application. RFAs are often one-time competitions with a limited number of available awards and a specific dollar amount allocated to each award. RFPs are a sponsor's request for bids on a project. The sponsor solicits pricing and/or technical proposals to supply goods or services as specified in the requesting document. The proposal procedure for RFAs and RFPs is often complex and must satisfy very specific requirements. Any resulting award(s) are generally funded by a contract.

3. Finding Funding Sources

Once you have developed the basics of a research project, the next step is to begin identifying appropriate funding sources. Sponsored projects fall within several general categories of funding, such as research, training, curriculum or faculty development, public services, travel awards, fellowships, art exhibitions, and equipment. Sponsors include the federal government, state and local governments, private foundations, international organizations, research institutes, and corporations. The key to obtaining funding for a project is to match the scope of the project with a sponsor's mission and interests.

There are several starting points for identifying potential funding sources. The OGRS website facilitates grants research efforts of the Seton Hall community by providing quick links to some of the most useful databases of funding sources.

1. Sponsored Programs Information Network (SPIN)
   http://www.infoed.org/new_spin/spinmain.asp
   Sponsored Programs Information Network is a funding database designed to provide up-to-date information on current national and international government and private funding sources. SPIN currently contains information from more than 2,500 different sponsors, which together offer thousands of funding opportunities.

2. Community of Sciences (COS)
   http://www.cos.com/services/
   Community of Sciences (COS), a division of CSA, is a leading provider of information resources to researchers, scholars and other professionals around the globe. COS brings together the world's most prominent scientists, researchers and scholars at more than 1,600 universities, corporations and government agencies worldwide. COS provides services that enable these professionals to find the funding, people and information that are important to their work. These services include: COS Expertise®, the database of detailed, first person profiles of more than 480,000 R&D professionals and scholars; COS Funding Opportunities™, the largest compendium of information about available funding; COS Abstract Management System™, an online publishing solution for universities and professional societies, and customized access to a range of professional reference databases including U.S. Patents, MEDLINE®, AGRICOLA, and GeoRef, among others.

3. Grants.gov
   http://www.grants.gov/
Grants.gov allows the searcher to find and apply electronically for competitive grant opportunities from federal grant-making agencies. Grants.gov is the single access point for thousands of grant programs offered by 26 federal grant-making agencies and departments. Navigation of Grants.gov is simple. Use the colored tabs and links at the top of the screen to access primary sections of the site and links on the left side of the screen to access content within each section.

4. Foundation Center
http://foundationcenter.org/
The Foundation Center is an independent nonprofit information clearinghouse established in 1956. The Center's mission is to foster public understanding of the foundation field by collecting, organizing, analyzing, and disseminating information on foundations, corporate giving, and related subjects. The audiences that call on the Center's resources include grant seekers, grant makers, researchers, policy makers, the media, and the general public.
PROPOSAL PREPARATION AND SUBMISSION

1. PREPARING THE PROPOSAL

Working with OGRS
Faculty members who wish to seek funding for their individual projects should contact OGRS. This institutional notification has several benefits:
- it alerts the internal administrative offices that funds may be coming in; administrators can then respond knowledgeably to representatives from grant agencies when they contact the University about financial arrangements
- it allows the University to track the total value of research proposal efforts
- it facilitates the work of OGRS in finding other possible sources of funding for faculty research efforts
- it averts potential conflict among fundraising efforts
- it provides a key indicator of faculty initiative and productivity.

Funding is available from government and private sources to support research, community outreach and community service, travel, equipment, publication, course and curriculum development, and conferences and seminars. The proposal development and application process is usually lengthy and highly competitive. It is therefore advisable to start your search early.

OGRS is responsible for all grant applications submitted by Seton Hall University and/or its faculty members to foundations, corporate and government funding agencies. OGRS staff (Director, Assistant Director, Sponsored Programs Administrator, and Secretary) report to the Associate Provost for Graduate Programs, Research, and Faculty Development and can assist you in the proposal development stages, so it is important to initiate contact with them early in the application process.

Finding and Working with Potential Sponsors
Funding agencies generally support projects that are within their specified areas of interest. A key to success is to conduct background research on the funding agencies before preparing the grant application. The Internet contains an enormous amount of grant-related information and several search engines for fellowship and grant opportunities. Private and public funding agencies are increasingly posting their application packets online, along with abstracts of recently funded projects and contact information for grant recipients. Industry-leading searchable databases of grant opportunities are accessible from the OGRS website, at http://academic.shu.edu/grants/funding_opportunities/databases.htm.

A telephone conversation with the Program Officer of the agency or foundation at an early stage in writing the proposal can be a very good way of gaining valuable tips for the grant proposal. The call can be initiated by the PI after a thorough reading of the program guidelines. Remember to make this contact well in advance of the deadline, so that there is still time to incorporate any critical input from the Program Officer into the proposal. Studies have repeatedly shown that the single best thing PIs can do to increase the chances of their proposals being funded is to contact the Program Officer for information and advice.

It is also usually very helpful for applicants to discuss proposal ideas with other members of their departments and colleagues in their fields, especially those who may have received grants from the prospective funding agency. They may be able provide tips for approaching the sponsor and specific strategies for writing a strong proposal that is not available elsewhere. They may also be willing to read a draft of the proposal and make suggestions.

Additionally, OGRS conducts a series of workshops each semester, several of which are focused on proposal preparation. Topics include using searchable databases to find grant opportunities, grant writing, budget
preparation, etc. Some of our most popular workshops have been conducted by representatives of federal agencies, such as the National Institutes of Health, the National Science Foundation, and the Council for the International Exchange of Scholars/Fulbright Scholar Program (CIES).

1.1. Things to Consider Prior to Developing the Proposal

Know the Sponsor
Know what the sponsor wants from the researcher and what distinguishes this sponsor from others.

- Know the sponsor’s funding priorities: find out in which areas the funding agency puts its money; try to match this with your own priorities.
- Know what types of proposals it has funded in the past: find out from the agency’s annual report who they have been funding; are the grants they are giving out in areas similar to your own area of research?
- Contact the sponsor: studies have shown that the single best thing PIs can do to increase their chances of being funded is to contact the program officer; program officers can give you up-to-date, valuable information about the program or even review a draft of your project proposal.
- Read the sponsor’s guidelines and procedures: it cannot be stressed enough that reviewers’ most common complaint is that PIs did not follow the guidelines; make it hard for the reviewers to reject your proposal by carefully following all the guidelines.
- Know the sponsor’s rules for proposal submission: must the proposal be submitted electronically or in hard copy and if so how many copies are required for submission?
- Know the sponsor’s deadlines: know whether the deadline is a receipt or postmark one and in the case of electronic submission, know the exact time when the application is due.
- Know the sponsor’s review process and who is on the review committee: when writing your proposal, it is always helpful to know who the readers will be; you can get some idea of who will be on the review committee by calling the program officer.

Know What You Want and Why You Should Get It
Be very clear about what you want to do with your award and demonstrate your expertise.

- Develop an outline of your proposal: always be clear about exactly what you want to do with your project—from beginning to end; sometimes PIs describe the problem they are focusing on but never get around to actually telling what their project is.
- Develop an appropriate CV: describe your expertise as it relates to the project and leave out things that are extraneous—they won’t help! You must reassure the reviewer that you have the expertise to manage all aspects of the project.
- Know about the current state of research in your research area: It would be a good idea to go to the library and do a search on the topic on which your grant focuses; you must let the reviewers know that you are aware of the latest work in your area and how your research fits in.
- Be realistic about your expectations and funding request for the proposed project: the budget is a fiscal representation of your project, and therefore it should accurately reflect the activities you outline in your proposal; the budget should never raise questions about the project, but rather it should reassure reviewers that you have wisely thought out and considered all of the expenses of the project.
- Know how you will continue the research after the award period ends: it is not enough to show how you will conduct the project while being funded by the agency; you also have to demonstrate plans to continue the project after the grant funds are over.

1.2. Proposal Writing Guidelines

After determining which sponsors are good matches for the project, the PI will want to write a proposal that interests the reviewers and sets it apart from others. In general, reviewers want to know the answers to the following questions:

- How does the project match the interests of the sponsor?
- What exactly do you want to do?
- What makes you the best researcher for the project?
- How long will it take to do the research?
- How much money will you need, and is the University contributing anything?
- How many people will be actively involved in the project?
- Where will the project take place?
- What difference will the project make to Seton Hall, its students, and the discipline concerned?
- What has already been accomplished in the project's area? (Preliminary research findings are important.)
- How will the results be evaluated and by whom?
- Are there any plans to continue the project after the initial funding period?

You should be very familiar with the application guidelines. Carefully follow all instructions, including such details as font size and page limitations. Unless the PI has spoken with a Program Officer and received special permission, all application materials must be submitted by the specified due date. The key components of a typical proposal are described below.

**Title Page**

Many funding agencies, particularly government agencies, provide title page forms. The title page usually includes the following information:
- name of the agency to which the proposal is being submitted
- name and address of the University
- name, department affiliation, address, phone number, e-mail address, and signature of the PI
- title of the project
- total funds requested
- proposed starting and ending dates of the project
- name, title, address, telephone number, e-mail address, and signature of the authorized institutional official (OGRS Director).

**Abstract**

The abstract is a one-page description of the major objectives of the proposed research and the strategy used to meet these objectives. It should state the significance of the project, how the goals will be accomplished, and the time span of the project. The abstract should be written for a non-technical audience. The abstract is often used to assign the proposal to the appropriate study section for review. Be as clear as possible about the focus of your project in your abstract.

You should write the abstract last, to make sure that you have covered all aspects of your project, and pay great attention and care to the writing of your abstract. Since you do not know who will be reading your abstract, avoid the use of technical jargon in your abstract. If your abstract is uninteresting or poorly written, it may be the last thing the reviewer reads in your proposal.

**Description of Project/Narrative**

The narrative should include a description of the project, including its overall goal and more specific objectives, as well as a project timetable. The need for the project should be well justified in terms of its impact on the field and its relationship to the current objectives of the funding agency. The description should delineate how the project objectives will be achieved, how the project will be evaluated, and how the results of the research will be disseminated.

When writing the text of the proposal, it is important to establish a theoretical framework for the research. Investigators should state very clearly what they intend to do. Proposals are often dismissed because of vagueness in the research questions posed or jargon that is overused or misused. In the proposal, it is important to persuade the reviewer of the project's merit and of the investigator's special ability to carry out the research. If the PI has done preliminary research, it should be included and discussed.
Budget
The budget should include any costs associated with the successful completion of the project. It must be as accurate as possible, based on estimated costs. It is typical to use a 3% annual increase in costs for all personnel salaries. Propose a modest budget and include a line-by-line budget justification or narrative of major purchases and personnel. The typical components of a proposal budget are described in detail in the next section.

Institutional Profile
The site of the project should be described, together with all equipment and facilities necessary to the success of the project. If funding is being requested for additional facilities and/or equipment, the need for these items should be described. Sometimes, proposals will require institutional statistics, such as the number of alumni in a particular field. OGRS can provide such details if sufficient advance notice is given for the specific data.

Bibliography
If a reference is mentioned in the text, it should be fully cited in the bibliography. Only those discussed in the proposal should be included. Please note that many sponsors impose a strict page limit on the bibliography.

Additional Information/Appendices
Although some guidelines specifically request that no appendices be added to a proposal, when allowed, they are often necessary for a comprehensive understanding of the proposal and to convey adequate information about senior personnel. Additional materials might include letters of support from the institution and peers, copies of publications, graphs and diagrams, lists of PI’s (and sometimes key personnel’s) current awards and pending proposals, etc. In the appendices you also may wish to include letters of cooperation from other institutions or consultants. You should not include something in the appendices that you do not mention in the text of your narrative. If something is important, put it in the narrative, not in an appendix.

Curriculum Vitae
In most instances, funding agencies require or expect curricula vitae of all key personnel to be attached. They should be current, readable, and adhere to any specific requirements, including page limits, made by the sponsor.

Required Reviews
All proposals submitted by the University must be reviewed and approved by the PI’s Department Chair, and Dean. In addition, a proposal may require additional protocol approval before submission or deadline date, such as approvals from the Institutional Review Board and from the Institutional Animal Care and Use Committee.

2. PREPARING THE BUDGET
The budget section of a proposal should reflect the PI’s best estimate of the actual cost of conducting the scope of work outlined in the text of the proposal. Your budget is the fiscal representation of the project. While you should attempt to be as accurate as possible, amounts should be in whole dollars (do not use cents).

In many cases and in addition to the budget, you will be required to submit a “budget justification” or “budget narrative.” A budget justification will follow the budget, line item by item, and explain in a narrative format how the cost of each item was developed. For example, while the budget might simply have $35,000 as a line item for salary, the budget justification might state that $25,000 is 50% of Professor Joan Ford’s academic year salary and $10,000 additional is for her summer salary for July and August at $5,000 per month. Whether or not a budget narrative is required by the sponsor, you should do one for your own benefit and to submit to OGRS.
2.1. **Budget Items**

There are two categories of types of costs applicable to contract and grant awards:

- **Direct costs** are expenditures which are specifically identifiable to a particular project and which can be charged directly to that contract or grant. Examples of direct costs include: salaries and fringe benefits of personnel working on the project; supplies and materials; equipment; travel; subcontracts to outside entities, etc.

- **Indirect costs**, also referred to as overhead or Facilities and Administrative (F&A) costs, are costs that are not identifiable to any one project but are valid expenses of conducting research, instruction, and other sponsored activities programs at the University. Examples of indirect costs include: building and equipment use; depreciation; operation and maintenance of facilities; departmental administration; student services; administrative support offices such as Payroll, Purchasing, Accounting, OGRS, libraries etc.

When submitting a proposal to a funding agency that has its own proposal application guidelines and forms, budget categories may be referred to differently. For example, an agency may not have a separate category for Salaries and another one for Fringe Benefits, but may combine them and refer to them as Personnel, or an agency may have a specific category for Subcontracts rather than having such costs contained in an Other Expenses category.

The guidance in the following sections for budget categories is general and does not apply to a specific agency. Please defer to the specifics of the particular funding agency in regard to placement of costs from a category standpoint. Please keep in mind that the University’s established rate information, such as fringe benefit rates, tuition remission rates, etc. are applicable for use in all proposal budgets regardless of the funding agency.

2.2. **Personnel: Salaries, Benefits, Stipends, and Consultants**

Salaries and wages are monetary compensation paid to Seton Hall University employees working on a project. Personnel may include faculty, researchers, visiting scholars, staff, and undergraduate and graduate students. If possible, all personnel who will participate in the research project should be identified by name and by title or category of employment. Investigators/personnel from other institutions must be listed in either the Consultant category or as part of a Subcontract, depending on the applicability of their role in the project. Since they are not hired by the University, they do not receive University salaries.

Proposed University salaries should be in accordance with the current academic or staff salary schedules for each job classification. Some programs do not allow salaries for investigators; others restrict salary to summer only. Administrative and clerical support staff are considered indirect costs in most cases (see OMB circular A-21). For University professional and research staff, graduate and undergraduate students, and casual or part-time workers, salary figures should be based on the percentage of effort by each individual working on the project applied to his/her annual salary. For faculty members, salaries are calculated based on a ten-month academic year. Faculty members may request reimbursement for academic year release time and additional salary in the summer.

Salary increments for multiple year budgets are recommended at 3.0% per year for all personnel. If tenure is anticipated for one of the personnel during the project period, the anticipated salary increase should be built into the budget. Beginning January 2007, the NIH salary cap is $186,600.

Information to utilize when preparing the salary for each individual listed in the Salaries category includes:

- Name and payroll title of the employee. If a position is required but the individual has not been identified yet at the proposal submission time, indicate To Be Named (TBN) in lieu of name.
- Annual salary increases to coincide with the future start date of the proposal.
- Number of months per year that salary is being requested for.
- Percentage of effort that will be expended on the project.

To calculate the salary requested, multiply the monthly salary times the number of months per year times the percentage of effort. For example: $4,500/month x 12 months x 50% effort = $27,000 salary requested.

The budget justification should discuss such aspects as each individual’s role on the project, what tasks they will perform, and why the level of effort budgeted is required to conduct the project.

**Academic Year Release Time**
Release time is time away from the teaching and administrative duties of the University to conduct research during the academic year. In this case, the faculty member is formally excused from instruction. Faculty members must receive the approval of the departmental chair and the Dean when applying for release time.

**Summer and Academic Year Compensation**
When requesting summer compensation, up to one-tenth of the succeeding year’s academic salary for each summer month of full-time effort may be requested. Summer salary can be requested for the months of July and August. For multi-year grants, the PI should calculate future salaries with a 3% annual increase.

**Fringe Benefits**
Benefits are non-salary compensation calculated as a percentage of all salaries and wages. Fringe benefit rates differ for various categories of employees, such as full time, part time, and temporary; faculty and administrators; law school faculty; post-doctoral fellows, etc. There are no fringe benefits for Seton Hall University students, whether graduate or undergraduate. See Appendix B for current fringe benefit rates.

**Stipends**
Stipends are fixed payments made to individuals under a fellowship or training grant in accordance with pre-established levels to provide for the individual's living expenses during the period of training. As such, stipends should only be used specifically for proposals submitted in response to training programs such as the NIH Institutional Training Grants and some US Department of Education training programs, etc.

Stipends are not to be budgeted in proposals for research projects. Only compensation in the form of salaries and wages commensurate with effort (and corresponding fringe benefits) is to be budgeted for a research project. As such, postdoctoral scholars should be budgeted as postdoctoral fellows (i.e. employees) at the applicable salary and benefit costs.

Graduate students should be budgeted as Graduate Assistants (GAs). Graduate Assistants receive a monthly stipend plus full tuition remission. Only the monthly stipend should be entered under Salary; the cost of the tuition remission is to be entered under Other. Undergraduate students receive salaries at an hourly wage, calculated by the number of hours per week.

**Consultants**
Consultants are individuals who do not provide effort to the project but, rather, provide expert advisory or other services for brief or limited periods of time. Consultants should be used when University personnel do not have the required qualifications or when an outside consultant would provide a necessary and unique contribution to the project. Sometimes outside consultants may be used as evaluators of a project. The budget justification should address the services/advice the consultant will provide and the potential benefit to the project.

When preparing the budget, list each consultant, their specialty or service to the project, and their daily, weekly, or monthly rate of pay, along with the total number of days for which each consultant will be paid. Costs intended to cover travel (and per diem) of bringing such outside consultants to Seton Hall University are also included in this category. You should also include a justification for the reasonableness of the daily
rate in the proposal. Some agencies limit the daily rate for consultants. Consultant fees should be comparable to the normal or customary fees charged and received by the consultant for comparable services, especially on non-government contracts and grants. If available, include in the proposal a letter of collaboration and the consultant’s curriculum vitae.

2.3. Equipment and Supplies

Equipment
Permanent equipment is generally defined as an item of non-expendable, tangible personal (i.e., can be appraised for value) property that has an acquisition cost of $5,000 or more, is free standing, and an expected service life of more than two years. Special purpose equipment is used primarily for scientific or technical applications. General-purpose equipment is used for research purposes but also for nonscientific and non-technical purposes. Examples include calculators, computers, camcorders, and cameras. Agencies are often reluctant to fund general-purpose equipment unless it is primarily used in the actual conduct of scientific research.

Each item of equipment should be justified in terms of its importance to the project and its current unavailability at Seton Hall. Estimates of the cost of each item of equipment should be based on a catalogue, telephone, or written quotation. The estimated cost should include sales tax, shipping, and assembly, if necessary, and must cite academic discounts in pricing. Each item should be listed individually and described as completely as possible.

Title to equipment purchased with federal funds rests with the University, subject to certain conditions. Equipment and supplies acquired with federal funds may not be used to provide services to non-federal organizations for a fee that is less than what private companies charge for equivalent services, unless specifically authorized by Federal statute, for as long as the Federal government retains an interest in the equipment.

Please be aware of the following clarifications/caveats:
- Equipment upgrades valued at less than $5,000 are not considered to be equipment and should be budgeted in the Supplies and Materials category.
- Repair/replacement components for equipment, regardless of cost, are not considered to be equipment and should be budgeted in the Supplies and Materials category.
- Computer software, regardless of cost, should be budgeted in the Supplies & Materials category.
- Accessories or component parts are considered to be equipment when the acquisition cost is $5,000 or more and either: (a) the accessory or component permanently increases the value of the existing equipment, or (b) the accessory or component permanently increases the useful life of the existing equipment.

Supplies and Materials
Identify as specifically as possible any and all consumable supplies needed for the project. Supplies are defined as items of expendable equipment that do not meet the definition of permanent equipment. These include office and laboratory supplies, chemicals, glassware, books, computers, computer software, repair parts/replacement components for equipment, and equipment items with an acquisition cost of less than $5,000. Costs for commonly used supplies may be based on previous experience and can include paper, copying, staples, etc. Telephone and postage are usually separate items.

Each item listed above should be listed separately and in sufficient detail. The budget justification should address any additional details which would demonstrate the reasonableness of the amount requested based on past experience and/or high cost of a particular item. Any unusual or one-time purchases should also be discussed.

2.4. Travel
The travel category of the budget contains costs associated with the required travel of personnel working on the project. Travel expenses should be subdivided into domestic and foreign travel. You should list countries to be visited and dates of travel (if known), as well as justification for travel. Travel rates can be estimated by contacting a travel agent. Per diem rates can be estimated by consulting the standard federal per diem rates, which are posted online at http://www.gsa.gov/Portal/gsa/ep/contentView.do?contentId=17943&contentType=GSA_BASIC. Please note that most government agencies require the use of a domestic carrier for travel both within the U.S. and abroad, except under very strict conditions.

All travel attributable to the project should be itemized. For each trip, outline the purpose and specific destination, the number of travelers, the mode and cost of transportation, and the number of days of per diem at the per diem rate. For example: travel for the PI to attend (and present a paper at) the National Academy of Sciences annual conference in Washington, D.C.; air fare $400 round trip; conference registration fees $350; per diem $50/per day for 3 days.

Grant and contract policy regarding travel can vary greatly among sponsors. Two areas to be especially alert to, however, are:

- **Prior approval.** Sponsors often require prior approval, especially for foreign travel or if the travel is not in the original budget. This approval often requires that the request be submitted to the sponsor at least 60 days prior to the travel date.

- **US flag carriers.** The International Air Transportation Fair Competitive Practices Act of 1974 requires that any air transportation to, from, between, or within a country other than the United States where the expenses will be charged to government funds must be provided by a US flag carrier if such service is available. It is considered "available" even if a foreign carrier is less expensive or more convenient. There are conditions under which a foreign carrier can be used but you must review the sponsor's policy manual carefully before committing funds.

Please note that travel costs intended to cover costs of bringing participating outside consultants to Seton Hall are to be budgeted in the Consultant category. The University sponsored travel policy is spelled out in the next chapter.

### 2.5. Indirect Costs

Indirect costs, also referred to as overhead or Facilities and Administrative (F&A) costs are costs that are not identifiable to any one project but are valid expenses of conducting research, instruction, and other sponsored activities programs at the University. Examples include building and equipment use; utilities; depreciation; operation and maintenance of facilities; departmental administration; student services and administrative support offices such as Payroll, Purchasing, Accounting, OGRS, libraries etc. All proposals with sponsoring agencies must provide for Indirect Cost recovery at the appropriate negotiated rate.

When creating a budget, F&A costs are calculated as a percentage of the salaries and wages included in the personnel costs on the budget. Fringe benefits, equipment, consultant fees, or other grant costs should not be included in this calculation. Stipends for Graduate Assistants are included in the indirect cost base, but tuition is not. The limitation of indirect costs to salary and wages is typical of less-intensive research institutions. Rates are negotiated by the Controller's Office with the University's cognizant audit agency, the Department of Health and Human Services. The current agreement is dated November 20, 2006 and runs through June 30, 2009. The current F&A rate is 64.5% of all salaries and wages for on campus projects and 25.5% of all salaries and wages for off-campus projects.

PIs should check sponsor guidelines carefully for limitations on indirect costs. Private foundations, corporations, and other funding agencies may limit indirect costs or disallow them entirely. Most training grants awarded by the federal government restrict the amount of indirect costs to either 8% or 9% of the total amount requested. In these cases, the lower percentage is applied against the entire amount of the grant.
request or the total direct costs rather than the salary and wage base. Sometimes stipends are taken out of the calculation. Certain government agencies, e.g. the Department of Education, no longer allow the full negotiated rate. PIs should document the restrictions on indirect costs by referencing and providing a copy of the sponsor guidelines when completing the Intent to Apply for External Funding Approval Form.

### Allocation of Recovered Indirect Costs

The current policy for the distribution of recovered indirect cost funds is:

- 70% to the General Revenue Fund
- 10% to the Dean of the School or College to which the PI belongs
- 10% to the Department to which the PI belongs
- 10% to the PI

It must be remembered that indirect costs are collected only on direct costs after they have been spent. At Seton Hall, indirect costs are calculated on a salary and wage base. If no salaries or wages are spent on a grant, as for example may be the case of an equipment grant, no indirect costs are collected by the University and therefore there is no allocation of recovered indirect costs.

### 2.5. Other Budget Items

This category is also commonly referred to as Other Direct Costs. Other costs typically include project related costs that are usually less significant than those proposed in the other budget categories. Please note that miscellaneous items must be itemized and fully justified. Do not put down a sum of money and simply label it “miscellaneous.” The sponsor will quickly, and rightfully, remove this from your budget. Examples of miscellaneous direct costs include:

- research publications (Publication costs refer to expenses for the dissemination of research results and are a direct cost to the project from which the research was obtained; if publication is one of the expected results of the project, a brief synopsis of the expected publication content and its costs, including subvention, should be detailed. Publication costs may include costs for illustrations for manuscripts, printing, binding, technical reports, tests and questionnaires, large survey instruments, workshop agendas, etc. associated with a specific project. Remember to give details in the budget justification and keep all invoices as documentation of the costs, such as "per page" charges.)
- human subject support costs (These include stipends, travel, tuition, subsistence, and any other necessary costs.)
- animal subject care per diem (This should be itemized by species, number of animals, number of days per year, and the rate.)
- rent/lease costs for off-campus, non-University owned space (Justification for this item should address why the rental space is needed, and also include the square footage and cost per square foot.)
- long distance telephone charges
- fees
- computer costs (Most of the time, computers are considered general office supplies and are covered under indirect costs. However, they can be charged as a direct cost on a grant if they meet the criteria of an “unlike circumstance”—meaning predominant usage of the computer must be tied to the objectives of the project such as mainframe computer time, maintenance, and/or repairs. This applies to computers dedicated to controlling a scientific instrument such as a mass spectrometer, or projects that involve extensive data gathering and manipulation, analysis, or fieldwork outside the office.)
- annual software licenses (as opposed to purchases of software)
- service contracts for equipment maintenance.

Each item listed above should be listed separately and in sufficient detail. The budget justification should address any additional details which would demonstrate why the items are needed for the project, the reasonableness of the amount requested, how the estimated costs were determined, etc.
2.6. Subcontracts (sub-awards)

During the proposal preparation process, a Seton Hall University PI may determine that they need a portion of the project to be performed by an outside entity (i.e., a subcontract site). Subcontracts need to be established when outside organizations are charged with some scientific or programmatic aspect of the grant or contract made originally to Seton Hall University.

When a sub-award is being proposed, the subaward recipient must submit a proposal to Seton Hall University that includes a statement of work, a budget and a budget narrative. The Seton Hall University PI will then incorporate the sub-award recipient's materials, including the budget, into her/his proposal. The proposal, then goes through the normal approval process at the University and is submitted to the sponsor.

For budget purposes, include in the main proposal the subcontractor's authorized proposal and budget. The total costs for the subcontract site (which consists of their direct costs plus their indirect costs) should be included in the Other Expenses category. The budget justification should address what aspect of the project is to be carried out at/by the subcontract site.

2.7. Cost sharing

Funding agencies sometimes require the institution to demonstrate its participation through the contribution of a portion of the funds required for the overall project. Faculty salary, fringe benefits, and indirect costs are often proposed for cost sharing. The policy of the University is to provide cost sharing only if it is required or strongly recommended by the agency. If you do provide cost sharing, the cost sharing must be identified along with the account numbers from which the costs are being provided. The Dean or Director approving the cost sharing must sign-off on the cost sharing before the proposal is submitted.

Cost Sharing Policy for Sponsored Agreements

This policy establishes procedures to meet government requirements to report cost sharing to sponsors. It also reflects the July 15, 1993, revisions to Office of Management and Budget (OMB) Circular A-21 regarding the definition of University research. It accounts for more recent revisions to policy on charging for administrative and technical expenses and reflects changes in the accounting treatment for cost sharing.

Under Office of Management and Budget (OMB) Circular A-110, Uniform Administrative Requirements for Grants and Agreements with Institutions of Higher Education and Other Non-Profit Organizations, the federal government defines cost sharing as “that portion of project or programs costs not borne by the federal Government.” Similarly, most State of New Jersey agencies and departments define cost sharing as that portion of the proposed project not borne by the sponsoring agency or department.

Mandatory cost sharing is required by the sponsor as a condition of obtaining an award. It must be included in the budget or the proposal will not receive consideration by the sponsor. A cost sharing requirement may specify either a minimum fixed percentage of non-federal funds or a level of non-federal participation that has been negotiated between the University and the federal sponsor. Voluntary cost sharing is cost sharing committed by the University to participate in a project when cost sharing is not required by the sponsor. Whether the cost sharing is mandatory or voluntary, when an award is received in which cost sharing was proposed, the cost sharing becomes a binding commitment which the University must provide as part of the performance of the sponsored agreement. It is the policy of the University to include cost sharing or matching funds on a grant proposal only when the sponsor either requires or strongly recommends cost sharing.

When a PI proposes and the University agrees to cost share University resources, the University is required to provide the stated resources in the performance of the sponsored agreement. Considering the administrative requirements and responsibilities inherent in the cost sharing commitment, the PI, departmental and school administrators should weigh the cost effectiveness and the expected benefits of each cost sharing commitment, prior to making such commitments.
Sources of Funds for Cost Sharing Expenditures

When a proposal includes cost sharing, it must have the approval of the academic or administrative unit that provides the resources. All cost sharing on a grant application submitted on behalf of Seton Hall University must appear on the third page or Cost Sharing Form of the Intent to Apply for External Funding Form. Each item of cost sharing must be listed with an appropriate account number and amount. The form must be signed by the Dean or Director authorizing use of that account. Seton Hall University PIs wishing to include cost sharing in their budgets should contact OGRS well in advance of the program deadline in order to obtain additional approvals and process additional paperwork.

Allowable cost sharing may include: faculty, student, or staff effort, fringe benefits, supplies, travel, subcontracts, and tuition, among other costs. Equipment cannot be considered part of cost sharing unless the receipt of the award is contingent upon such cost sharing. F&A and un-recovered F&A costs (if approved by the federal agency), in-kind and third-party contributions can also be used as cost sharing. Existing University owned equipment, facilities, or amounts in excess of a salary cap should not be used for cost sharing. Existing federal funds cannot be used as matching funds for federal grants.

Identifying and providing resources for cost sharing of direct costs (including equipment) is always the responsibility of the PI. The PI may not utilize funds from another federal award as the source of cost sharing, except as authorized by the statute. The PI may utilize funds from non-federal awards as the source of cost sharing only when specifically allowed to by the non-federal sponsor. Funds for cost-shared expenditures are typically identified from among gift, endowment income, operating budget, or other department designated funds.

Third-party Cost Sharing

If cost sharing obligations are met by a third party, as in the case of in-kind contributions (volunteer services), documentation in the form of a letter from the sponsoring individual or organization should be obtained by the PI. Each letter should include the following information: period of effort; amount and value of effort for each individual or labor category; a breakdown of salary and benefits; and a statement that the source of support for the effort is not federal and not identified as cost sharing for another project. The PI must approve these letters, indicating that the contribution was received.

Donated supplies, equipment, buildings, land, loaned equipment or space, and other contributions should be valued at the current fair market value or in accordance with the applicable cost principles. The PI is responsible for providing acceptable documentation.

The University must document all cost sharing whether mandatory or voluntary. The Office of Grants Accounting will use the accounts identified on the cost sharing form to keep track of the amount of cost sharing spent during the project period.

2.8. Future Years and Revised Budgets

The period of performance for a proposal routinely consists of the first year and any additional (future) years. It is prudent and advisable to always incorporate an increase to the budget categories overall to ensure that there will be adequate funds throughout the life of the project. After preparing the budget for the initial year, the individual budgets for any future years can be escalated by escalating all of the categories by a flat percentage rate of 3%.

Please note that some agencies, such as the National Institutes of Health (NIH), limit future increases in awards to no more than 3%. Thus, Departments/OGRS may choose to limit categorical requests for future years in proposal budgets for such agencies to 3%.
If you have been asked for a revised, reduced budget, it is wise to also adjust the proposed objectives. If the initial budget is well thought out and justified, it is unrealistic and unwise to try to achieve all objectives on a restricted, downsized budget. You should determine what goals can be achieved realistically within the new funding parameters of the sponsor and explain any adjustments in the budget justification. Revised budgets are to be approved by OGRS before they are submitted to the sponsor.

2.9. Grant Budgeting Tips

Budget planning and project planning should proceed hand in hand. Do not wait until you have completed the final draft of the grant narrative to begin the first draft of the budget. If you feel overwhelmed by the task, ask OGRS for help.

Always draft budgets in Excel! Do not develop them in a Word chart using a calculator. If you do not know Excel yet, spend an hour with someone who knows it and learn the basics. With Excel, budgeting can actually be fun! It is much easier to make budget changes using Excel.

You should always submit a grant budget that matches your sponsor’s instructions in as much detail as requested. Typically, public sponsors will require a budget based on basic line item cost categories, such as salaries, benefits, supplies, equipment, indirect costs, etc. Use the form supplied by the sponsor.

Take the time to develop your budget in detail, whether or not you submit all of the detail to the sponsor (although most grant applications will benefit from submitting the detail). You need the detailed planning to make sure you do not leave out or over-budget important items.

Do not try to submit a barebones budget figuring you are more likely to be funded and do not inflate the budget either. Reviewers will deem it to be poor planning, either way, at best. Do build in reasonable, cost-of-living increases to keep up with inflation. For example, do not forget to build in salary increases, usually 3% annually. Would you really want to tell someone working on your project that they would not be getting a raise next year?

Do not avoid budgeting indirect costs, unless your sponsor has disallowed them in writing. They are not a “tax” on your project! They are real costs that cannot easily be accounted for by each project. Would you want every research project to have to keep track of how much hot water is used in cleaning test tubes or how much time staff spends pricing or ordering merchandise for each of their projects?

Remember that you are not the grantee, the University is. This means that you as the Project Director or Principal Investigator and other University representatives are responsible for spending any funding received according to a host of University, sponsor, and federal and state laws and regulations. This process begins when you develop the grant. Rely on OGRS to help you learn your role in all of these grant management responsibilities.

When you have a draft budget and budget narrative ready, email them to OGRS for a preview and feedback. Do not wait until the last minute! OGRS will work with you when you are ready to finalize your budget and route your Intent to Apply for External Funding Approval Form.

3. Submitting the Proposal

3.1. Institutional Review and Authorizations

The following figure illustrates the path of a proposal at Seton Hall University. The PI/PD is responsible for developing the proposal and ensuring its routing through the appropriate channels.
The Path of a Proposal

Since the University is the legal recipient of sponsored project funds, applications must be routed through certain University offices for review and approval prior to being submitted to the sponsor. Authorizations are obtained on the Intent to Apply for External Funding Approval Form (Appendix A). This process serves to assure the sponsor that:

- the department and school/college support the proposed project
- all regulated activities have received necessary review
- the University is prepared to accept funds under the terms specified.

It is required that OGRS review all sponsored project proposals prior to submission to the funding agency. A complete copy of the proposal, including a detailed budget, must be submitted to OGRS at least five (5) working days prior to the deadline. OGRS reviews the proposal to assure that it complies with federal regulations and University policies and procedures and that the proposal adheres to the requirements of the funding agency as they appear in the guidelines. The five days required by OGRS provides sufficient time to ensure that all University approvals are in order and that there is sufficient time to make any needed changes in the proposal. It is the responsibility of both the PI and OGRS to assure that all proposals are complete and accurate.

Proposals must be accompanied by the OGRS Intent to Apply for External Funding Approval Form, which is available from the OGRS website in the Proposal Development section. The form specifies the requirements for a number of items, such as use of human subjects and animals in the project; cost sharing (allocation of University funds); use of animals in the project; and use of Information Technology.

The Approval Form captures general information regarding the proposal, such as the type of project, PI's name and department, title of project, sponsoring agency, period of project, and amount requested. The PI needs to submit this form to OGRS with the appropriate signatures already obtained at the time when the proposal is being submitted for review.

The Approval Form also requires an abstract of the proposed project written in non-technical language. If cost sharing is involved with the project, page three (3) of the Approval Form must be filled out. Account numbers for each item of cost sharing should be indicated and either the Dean or Director approving the cost sharing needs to sign the form.

The Director of OGRS is the Authorized Institutional Official to sign on behalf of Seton Hall University for most proposals. The Director will sign the proposal once it has been reviewed by OGRS and will submit an electronic signature in the case of electronic applications.

The chart below summarizes the concerns at each stage of the routing process.
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<thead>
<tr>
<th>Approval/Review</th>
<th>Person Responsible for Obtaining Approval</th>
<th>Issues Under Review</th>
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<tbody>
<tr>
<td>Department Chairperson</td>
<td>Principal Investigator</td>
<td>Release time</td>
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<td>Department cost sharing</td>
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<td></td>
<td>Academic program impact</td>
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<tr>
<td>Institutional Review Board (IRB)</td>
<td>Principal Investigator</td>
<td>Protection of human subjects</td>
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<tr>
<td>Institutional Animal Care and Use Committee (IACUC)</td>
<td>Principal Investigator</td>
<td>Animal welfare</td>
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<tr>
<td>Dean</td>
<td>Principal Investigator</td>
<td>College/school cost sharing</td>
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<td>College/school mission impact</td>
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<td>Space use/renovations</td>
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<td>OGRS</td>
<td>Principal Investigator</td>
<td>Compliance with University and sponsor requirements</td>
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<td>Provost</td>
<td>Member of OGRS</td>
<td>University mission impact</td>
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<td>Institutes and centers</td>
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Please note that the deans of respective schools/colleges of Co-Principal Investigators need sign the **Intent to Apply for External Funding Approval Form** only in the case that the Co-PI is requesting release time, committing cost sharing, or in some other way affects the school/college budget.

### 3.2. Establishing Institutes and Centers

The establishment of all institutes and centers at Seton Hall University must have written approval from the Provost. This is true whether the institute or center functions University-wide, e.g. as for example with the case of an interdisciplinary institute or center comprised of disciplines among the various schools and colleges of the University, or if the institute or center is housed solely within a particular school or college. In the latter case, the institute or center must, in addition, have the written approval of the appropriate dean. Proposals to establish institutes will be submitted to the Provost for review. Criteria for the establishment of new institutes will include the appropriateness to the mission and goals of the campus, and the adequacy of resources, including capital investment.

The purpose of institutes and centers is to bring faculty and students from across the University together to pursue research, teaching, and service on broad scholarly and social topics. A center or institute may be established in order to provide for the enhancement of instruction through the conduct of research, the performance of public service, or other goals as consistent with the University’s mission. They enhance undergraduate and graduate education and they contribute significantly to the accomplishment of the University’s mission. Institutes and centers which offer professional development opportunities shall inform the campus community of these. Institutes may promote, advance, solicit, and support research, often involving several disciplines or academic units. Institutes may also publish journals, reports, books, and related publications and sponsor conferences.

Institutes and centers provide a means to take advantage of federal, foundation, and corporate funding. After three to five years of existence, institutes and centers are expected to generate much of their operating expenses from non-internal sources. Failure of an institute/center to actively pursue externally-funded, multi-disciplinary research projects may result in automatic termination. After the initial period, the expenses of an institute or center must not bear upon the general University budget. Institutes and centers must exercise fiscal accountability. Each institute/center will also prepare a five-year plan for program development and funding. Such a plan should articulate how an institute or center intends to acquire external funding to enhance its total resources within five years. These plans and reports will be submitted to the Provost and shared with the OGRS Director.
3.3. Submission to the Sponsor

Sponsors indicate the format and other proposal requirements in the application kit. Proposal submission formats, number of copies required for submission, and deadlines are clearly stated and strictly enforced by sponsors.

Sponsor Deadlines
Deadline dates and times are strictly enforced by the sponsor. Sponsors require that the proposal either be postmarked or received by the deadline date. If the proposal does not meet the deadline requirements, it will be returned to the PI. PIs are encouraged to adhere to the deadlines set by sponsors or face rejection of their proposals without review. In the case of electronic submission, sponsors will set a time and date by which all proposals must be received. PIs are encouraged to work with OGRS staff to make sure that their proposals are ready to be electronically signed off and submitted to the sponsor.

OGRS will arrange for overnight delivery of the required number of copies of proposals to sponsors. This service is available upon request, and should be arranged by the PIs with OGRS staff when they submit their proposals for the five-day review period. In the case of electronic submission, OGRS is the office designated by the federal government and by private sponsors to submit proposals on behalf of the University. The proposal is submitted electronically by OGRS to the sponsoring agency and the electronic signature of the Director is recorded by the agency.

Paper and Electronic Formats
The number of copies necessary for submission to the sponsor is noted in the sponsor’s guidelines and varies for each application. In the event the sponsor requires an original paper copy (or copies) and paper attachments to be submitted via a postal deadline, OGRS will assist the PI by making the required number of copies for submission and sending them via express mail. For this service, the original copy of the proposal should be submitted to OGRS by noon the day before the deadline.

OGRS will assist PIs with the electronic submission process. It is recommended to set up an appointment with OGRS staff a few days before the deadline to review the sponsor requirements to meet an electronic deadline. Proposals received by the sponsor after the sponsor’s time deadline will be automatically rejected.

Multiple Submissions
Identical proposals may be submitted to more than one sponsor at a time, provided each sponsor is advised that this has occurred. Each sponsor should be given the name of the other recipients of the proposal and the amount of funds requested. In instances where all sponsors are given the same total project budget, it should be specified as to how much of the total budget is being requested of each individual sponsor and for what purpose those funds will be used. It should be noted, however, that careful attention must be paid to the restrictions some sponsors have on the submission of identical proposals to other sponsors, including some (e.g., NIH) that prohibit multiple submissions.

3.4. Guidelines for Electronic Submission

PIs and departmental staff assisting them are responsible for ensuring the proper preparation and routing of proposals in the case of electronic submissions. Upon learning of a deadline requiring electronic submission, PIs must contact OGRS to alert its staff about the upcoming electronic submission. Proposals requiring electronic submission, must follow the same processing rules as paper proposals, i.e. they are required to be routed through the appropriate department/unit chair and dean’s office, and approved by OGRS prior to submission to the sponsoring agency. PIs should complete their electronic proposals and route the Approval Form to OGRS no later than five (5) business days prior to the scheduled deadline to ensure adequate review and to avoid technical delays not under the control of OGRS.
OGRS staff will assist with scanning, and/or uploading files for PIs. If paper copies of any documents or other electronic media are required to be sent to the sponsoring agency, they must be submitted to OGRS with appropriate signatures, approvals, and attachments, where applicable. Administrative pages containing University/OGRS information and budget forms should be completed first and, if possible, routed to OGRS for preview. For example, once budget forms are completed in NSF Fast Lane, PIs should "Allow SRO Access" to their proposals.

If an electronic proposal submission involves a multi-institutional consortium or has sub awards to other institutions, it is the responsibility of the PI to provide the following documentation to OGRS:

- proposal cover sheet or document that provides signatures of the PI and authorized representative of the external organization
- budgets and budget justifications from the sub awardee organization.

Failure to follow these instructions could result in a proposal not reaching the sponsor by their deadline and could jeopardize the potential for an award.

OGRS is responsible for keeping up with changes and new developments in electronic research administration. OGRS will assist faculty and departmental staff with proposal instructions and other administrative processes relating to the grant and/or contract submission. OGRS will continue to review proposals and budgets, and to prepare institutional certifications and assurances before proposals are submitted. In the majority of situations, OGRS will electronically "submit" proposals to sponsoring agencies, rather than PIs. OGRS will mail paper copies of all documents required by sponsoring agencies.

3.5. Federal Restrictions on Number of Submissions

Government agencies and private foundations that conduct competitive programs of support of education and research are increasingly restricting the number of applications they will accept from a single institution. If Seton Hall is to participate in these programs, it is essential that the University have policies and procedures to promptly inform relevant faculty members of the opportunity for funding, alert them to the limitation on the number of applications imposed by the sponsor, and solicit pre-proposals for internal review by a faculty council that will advise the University as to which of the pre-proposals should be advanced to the next level of competition. This internal selection process must be initiated early and concluded in sufficient time for the Principal Investigator to complete and submit a full proposal to meet the funding agency’s deadline.

In order to ensure that the proposals entered in the competition are the best that SHU can present, OGRS will take the following steps:

- Announcements of funding programs will highlight restrictions in the permissible number of applicants, and be distributed by OGRS to relevant faculty members and administrators throughout the University.
- In cases where the permissible number of applicants is limited, the announcement will call for brief pre-proposals and specify a date by which the pre-proposals must be delivered electronically to OGRS.
- If the number of pre-proposals received exceeds the number of applications the sponsor will accept, OGRS will forward them to the University Research Council for review; the URC will then advise OGRS, based on merit and conformance with University policies and the sponsor’s guidelines, which of the pre-proposals should be expanded to full proposals and advanced to the next level of the competition.
- OGRS will inform those submitting pre-proposals if there is to be an internal competition, and those PIs chosen to proceed with the development of full proposals will be informed in sufficient time to complete their work and meet the deadline for submission established by the program sponsor.

Note: When appropriate, OGRS may convene the various potential Principal Investigators to consider the possibility of agreement on a single collaborative program rather than individual competing programs.
3.6. **Service Agreements**

Faculty members should use the approved **Service Agreement Form** when they are providing a service, such as a consulting service, on behalf of the University to an external agency. The fee for this service is collected by the University. They should also fill out and complete the **Intent to Apply for External Funding Form** and have it appropriately signed-off and submitted to OGRS.

For the **Service Agreement Form** (Appendix A), faculty members should provide a scope of work for Exhibit A and a schedule of payments for Exhibit B. They should also provide a budget on how they propose to spend the funds obtained from work performed on the service agreement. The Service Agreement Form should be signed by an authorized representative of the external sponsor and by the Vice President for Finance and Technology on behalf of Seton Hall University.
POLICIES GOVERNING AWARDED GRANTS

1. **ESTABLISHMENT OF GRANT ACCOUNT**

The Office of Grants Accounting is responsible for the establishment, monitoring and financial reporting associated with grants. All awards, contracts and expenditures are analyzed to ensure all are in compliance with the account purpose and spending restrictions/limitations of Federal, State and Private Agencies.

In order for a grant to be established on the accounting system of the University, the following items are required:
- award letter with the Intent to Apply for External Funding Approval Form signed by OGRS
- budget
- budget narrative
- account numbers for cost sharing (if applicable)
- proposal

After receipt of the above information, an account will be set up on the accounting system and the number e-mailed to the appropriate person.

2. **SUB-AWARDS**

In issuing and administering sub-awards, OGRS must comply with Seton Hall University policies and procedures, the applicable sponsor regulations, and the terms and conditions of the prime award.

Sub-awards or sub-agreements are sometimes referred to as sub-grants or subcontracts. The work performed by entity outside of Seton Hall University must be of a significant nature to the project and typically uses the personnel and facilities of the subaward recipient. All the terms and conditions accepted by the University flow down to the subaward recipient; however, the University is responsible for monitoring how funds are spent and that they are spent in accordance with applicable laws and regulations. Invoices from the sub-recipient therefore should be in sufficient detail to determine how funds are being spent.

Seton Hall University uses the Federal Demonstration Partnership (FDP) forms for issuing sub-awards. Theses forms can be found at [http://www.thefdp.org/Subawards_Forms.html](http://www.thefdp.org/Subawards_Forms.html).

When a sub-award is being proposed, the subaward recipient must submit a proposal to Seton Hall University that includes a statement of work, a budget and a budget narrative. The Seton Hall University PI will then incorporate the sub-award recipient's materials, including the budget, into her/his proposal. The proposal, then goes through the normal approval process at the University and is submitted to the sponsor.

When the proposal is funded, the Seton Hall University PI must supply OGRS with additional information concerning the subaward recipient in order to issue the subaward. This information is needed to fill out the FDP forms required to issue the subaward to the sub-recipient.

Two copies of the Subaward Agreement, signed by the University’s authorized institutional official, are issued to the sub-recipient. The authorized institutional official of the sub-recipient signs both copies and one is returned to Seton Hall. Be aware that on Attachment 3 of the subaward form, you must provide the following information for each of the following individuals at the collaborating institution: Administrative Contact, Project Director, Financial Contact, and Authorized Official: name, address, telephone and fax numbers, and e-mail address.

3. **SABBATICAL LEAVE OF ABSENCE AND GRANTS AND FELLOWSHIPS**
In order to maintain and continue a high level of academic excellence, it is important for faculty members to periodically update and strengthen their professional skills and horizons. A sound program of sabbatical leaves is thus of vital importance to the University in that it provides for continued professional growth and new or renewed intellectual achievement through study, research, and writing.

Sabbatical leave of absence pay may be supplemented by fellowships, grants, and other sources of external support provided that the total compensation does not exceed the full-time salary rate for the period of the leave, and provided that the activities resulting from the additional compensation are not in conflict with the purposes of the sabbatical leave. This external grant support should cover both the salary and the corresponding amount of fringe benefits for the sabbatical period. The total remuneration received from all sources must not exceed one hundred per cent of the regular salary.

In addition to their regular salary, faculty members may receive grant funding for two months (July and August) summer salary while on sabbatical. Although the regular, academic year salary cannot be increased by grant funds, an additional two-month summer salary is permissible while on sabbatical.

4. **Sponsored Program Travel**

The University travel policy applies to all sponsored programs. However, if specific guidelines for a sponsored program are more restrictive than the University policy, the sponsor’s rules shall apply. Individual should be familiar with the allowable expenses provisions of their sponsored programs. In no case will an amount larger than that allowed under the University’s policies and procedures be reimbursed. Many funding sponsors require prior written approval before unbudgeted travel, foreign travel, or domestic and foreign travel exceeding the budgeted amount by 25% may be undertaken. Please consult your sponsor’s guidelines or contact Grants Accounting at (973) 761-9324 for further information.

When planning overnight travel, a **Travel Authorization Request Form** must be filled, signed by your Dean, and submitted to the Office of Grants Accounting at least **one month** before the planned trip. The request will be reviewed to ensure that overnight travel is an allowable expense. If overnight travel is allowed, the form will be filed in the Office of Grants Accounting. If overnight travel is not allowed, the form will be returned to the PD and the Dean will be notified.

4.1 **Guidelines for Reimbursements**

All travel must be completed within the beginning and end dates of the sponsored program. Reimbursements to individuals will not be made prior to completion of travel. All expenditures and costs must be assigned to their proper source of funds (account number) within 30 days of their occurrence in order to be posted. Processing of all travel expenditures must adhere to the 30-day rule.

Travelers will be reimbursed for the miscellaneous expenses incurred while on grant business listed below.

- Business office expenses (faxes, copies, services)
- Business phone calls
- Conference fees
- Currency conversion fees
- Gasoline (only if using a rental car)
- Ground transportation (taxi, bus, airport vans, etc.)
- Local mileage to and from the airport
- Mileage (effective January 1, 2007, the reimbursable mileage rate is $.55/mile.
- Parking and tolls
- Reasonable number of personal telephone calls home
- Reasonable tips

In addition, travelers will be reimbursed for the actual cost of lodging, up to $225 plus tax per day. Conference-site hotels will be reimbursed at the actual cost. To verify the conference-site hotel rate, include conference literature with the **Travel Authorization Request Form** (when requesting use of credit card) or with the **Travel Expense Report** (when requesting reimbursement).
Original receipts and charge card slips must be submitted for all travel expenses including airline and rail, hotels, meals, automobile rental, and incidentals. Monthly credit card statements and/or travel agency invoices and statements alone are not acceptable as backup documents. The University reserves the right to withhold reimbursement of expenditures lacking receipts and a valid reason.

During travel on a federally sponsored project, a principal investigator may be reimbursed for meals. Consultants may be reimbursed for their meals connected to the consulting services they provide to the sponsored project. The cost of attending local meetings can be charged to sponsored projects; however, the cost of meals will not be reimbursed from sponsored project funds for University employees, unless specifically authorized by the sponsor. Entertainment costs (subcode #3260) are not reimbursable under federal grants or contracts.

Original receipts must be submitted for reimbursement of all meals (include a list of items ordered to ensure that no alcohol purchases are reimbursed). Reimbursement of meals under $25 for which receipts were unobtainable will be allowed only on a limited basis; however, this is meant for the occasional missing receipt, and is not meant for an aggregation of meals. When meal receipts are unobtainable, proof of travel must be submitted with the Travel & Expense Report in the form of a hotel bill, airline’s passenger receipt, conference literature, or comparable materials. Payments for group meals while traveling require a written explanation (names, type of meal, reason for group meal). The University reserves the right to withhold reimbursement for any meal without sufficient proof of actual expenditures and a valid reason. The price of the meal must be reasonable (for dinner, $50 or less per person including tax and tip is considered to be a reasonable amount).

The travel-related items listed below are not allowable as direct costs on a sponsored program. We have tried to make this list comprehensive. However, if an item is not listed, that does not mean that it is automatically reimbursable.
- Airline club membership dues  
- Airline upgrades  
- Air phone usage  
- Alcohol  
- Annual fees for personal credit cards  
- Auto repairs  
- Baby-sitting, child-dare, house-sitting, pet-sitting/kennel charges  
- Books, magazines, newspapers  
- Barbers and hair salons  
- Personal cell phone monthly fees  
- Clothing or toiletry items  
- Corporate card delinquency fees or finance charges  
- Club memberships for business, pleasure, or recreation  
- Evening-wear rentals  
- Expenses related to vacation or personal days taken before, during or after a business trip  
- Golf fees, ski lift tickets, etc.  
- Formal wear expenses  
- Flowers  
- Frequent flyer upgrades  
- Gifts or souvenirs  
- Health club facilities  
- Laundry and dry-cleaning  
- Loss or theft of airline tickets  
- Loss or theft of personal funds or property  
- Medical expenses while traveling  
- Movies (in-flight or in-room services)  
- “No show” charges for hotel or car services  
- Optional travel or baggage insurance  
- Parking tickets or traffic violations  
- Personal entertainment i.e. sporting events, theatre, etc.  
- Personal telephone calls in excess of reasonable calls home  
- Rental car options such as LDW, PAI and liability  
- Rental car upgrades to premium and luxury  
- Repairs to personal vehicles  
- Saunas, massages  
- Shoe shines  
- Travelers check fees

4.2. Domestic and Foreign Travel

Domestic and foreign travel charged to a sponsored project should follow the guidelines set forth in this policy unless the funding agency imposes greater restrictions. It is the responsibility of the traveler and PI to know the terms set forth in the award of a sponsored project with reference to allowable travel expenditures. Federally funded sponsored projects are subject to the guidelines set forth in the Office of Management and Budget Circular A-21, Section 48, Travel Costs.

Domestic travel includes travel within and among the fifty United States, its territories and possessions, and Canada. Domestic travel included in the approved budgets of federally-sponsored projects is generally permissible if it supports the purpose of the project.

The federal government defines foreign travel as any travel outside of the United States, its territories and possessions, and Canada. In the case of other sponsored research agreements, foreign travel may be specifically defined in the contractual documents. Foreign travel requires pre-approval by the sponsor. Since sponsors’ regulations vary, PIs should be familiar with those that are applicable to their projects. If traveling internationally on federal grants or contracts, a United States flag carrier must be used (see below Use of U.S. Flag Air Carriers for details). Prior approval from OGRS must be obtained if there is any need to deviate from this policy.

Use of US Flag Carriers (applicable to all federally-sponsored program accounts)
Article 17 of the Federal Demonstration Project
General Terms and Condition as revised July, 1997
Any air transportation to, from, between, or within a country other than the US, of persons or property, the expense of which will be assisted by this award, must be performed on a US flag carrier service provided such carrier is available.

The following rules apply unless the result would be use of foreign air carrier (“foreign carrier”) for the first or last leg of travel from or to the US:

− A US carrier shall be used to destination or in the absence of through service, to farthest interchange point.
− If a US carrier does not serve an origin or interchange point, a foreign carrier shall be used to the nearest interchange point to connect with a US carrier.
− If a US carrier involuntarily reroutes the traveler via a foreign carrier, the foreign carrier may be used.

In the following situations, use of a foreign carrier is permissible:

− Travel to and from the US Use of a foreign carrier is permissible if:
  − The airport abroad is the origin or destination airport, and use of a US carrier would extend the total travel time by 24 hours or more than would travel by a foreign carrier, or
  − The airport abroad is an interchange point and use of a US carrier would require the traveler to wait six (6) hours or more than would travel by foreign carrier.

Travel between points outside the US Use of a foreign carrier is permissible if:

− Travel by foreign carrier would eliminate two (2) or more aircraft changes en route; or
− Travel by US carrier would extend the total travel time six (6) hours or more than would travel by foreign carrier.

Short Distance Travel: For all short distance travel, regardless of origin and destination, use of a foreign carrier is permissible if the elapsed travel time on a scheduled flight from origin to destination airport by foreign carrier is three (3) hours or less and service by US carrier would double the travel time.

5. **No-cost Time Extensions**

If additional time is needed to complete a project and there is an unexpended balance in the award, PIs may request that the period of performance of an award be extended. PIs should contact OGRS when they wish to request a no-cost extension. In some cases, the Director of OGRS is authorized to approve no-cost time extensions; in other cases, prior approval by the sponsor is required. Government agencies who have granted expanded authorities include the following: AID, EPA, NSF, NASA, NEH, PHS, USDA-PNW, and the US Departments of Energy, Education, and Transportation. OGRS is not authorized to approve no-cost extensions for other agencies or for contracts.

Under the expanded authorities, OGRS may approve a one-time no-cost extension up to 12 months beyond the original expiration date of the grant. The request must be made 45 days prior to the current expiration date of the grant. Review of the request will consider summary of progress, estimate of funds remaining, and plans for the completion of the project. An extension may be made when one of the following applies:

− additional time is required to assure completion of the originally approved project scope or objectives
− continuity of grant support is required while a competing application is under review
− the extension is necessary in order to permit an orderly phaseout of a project that will not receive continued support.

The fact that funds remain in the grant is not, in itself, justification for a no-cost extension. The appropriate agency's grants office must be notified of an extension at least 10 days prior to the original expiration date, so submitting requests in a timely manner is critical.

Requests for extensions should be initiated by a PI and processed in accordance with the terms of the sponsored award. For other deviations from the approved project and budget, please see the section below.
on approvals required from the funding agency. To ensure compliance with the reporting requirements of awards, PIs are urged to submit no-cost time extension requests as soon as the need becomes apparent. Award closeouts cannot be delayed to accommodate pending requests submitted after the award end date.

If final technical reports are to be completed after the project end date, and funds from the project are available to pay these expenses, a no-cost extension should be obtained from the sponsor to cover the expense of producing and distributing those reports. If funds are not available from the project, then the PI, department or school must identify unrestricted funds to pay final report costs.

Approval Required from the Funding Agency
The PI of a federally-sponsored project is required to report deviations from budget and program plans, and request prior approvals directly from federal awarding agencies for any of the following program- or budget-related reasons:

- change in the scope or the objective of the project or program
- change in the PI
- absence for more than three months or a 25 percent reduction in time devoted to the project, by the approved PI
- additional federal funding
- transfer of funds allotted for training expense (direct payment to trainees—stipend, tuition, fees) to other categories of expense
- sub-awards, transfers, or subcontracting out of a substantive programmatic portion of work, unless described in the application and funded in the approved award.
POLICIES GOVERNING RESEARCH AT SETON HALL UNIVERSITY

1. **Scientific Misconduct Policy**

Seton Hall University requires that all scientific research conform to the requirements of federal law contained in the Code of Federal Regulations, 42 CFR Part 50. Any evidence of misconduct in scientific research shall be examined in the manner specified in this document. Misconduct in Science includes fabrications, falsification, plagiarism, or other practices that seriously deviate from commonly accepted standards within the scientific community for proposing, conducting, or reporting research. It does not include honest errors or honest differences in interpretation or judgment of data.

Some Federal agencies currently have their own policies regarding scientific misconduct and require notification to the agency in the event of such an allegation or investigation. At this time, those agencies are the U.S. Public Health Service (PHS) and the National Science Foundation (NSF). Where required, this notification will be made by the Provost. While both PHS and NSF recognize that the primary responsibility for the prevention and detection of misconduct, and for the conduct of inquiries and investigations rests with the awarded institution, they both retain the right to initiate their own investigations at any time.

**Individual Reporting Responsibility**

Any individuals in any of the University's Schools or Colleges who believe an act of scientific misconduct has occurred or is occurring should notify the dean of the appropriate school, who should immediately notify the Provost. Any allegation or other evidence of Misconduct in Science received by any University administrator shall be forwarded to the Provost immediately after it is received. Reporting such concerns in good faith is a service to the University and to the larger academic community, and will not jeopardize anyone's employment. The Provost shall review the matter and, if warranted, direct that an Inquiry be conducted.

**Research Conduct Committee**

The Provost shall appoint a member of the tenured faculty from each college and school of the University, including the University Libraries, to a standing committee responsible for conducting Inquiries and Investigations into possible misconduct in research at the University. The initial appointments shall consist of four two-year terms and four one-year terms. The Committee will review and update permanent standards and procedures for dealing with scientific and academic misconduct.

**Inquiry**

An Inquiry consists of information gathering and initial fact-finding to determine whether an allegation or other apparent instance of misconduct warrants an Investigation as described in the next section. An Inquiry is a preliminary, informal process which culminates in a written report that describes evidence reviewed, relevant interviews, and conclusions.

An Inquiry shall be conducted by a panel of three persons appointed by the Committee, designating one as Chair. At least one panel member must have a terminal degree in the field of scientific research which is the subject of the Inquiry. Members should generally be drawn from the standing committee, unless additional members are required because of the subject matter involved. In selecting panel members, the Committee

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2 A copy of the current regulations, Public Health Service 42 CFR Part 50, is attached to this report. These guidelines and an up to date version of the applicable regulations should be in each departmental office from which grants could be sought through the Public Health Service, which is the source of the current Federal regulations.
3 Based on 42 CFR 50-102.
4 42 CFR §50-103(d)(7)
shall take steps to ensure that there are no real or apparent conflicts of interest.\(^5\) No person shall be disqualified from participating in an Inquiry merely because of prior knowledge about the matter under consideration, absent direct involvement as a participant.

An Inquiry must be completed within 60 days after it is initiated unless circumstances clearly warrant a longer period.\(^6\) An Inquiry shall include a review of all available documents, as well as interviews with witnesses (including the individual(s) who raised the concern) believed by the Inquiry panel to have relevant information.\(^7\) The accused individual shall be informed of the allegations, and be invited to comment on them. This individual should also be provided with a copy of the draft report of the inquiry, and be given an opportunity to comment on the findings.

An Inquiry is a preliminary examination of the matter, and is not a formal, adversarial proceeding. A person who is the subject of an Inquiry has the right to submit a written statement to the Inquiry panel, and to appear before the panel to make a statement. A person who has made an allegation of misconduct resulting in an Inquiry shall have the right to submit a written statement to the panel. An Inquiry panel shall not conduct formal hearings. Although both the subject of the Inquiry and the person alleging misconduct may submit the names of persons they wish the panel to interview, the panel shall decide which interviews to conduct. Neither the subject of the Inquiry nor the person alleging misconduct has a right to be present at panel interviews. No party has the right to counsel before an Inquiry panel, or to cross examine witnesses. No verbatim transcript of Inquiry proceedings shall be prepared.

An Inquiry shall culminate with a written report stating the evidence reviewed, summarizing relevant interviews, and the conclusions reached.\(^8\) Conclusions shall be restricted to a statement whether there is clear and convincing evidence of misconduct in science by a University employee or student. The Inquiry report shall be submitted to the full committee, which shall forward it to the Provost as submitted. The report and record of the Inquiry shall be maintained in a secure manner by the Provost for a period of at least three years after the termination of the Inquiry.\(^9\)

Any individual against whom an allegation of misconduct has been made shall be furnished a copy of the Inquiry report, and may within 10 University business days after the receipt of the report submit written comments, which shall be appended to the report.\(^10\) The report and any comments shall be submitted to the Provost.

All Inquiries and Inquiry reports shall be confidential.\(^11\) Competent evidence received in the course of an Inquiry that a crime has been committed shall be promptly forwarded to the University Counsel. Counsel shall promptly review the evidence and, if warranted, notify the appropriate authorities within 24 hours of obtaining any reasonable indication of possible crimination violations as required by 42 CFR Part 50.\(^12\)

**Investigation**

An Investigation is a formal examination and evaluation of relevant facts to determine if misconduct has occurred.\(^13\) An Investigation shall be conducted if the Provost accepts that findings from an Inquiry report provide sufficient evidence of misconduct in science by a University employee or student. The Provost's

\(^{5}\) 42 CFR §50-103(d)(9)  
\(^{6}\) 42 CFR §50-103(d)(1)  
\(^{7}\) Ibid.  
\(^{8}\) 42 CFR §50-103(d)(1)  
\(^{9}\) 42 CFR §50-103(d)(6)  
\(^{10}\) 42 CFR §50-103(d) (1). A person who initiates an Inquiry is not entitled to a copy of the report.  
\(^{11}\) 42 CFR §50-103(d)(2), (3)  
\(^{12}\) 42 CFR §50-103(d)(5)  
\(^{13}\) 42 CFR §50-102
decision to initiate an Investigation shall include a written statement, subscribed by the Provost, of the facts which, if true, constitute misconduct in science.

The Provost’s decision shall be sent to each person who is a subject of the Investigation within five University business days after he has received the panel’s Inquiry report. The Provost shall cause a University Investigation to be commenced within 30 days of the completion of the Inquiry.\(^\text{14}\) The Provost shall notify the appropriate federal agency of a final decision to initiate an Investigation within ten University business days. All Investigations shall be confidential, except as provided below.\(^\text{15}\)

An Investigation shall be conducted by the full committee. An Investigation shall include the examination of all documents, including but not necessarily limited to relevant research data and proposals, publications, correspondence, and memoranda of telephone calls. Whenever possible, interviews should be conducted of all individuals involved either in making the allegation or against whom the allegation is made, as well as other individuals who might have information regarding key aspects of the allegations. Complete summaries of these interviews should be prepared and provided to the interviewed party for comment or revision, and included as part of the investigatory file.\(^\text{16}\) This examination shall normally be completed within 120 days.

If during the course of an Investigation the committee receives evidence that federal funds are in danger of being misappropriated or that the purposes of the federal financial assistance are not being carried out, the committee shall forthwith notify the Provost, who will take appropriate interim administrative action.\(^\text{17}\)

The subject of an Investigation of possible scientific misconduct has the right to a formal, adversarial hearing. After the Committee has completed its preliminary review of the evidence, it shall furnish the subject of the Investigation with written notice of the date and time for a formal hearing, which shall be received by the subject no less than 20 days prior to such hearing date. The committee shall grant any reasonable request by the subject for additional time to prepare for the hearing. The Notice of Hearing will also advise the subject of the following rights at the hearing: to retain counsel, to have an open hearing, to submit a written statement, to present evidence, to appear before the committee in person or by counsel, to designate witnesses to be interviewed by the committee, and to examine and cross examine any witness who appears before the committee.

The formal hearing before the Committee shall be confidential unless the subject of the Investigation requests an open hearing at least ten days before the hearing date. The Chair of the Committee shall preside at the formal hearing, and shall determine the order in which witnesses are called. The Chair has the power to limit the examination and cross-examination of witnesses if, in the judgment of the Chair, the subject of such examination concerns matters extraneous to the Investigation or matters already sufficiently explored. At the conclusion of the formal hearing, the subject of the Inquiry shall have the right to submit a closing argument either orally or in writing.

The formal hearing shall be audio taped. The NIH’s Office of Scientific Integrity, when appropriate, must be kept apprised of any developments during the course of the Investigation which discloses facts that may affect current or potential Department of Health and Human Services funding for the individual(s) under investigation or that the Public Health Service needs to know to ensure appropriate use of Federal funds and otherwise protect the public interest.\(^\text{18}\) Additionally, all documentation and other evidence presented at the

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\(^\text{14}\) 42 CFR §50-103(d)(7)
\(^\text{15}\) 42 CFR §50-103(d) (2), (3). See the subject’s right to request an open hearing before the Investigation Panel, infra.
\(^\text{16}\) 42 CFR §50-103(d)(7)
\(^\text{17}\) 42 CFR §50-103(d)(11)
\(^\text{18}\) 42 CFR §50-103(d)(12)
hearing is to be made available to the Director of the Office of Scientific Integrity, who will decide whether that Office will either proceed with its own investigation or will act on the University’s findings.\textsuperscript{19}

The Committee will deliberate in closed session. After the formal hearing has been concluded, the Committee shall submit a written report to the Provost. The Committee shall make its findings and recommendations based solely upon evidence presented at the formal hearing. The Committee’s findings and recommendations will address only the question of whether there has been a violation of the University’s scientific misconduct policy, specifying the nature of the violation which the Committee finds are supported by clear and convincing evidence based upon the entire record. It shall not include any recommendation regarding the sanctions to be imposed.

The Provost is bound by the Committee’s finding that no scientific misconduct has occurred. The Provost shall accept that Committee’s finding that scientific misconduct has occurred unless, after a full and independent review of the record, the Provost determines that the Committee’s findings are not supported by clear and convincing evidence.

The University is to undertake diligent efforts, as appropriate, to restore the reputations of persons alleged to have engaged in misconduct when allegations are not confirmed, and also undertake diligent efforts to protect the positions and reputations of those persons who, in good faith, make allegations.\textsuperscript{20} The Provost shall impose appropriate sanctions on individuals when the allegation of misconduct has been substantiated.\textsuperscript{21} The Provost shall report the results of the Investigation to the appropriate Federal agency.\textsuperscript{22}

2. \textbf{SECRET OR CLASSIFIED RESEARCH}

Since one of the primary objectives of an institution of higher education is the dissemination of knowledge, Seton Hall University cannot accept grants or contracts for research which does not allow open disclosure of research results. The ability of University faculty, staff, and students to sustain academic freedom and to develop new knowledge is crucial to supporting the mission of the University.

Classified research is defined as research that bears a security classification from the federal government, such as top secret, secret, or confidential. Classified research restricts some or all of the results, procedures, and personnel working on the project under rules established by the agency for which the research is being conducted. The ability of students, postdoctoral researchers, and faculty to publish is paramount to their academic careers. A key mission of a university is to pursue studies at the forefront of knowledge and to convey the results freely to students and the public; universities have a special mission to seek and pursue knowledge, and to make it known to others.

The source of the sponsorship and purpose of all projects must be of such a nature that they can be publicly announced and described. A sponsor cannot determine the contents of any publication reporting the results of research.

\textit{Classified Research}: Policies regarding the safeguarding of 'national security information' are established in Executive Order 12958 by President Clinton, as amended in Executive Order 13292 by President Bush. They delineate the criteria and procedures for classifying, controlling access, and declassifying information that is deemed to pertain to national security. The classification levels are ‘confidential,’ ‘secret,’ and ‘top secret.’

\textsuperscript{19} 42 CFR §50-103(d)(10)  
\textsuperscript{20} 42 CFR §50-103(d)(13)  
\textsuperscript{21} 42 CFR §50-103(d)(14)  
\textsuperscript{22} Currently the Office of Scientific Integrity (OSI), cf. 42 CFR §50-104
3. HUMAN SUBJECTS AND ANIMAL USE IN RESEARCH

3.1. Institutional Review Board

Seton Hall University’s Institutional Review Board for Human Subjects Research (IRB) has been established in accordance with federal regulations. This IRB reviews all proposed research involving human subjects in order to ensure that subjects’ rights and welfare are adequately protected.

The University’s IRB Office is administered and empowered through the Office of the Provost. The IRB is comprised primarily of faculty members from disciplines that conduct research involving human subjects (i.e., nursing, allied health fields, education, psychology, sociology, etc.). Two community representatives who have no formal ties to the University also sit on the IRB. The Board’s membership, policies, and procedures are governed by an Assurance Agreement filed with the United States government.

Under Seton Hall University’s Assurance Agreement filed with the US DHHS, all research activities involving human subjects, whether federally funded, privately funded or non-funded, including dissertations, master’s theses, pilot studies, class projects, and non-funded faculty-directed research, must be reviewed and approved by the University’s IRB prior to conducting the research, if the proposed research meets any of the following conditions:

− the research will be entered into the public domain (i.e. publication, presentation at public conference, etc.), and
− the research is sponsored by the University, or
− the research is conducted by or under the direction of any University employee, or
− agent (e.g., faculty member, researcher, or student) in connection with his/her other institutional responsibilities, or
− the research is conducted by or under the direction of any University employee or agent (e.g., faculty member, researcher, or student) using any University property or facility, or
− the research involves the use of the University’s non-public information to identify or contact human research subjects or prospective subjects, or
− the research involves the use of the University’s students, employees, or facilities.

For further information, please visit the IRB website at http://provost.shu.edu/IRB/authority.htm.

3.2. Institutional Animal Care and Use Committee (IACUC)

The IACUC at Seton Hall University is charged with the responsibility of ensuring the proper care, use, and humane treatment of animals used in research, teaching, and training at the University. Animal facilities are maintained by the Departments of Biology and Psychology (College of Arts & Sciences) and the Department of Neuroscience (School of Graduate Medical Education). All faculty members, staff, and students working with animals in Seton Hall University facilities are obligated to follow the high standard of care as mandated by the Animal Welfare Act and Public Health Service Policy.

To fulfill this obligation the IACUC follows The Guide for the Care and Use of Laboratory Animals and has a letter of assurance filed with The Office of Laboratory Animal Welfare (OLAW).

For further information, please visit the IACUC website at: http://provost.shu.edu/IACUC/.

4. NEPOTISM

Seton Hall University policy permits the employment of close relatives except in those cases where a direct supervisory relationship exists.

This prohibition extends to instances which require one relative to review or process the work of the other where one relative is given the opportunity to review or recommend salary levels or increases of the other or;
puts the relatives in frequent contact with each other or; which permits one relative to occupy a position
which has access to confidential information where communication of such information to the other may
prove detrimental to the best interests of the University.

5. CONFLICT OF INTEREST IN GOVERNMENT-SPONSORED RESEARCH

Preventing Conflicts of Interest in Government-Sponsored Research at Seton Hall University
(A Joint Statement of the Council of the American Association of University Professors and the American
Council on Education)

The increasingly necessary and complex relationships among universities, government, and industry call for
more intensive attention to standards of procedure and conduct in government-sponsored research. The
clarification and application of such standards must be designed to serve the purposes and needs of the
projects and the public interest involved in them and to protect the integrity of the cooperating institutions as
agencies of higher education.

The government and institutions of higher education, as the contracting parties, have an obligation to see that
adequate standards and procedures are developed and applied; to inform one another of their respective
requirements; and to assure that all individuals participating in their respective behalf are informed of and
apply the standards and procedures that are so developed.

Consulting relationships between university staff members and industry serve the interests of research and
education in the university. Likewise, the transfer of technical knowledge and skill from the university to
industry contributes to technological advance. Such relationships are desirable, but certain potential hazards
should be recognized.

A. Conflict Situations

Favoring of outside interest. When a university staff member (administrator, faculty member, professional staff
member, or employee) undertaking or engaging in government-sponsored work has a significant financial
interest in, or a consulting arrangement with, a private business concern, it is important to avoid actual or
apparent conflicts of interest between his government-sponsored university research obligations and his
outside interests and other obligations. Situations in or from which conflicts of interest may arise are the:

- undertaking or orientation of the staff member’s university research to serve the research or other
  needs of the private firm without disclosure of such undertaking or orientation to the university and
to the sponsoring agency;

- purchase of major equipment, instrument, materials, or other items for university research from the
  private firm in which the staff member has the interest without disclosure of such interest;

- transmission to the private firm or other use for personal gain of government-sponsored work
  products, results, materials, records, or information that are not made generally available (This would
  not necessarily preclude appropriate licensing arrangements for inventions, or consulting on the basis
  of government-sponsored research results where there is significant additional work by the staff
  member independent of his government-sponsored research.);

- use for personal gain or other unauthorized use of privileged information acquired in connection
  with the staff member’s government-sponsored activities The term “privileged information”
  includes, but is not limited to, medical, personnel, or security records of individuals; anticipated
  material requirements or price actions; possible new sites for government operations; and knowledge
  of forthcoming programs or of selection of contractors or subcontractors in advance of official
  announcements.);

23 Approved by OGRS effective March 17, 2007.
negotiation or influence upon the negotiation of contracts relating to the staff member’s government-sponsored research between the university and private organizations with which he has consulting or other significant relationships;

and acceptance of gratuities or special favors from private organizations with which the university does or may conduct business in connection with a government-sponsored research project, or extension of gratuities or special favors to employees of the sponsoring government agency, under circumstances which might reasonably be interpreted as an attempt to influence the recipients in the conduct of their duties.

*Distribution of effort.* There are competing demands on the energies of a faculty member (for example, research, teaching, committee work, and outside consulting). The way in which he divides his effort among these various functions does not raise ethical questions unless the government agency supporting his research is misled in its understanding of the amount of intellectual effort he is actually devoting to the research in question. A system of precise time accounting is incompatible with the inherent character of the work of a faculty member, since the various functions he performs are closely interrelated and do not conform to any meaningful division of a standard work week. On the other hand, if the research agreement contemplates that a staff member will devote a certain fraction of his effort to the government-sponsored research, or he agrees to assume responsibility in relation to such research, a demonstrable relationship between the indicated effort or responsibility and the actual extent of his involvement is to be expected. Each university, therefore, should—through joint consultation of administration and faculty—develop procedures to assure that proposals are responsibly made and complied with.

*Consulting for government agencies or their contractors.* When the staff member engaged in government-sponsored research also serves as a consultant to a federal agency, his conduct is subject to the provisions of the Conflict of Interest Statutes (18 U.S.C. 202-209 as amended) and the President’s memorandum of May 2, 1963, Preventing Conflicts of Interest on the Part of Special Government Employees. When he consults for one or more government contractors, or prospective contractors, in the same technical field as his research project, care must be taken to avoid giving advice that may be of questionable objectivity because of its possible bearing on his other interests. In undertaking and performing consulting services, he should make full disclosure of such interests to the university and to the contractor insofar as they may appear to relate to the work at the university or for the contractor. Conflict of interest problems could arise, for example, in the participation of a staff member of the university in an evaluation for the government agency or its contractor of some technical aspects of the work of another organization with which he has a consulting or employment relationship or a significant financial interest, or in an evaluation of a competitor to such other organization.

**B. University Responsibilities**

Each university participating in government-sponsored research should make known to the sponsoring government agencies:

- the steps it is taking to assure an understanding on the part the university administration and staff members of the possible conflicts of interest or other problems that may develop in the foregoing types of situations, and

- the organizational and administrative actions it has taken, or is taking, to avoid such problems, including:
  - accounting procedures to be used to assure that government funds are expended for the purposes for which they have been provided, and that all services which are required in return for these funds are supplied;
  - procedures that enable it to be aware of the outside professional work of staff members participating in government-sponsored research, if such outside work relates in any way to the government-sponsored research;
  - the formulation of standards to guide the individual university staff members in governing their conduct in relation to outside interests that might raise questions on conflicts of interest; and
the provision within the university of an informed source of advice and guidance to its staff members for advance consultation on questions they wish to raise concerning the problems that may or do develop as a result of their outside financial or consulting interests, as they relate to their participation in government-sponsored university research. The university may wish to discuss such problems with the contracting officer or other appropriate government official in those cases that appear to raise questions regarding conflicts of interest.

The above process of disclosure and consultation is the obligation assumed by the university when it accepts government funds for research. The process must, of course, be carried out in a manner that does not infringe on the legitimate freedoms and flexibility of action of the university and its staff members that have traditionally characterized a university. It is desirable that standards and procedures of the kind discussed be formulated and administered by members of the university community themselves, through their joint initiative and responsibility, for it is they who are the best judges of the conditions which can most effectively stimulate the search for knowledge and preserve the requirements of academic freedom. Experience indicates that such standards and procedures should be developed and specified by joint administrative-faculty action.
ABBREVIATIONS

CFR, Code of Federal Regulations
Co-PI, Co-Principal Investigator
DHHS, (US) Department of Health and Human Services
DUNS, Data Universal Numbering System
EIN, Entity Identification Number
F&A, Facilities and Administrative
FDP, Federal Demonstration Partnership
IACUC, Institutional Animal Care and Use Committee
IRB, Institutional Review Board
NIH, National Institutes of Health
NSF, National Science Foundation
OGRS, Office of Grants and Research Services
PD, Project Director
PHS, (US) Public Health Service
PI, Principal Investigator
RFA, Request for Application
RFP, Request for Proposal
TDC, total direct costs
URC, University Research Council
APPENDICES

APPENDIX A: FORMS

A.1. Intent to Apply for External Funding Form--Instructions

It is recommended that the proposal approval procedure be started at least ten days before the proposal is submitted to the sponsor.

The Approval Form and Proposal Abstract must be completed by all applicants before a proposal is submitted to an external funding source. The forms are PDF-writable and therefore may be completed in Adobe Acrobat Reader 6, which is available for free at the following link:

Applicants should print out the Approval Form and Proposal Abstract, sign and forward them, together with a copy of the proposal, to their respective Chair and Dean/Director, who are required to sign the forms as well. All submissions should then be brought to OGRS not less than 5 (five) business days prior to the proposal due date.

Applicants whose proposals include cost sharing must also complete the Cost Sharing Form and have it signed by their Dean or Director. The completed Cost Sharing Form must be submitted to OGRS along with the Approval Form and Proposal Abstract. Under Office of Management and Budget (OMB) Circular A-110, “Uniform Administrative Requirements for Grants and Agreements with Institutions of Higher Education and Other Non-Profit Organizations,” the Federal government defines cost sharing as “that portion of project or program costs not borne by the Federal Government.” Similarly, most State of New Jersey agencies and departments define cost sharing as that portion of the proposed project not borne by the sponsoring agency or department.

OGRS staff will assist applicants with questions concerning the proposal approval process as outlined above.
A.2. Intent to Apply for External Funding Form

OFFICE OF GRANTS AND RESEARCH SERVICES

INTENT TO APPLY FOR EXTERNAL FUNDING
APPROVAL FORM

This form must be typed in its entirety before a proposal is submitted to the funding agency. Please submit it to the OGRS, along with the entire proposal, at least three days prior to the proposal submission deadline.

I. CONTACT INFORMATION

a. Principal Investigator: ____________________________ E-mail Address: ____________________________
   School/Department: ____________________________ Telephone #: ____________________________

b. Co-Principal Investigator: ____________________________ E-mail Address: ____________________________
   School/Department: ____________________________ Telephone #: ____________________________

II. AGENCY/PROJECT INFORMATION

Title of Project: ____________________________

Please include a one-page abstract on page 2 of this form.

Funding Agency: ____________________________ Deadline for Submission: / /
Project Start Date: / / Project End Date: / /
Means of Submission: USPS ☐ Overnight ☐ Electronic ☐
Indirect Costs: $ Amount Requested: $

If this project involves cost-sharing, you must also complete the Cost Sharing form on page 3.

<table>
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<tr>
<th>Type of Proposal</th>
<th>Source</th>
<th>Category (Check only one)</th>
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<tr>
<td>New</td>
<td>Federal</td>
<td>Research</td>
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<tr>
<td>Renewal</td>
<td>State</td>
<td>Instruction/Training</td>
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<td>Continuation</td>
<td>Corps/Foundations</td>
<td>Public Service</td>
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<tr>
<td>Pre-Proposal</td>
<td>Other</td>
<td>Fellowship</td>
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<td>Contract</td>
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<td>Equipment</td>
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Will this project involve use of Information Technology? Yes ☐ No ☐
If yes, please consult with the Director of Teaching, Learning and Technology Center.

Does this project propose to acquire print, electronic, or other material for the University Library? Yes ☐ No ☐
If yes, please consult with the Dean of the University Libraries.

III. INSTITUTIONAL REVIEW BOARD

Does the project involve research with Human Subjects ☐ or Vertebrate Animals ☐?
Yes ☐ No ☐ If yes, provide date of approval: ____________

Pending ☐ If not approved or submitted mark "pending:"

I certify that, to the best of my knowledge, all the information provided is accurate.

PI/PD Signature ____________________________ Date ____________

IV. REQUIRED SIGNATURES

Department Chair/Director ____________________________ Date ____________
Director, Grants & Research or ____________________________ Date ____________
Director, Corps & Founds ____________________________

Dean ____________________________ Date ____________ Provost ____________________________ Date ____________

Page 1 of 3
### V. CONTACT INFORMATION

<table>
<thead>
<tr>
<th>a. Principal Investigator:</th>
<th>E-mail Address:</th>
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<td>School/Department:</td>
<td>Telephone #:</td>
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### VI. PROPOSAL INFORMATION

**Title of Project:**

*Please provide an abstract or summary of the proposed project in the space below, using non-technical language. Please limit your abstract to one page.*

---

*I understand that, if funded, this abstract will become a public document. Therefore, I have not included any information potentially subject to copyright or patent protection, or proprietary information from a sponsor.*

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<th>PI/PD Signature</th>
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OFFICE OF GRANTS AND RESEARCH SERVICES
INTENT TO APPLY FOR EXTERNAL FUNDING
COST SHARING FORM

Under federal regulations, Seton Hall University is required to substantiate, through adequate record-keeping, cost-sharing expenditures for both direct and indirect costs. The records must show that the cost-sharing expenditures are appropriate, necessary, and incurred within the related project period.

Please itemize in the spaces below, all release time and other University contributions, indicating the specific account. Your dean or department director must sign this form, authorizing the outlined expenditures.

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<th>Item</th>
<th>Account Number</th>
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Total Seton Hall contribution: $

Dean/Director Authorization:

________________________________________
Print Name

________________________________________  _____________
Signature                                      Date

Page 3 of 3
A.3. Faculty Prospect Research Request Form

PROSPECT RESEARCH
OFFICE OF GRANTS AND RESEARCH SERVICES
REQUEST FORM

Please complete this form and send it with a brief abstract of your project and a copy of your Curriculum Vitae if you are interested in discussing prospective funding research. Return it to Maribel Roman at OGRS in Presidents Hall, 3rd floor.

Last Name: ___________________________ First Name: ___________________________

School/College: ______________________ Department: _________________________

Phone #: _____________________________ E-mail Address: _______________________

Please select from the list below all the areas that relate to your research and grants interest:

___ Seed Grants
___ Student Scholarships
___ Fellowships
___ Curriculum Development in this area: ____________________________
___ Research in this area: ____________________________
___ Travel grants
___ Partnerships/collaborations with community based organizations
___ Partnerships with K-12 schools
___ Partnerships with business/industry
___ Other (explain) ____________________________

List below all the categories that relate to your research and grants interests (ex: education, sciences, social services, etc.):

________________________________________________________________________

________________________________________________________________________

Have you presented and/or are you presenting your research at any professional academic forum? If so, when? ____________________________

________________________________________________________________________

Estimate the cost to achieve your goals. How much money will be required over what time period (ex: 100,000 for 2 years)?

________________________________________________________________________
### A.4. Travel Authorization Request Form

**OFFICE OF GRANTS AND RESEARCH SERVICES**
**POST AWARD ADMINISTRATION**
**TRAVEL AUTHORIZATION REQUEST FORM**

#### I. CONTACT INFORMATION

<table>
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<th>Name:</th>
<th>Grant Number:</th>
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| School/Department: | Request Date: | / / |
|--------------------|---------------|
|                    |               |

#### II. TRAVEL INFORMATION

Locations to be visited:

Purpose of trip/conference: Please explain how travel related to grant?

#### III. ITINERARY AND FUNDING REQUIREMENTS

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<th>DATE</th>
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<th>CARRIER</th>
<th>ARRANGED BY</th>
<th>APPROXIMATE COST</th>
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**SUB-TOTAL $**

#### IV. LODGING AND OTHER

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<th>TIME</th>
<th>INCLUDE COST OF LODGING, PER DIEM, MEALS, MEETINGS, ETC.</th>
<th>NUMBER OF DAYS</th>
<th>RATE</th>
<th>APPROXIMATE COST</th>
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**SUB-TOTAL $**

**TOTAL ESTIMATED COST $**

#### V. SIGNATURES

<table>
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<tr>
<th>Requestor Signature</th>
<th>Date</th>
<th>Dean</th>
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*FOR GRANTS ACCOUNTING USE*
A.5. Service Agreement

SERVICE AGREEMENT

This SERVICE AGREEMENT is entered into as of ____________, 200_ by and between ____________________, a ____________________ organized under the laws of ____________, having a business office at _________ (hereinafter _________) and SETON HALL UNIVERSITY, a non-profit educational institution located at 400 South Orange Avenue, South Orange, New Jersey 07079 (hereinafter "SETON HALL" or "UNIVERSITY").

WHEREAS, _________________ wishes to engage SETON HALL to carry out services related to.

WHEREAS, SETON HALL has the expertise and facilities and is willing to provide the services;

NOW THEREFORE, the parties mutually agree as follows:

1. The service will be provided by or under the supervision of ________________.

2. The AGREEMENT will be in effect from __________ to __________.

3. The service will be provided in accordance with the program or summary of work to be performed attached as Exhibit A.

4. _________________ will pay SETON HALL a total of $ __________ for providing the services under this AGREEMENT. Payments to SETON HALL will be made according to the schedule presented in Exhibit B.

5. Neither party shall use the name of the other party, nor of any officer or employee of the other party, in connection with any publicity, news release or other public announcement, written oral, whether to the public, press or otherwise, relating to this Agreement or to the performance hereunder, without the prior written approval of the other party.

6. In the performance of all services hereunder, neither the UNIVERSITY nor its officers, employees, or agents shall be construed to be employees or agents of ________________ and shall not be entitled to any benefits of ________________.

7. _________________ shall provide a certificate of insurance (COI) showing proof of comprehensive general liability, property liability and workers compensation insurance coverage in an amount not less than one million dollars ($1,000,000.00) per occurrence and three million ($3,000,000.00) in the aggregate. The COI shall be furnished to Seton Hall University at the commencement of the term of this agreement and each renewal certificate of such policy shall be furnished to Seton Hall University upon
reasonable request. Group Name further agrees to include Seton Hall University as an additional insured under its insurance policy.

8. Seton Hall University agrees to defend, indemnify and hold harmless Group Name and its directors, trustees, officers, and employees from and against any and all claims and liabilities (including reasonable attorney’s fees and expenses incurred in the defense thereof), relating to personal injury or property damage to the extent arising out of the negligent acts or omissions of Seton Hall University and/or its employees or agents in connection with their duties under this agreement.

9. Group Name agrees to defend, indemnify and hold harmless Seton Hall University and its directors, trustees, officers, and employees from and against any and all claims and liabilities (including reasonable attorney’s fees and expenses incurred in the defense thereof), relating to personal injury or property damage to the extent arising out of negligent acts or omissions of Group Name and/or its employees or agents in connection with their duties under this agreement.

Each party agrees that it shall give the other party prompt notice of any claim, threatened or made, or suit instituted against it that could result in a claim for indemnification above.

Both parties agree that in the event that indemnification is sought under this provision, the party seeking indemnification shall furnish the indemnifying party, upon request, all information and assistance available to the indemnified party for defense against any such claim, suit, or demand.

10. In the event of a breach or default of any material term or condition of this Agreement by either party, the non-defaulting party shall promptly notify the other party in writing of the alleged breach, and the other party shall promptly take all reasonable steps necessary to cure the alleged breach. If, after a period of _______ days, the party to whom the written notice of breach was sent has not cured or taken reasonable steps to cure the alleged breach, or otherwise remedied the situation to the reasonable satisfaction of the non-defaulting party, the non-defaulting party may suspend its performance under the Agreement in whole or party, or terminate the Agreement as it deems appropriate under the circumstances.

11. The University may terminate this Agreement, for any reason and without liability, upon _______ days written notice.

12. Neither party may assign, transfer or delegate this Agreement, or any of its rights or obligations hereunder, without the prior written consent of the other party. Any assignment, transfer or delegation without such written consent shall be void and have no binding effect upon the other party.

13. A waiver by either party of any of the terms and conditions of this Agreement at any instance shall not be deemed or construed to be a waiver of such term or condition for the future or of any subsequent breach thereof.

14. If any other dispute in connection with this Agreement arises between the parties, and such dispute cannot be amicably resolved by the parties despite diligent efforts thereto, except a dispute in connection with a patent, such claim or dispute shall be submitted to binding arbitration. Either party may initiate arbitration by giving written notice to that effect to the other party and to the American Arbitration Association within one hundred eighty (180) days from the date on which the claim or cause of action accrued and the other party shall be bound to arbitrate any dispute hereunder.

The arbitration will be conducted in Essex County, New Jersey, using a panel designated by the American Arbitration Association.
The arbitration shall be conducted in accordance with the then prevailing rules of the American Arbitration Association. Each party shall bear its own costs and expenses, including legal fees, in connection with the arbitration and the costs and expenses of the arbitrators shall be borne equally between the parties.

15. Any notices required by this Agreement shall be in writing and shall be sent by certified mail, return receipt requested, postage prepaid, or by overnight courier, postage prepaid, to the parties at their addresses below:

If to the Client: If to the University:
Name:  
Title:  
Address

Notice shall be deemed delivered upon the earlier of (i) when received, (ii) three (3) days after deposit into the mail, or (iii) the day immediately following delivery to overnight courier (except Saturday, Sunday and holidays).

17. This AGREEMENT shall be governed and the rights of the parties construed in accordance with the laws of the State of New Jersey.

18. This AGREEMENT sets forth the entire AGREEMENT of the parties with respect to the subject matter contained herein, and may not be modified or amended except by a written AGREEMENT executed by the parties.

IN WITNESS WHEREOF, the parties hereto have executed this AGREEMENT through their duly authorized representatives.

SETON HALL UNIVERSITY  

________________________________________  

________________________________________  

Date: ___________________________  

Date: ___________________________

EXHIBIT A

As part of the Agreement between __________________ and Seton Hall, Seton Hall will:

EXHIBIT B

The schedule of payment is as follows:
APPENDIX B: BUDGET-RELATED INFORMATION

B.1. Facilities and Administrative Rates

Fiscal Year 2007 F&A (Indirect Cost) Rates
Effective July 1, 2006 through June 30, 2009, the indirect cost rate is 64.5% of all salaries and wages for on campus projects and 25.5% of all salaries and wages for off-campus projects. These rates are based on an agreement between Seton Hall University and the Department of Health and Human Services, dated November 20, 2006.

B.2. Fringe Benefit Rates


Fiscal Year 2008 Fringe Benefit Rates

<table>
<thead>
<tr>
<th>Subcode</th>
<th>Description</th>
<th>Rate</th>
</tr>
</thead>
<tbody>
<tr>
<td>1110</td>
<td>Full-time Faculty</td>
<td>29.3%</td>
</tr>
<tr>
<td>1110</td>
<td>Full-time Faculty - Law School</td>
<td>24.9%</td>
</tr>
<tr>
<td>1120</td>
<td>Adjunct Faculty</td>
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</tr>
<tr>
<td>1130</td>
<td>Faculty Overload</td>
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</tr>
<tr>
<td>1140</td>
<td>Faculty Independent Study</td>
<td>9.0%</td>
</tr>
<tr>
<td>1210</td>
<td>Summer Faculty</td>
<td>9.0%</td>
</tr>
<tr>
<td>1220</td>
<td>Adjunct Faculty - Summer</td>
<td>9.0%</td>
</tr>
<tr>
<td>1310</td>
<td>Full-time Administrators</td>
<td>29.3%</td>
</tr>
<tr>
<td>1311</td>
<td>Full-time Athletic Coaches</td>
<td>29.3%</td>
</tr>
<tr>
<td>1312</td>
<td>Full-time Administrators-Religious-Without Benefits</td>
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</tr>
<tr>
<td>1320</td>
<td>Part-time Administrators With Benefits</td>
<td>29.3%</td>
</tr>
<tr>
<td>1321</td>
<td>Part-time Athletic Coaches With Benefits</td>
<td>29.3%</td>
</tr>
<tr>
<td>1325</td>
<td>Part-time Administrators With Statutory Benefits Only</td>
<td>9.0%</td>
</tr>
<tr>
<td>1326</td>
<td>Part-time Athletic Coaches With Statutory Benefits Only</td>
<td>9.0%</td>
</tr>
<tr>
<td>1330</td>
<td>Administrative Stipends</td>
<td>9.0%</td>
</tr>
<tr>
<td>1340</td>
<td>Temporary Administrators</td>
<td>9.0%</td>
</tr>
<tr>
<td>1410</td>
<td>Full-time Staff</td>
<td>29.3%</td>
</tr>
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<td>1420</td>
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<td>29.3%</td>
</tr>
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<td>1425</td>
<td>Part-time Staff With Statutory Benefits Only</td>
<td>9.0%</td>
</tr>
<tr>
<td>1430</td>
<td>Staff Overtime</td>
<td>9.0%</td>
</tr>
<tr>
<td>1440</td>
<td>Temporary Staff</td>
<td>9.0%</td>
</tr>
<tr>
<td>1510</td>
<td>Full-time Maintenance</td>
<td>29.3%</td>
</tr>
<tr>
<td>1520</td>
<td>Part-time Maintenance</td>
<td>29.3%</td>
</tr>
<tr>
<td>1530</td>
<td>Maintenance Overtime</td>
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<td>1540</td>
<td>Temporary Maintenance</td>
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</tr>
<tr>
<td>1610</td>
<td>Students - Undergraduate</td>
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</tr>
<tr>
<td>1630</td>
<td>Graduate Assistant Stipends</td>
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</tr>
<tr>
<td>1631</td>
<td>Graduate Tuition Remission</td>
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</tr>
<tr>
<td>1710</td>
<td>Postdoctoral Fellows</td>
<td>21.3%</td>
</tr>
<tr>
<td>1990</td>
<td>Miscellaneous Employment</td>
<td>9.0%</td>
</tr>
</tbody>
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# Fiscal Year 2007 Fringe Benefit Rates

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<td>1311</td>
<td>Full-time Athletic Coaches</td>
<td>31.9%</td>
</tr>
<tr>
<td>1312</td>
<td>Full-Time Religious Administrators Without Benefits</td>
<td>0%</td>
</tr>
<tr>
<td>1320</td>
<td>Part-time Administrators With Benefits</td>
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<tr>
<td>1990</td>
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<td>9.0%</td>
</tr>
</tbody>
</table>

## B.3. Other Information Used in Proposals

In addition, government funding agencies often request the following institutional data on application forms:

- Seton Hall University is a private non-profit institution of higher education and is tax exempt under Section 501 (c) (3) of the Internal Revenue Code (contact OGRS for proof of non-profit, tax-exempt status)
- Entity Identification Number (EIN): 22-1500645
- Dun & Bradstreet ® (DUNS) Number: 07-932-4315
- Congressional District: 10th, New Jersey
- State Legislative District: 27th, South Orange Village
- Current Misconduct in Science Report filed: January 8, 2007
- Human Subjects Assurance Number: FWA 00001223
- Animal Welfare Assurance Number: A-3461-01
APPENDIX C: INSTITUTIONAL DESCRIPTION

Founded in 1856, Seton Hall University is the oldest and one of the largest diocesan universities in the United States. It has more than 9,000 students from all 50 U.S. states and 61 countries. The university is located 14 miles southwest of New York City on 58 green acres in the Village of South Orange, New Jersey. It is situated adjacent to Newark, New Jersey's largest city.

Seton Hall is home to eight schools and colleges. The College of Arts and Sciences, the College of Education and Human Services, the College of Nursing, the John C. Whitehead School of Diplomacy and International Relations, the School of Graduate Medical Education, the W. Paul Stillman School of Business, and the Immaculate Conception Seminary School of Theology are located on the South Orange campus. The Seton Hall School of Law is located in Newark, New Jersey.

Seton Hall offers more than 60 undergraduate majors, 60 master's degree programs, and 17 doctoral degree concentrations. Academic programs are supported by a wide range of interdisciplinary programs, institutes, and centers. In 1998, all incoming full-time, first-year students were issued laptop computers as part of the Seton Hall’s innovative mobile computing program. By 2001, the University had been ranked number 13 among the most wired universities in the nation, by Yahoo! Internet Life, which based its rankings on areas such as hardware, academics, and free services.

Seton Hall has been dedicated to supporting the vision that its founder, Bishop James Roosevelt Bayley, described as providing "a home for the mind, the heart, and the spirit." Bishop Bayley, named the University after his aunt, Elizabeth Ann Seton, a pioneer in Catholic education and the first native-born North American to be canonized. Its Catholic roots have made the University a home that is open to people of all faiths, creeds, and ethnicities.

In addition to gaining world recognition for its mobile computing program, Seton Hall has been a pioneer in many areas: naming the first woman dean of a law school in the United States; forming a unique alliance with the United Nations Association USA through our School of Diplomacy and International Relations; establishing the Bayley Project, a self-initiated institutional ethics audit; founding Seton World Wide, an online education initiative; and introducing service learning into the curriculum, which integrates academic and community-based learning.
APPENDIX D: GRANT-WRITING RESOURCES

Guide for Writing a Funding Proposal
http://www.learnerassociates.net/proposal/

The EPA GrantWriting Tutorial
http://www.epa.gov/seahome/grants/src/grant.htm

The NIAID All About Grants Tutorial

Foundation Center: Proposal Writing Short Course
http://foundationcenter.org/getstarted/tutorials/shortcourse/index.html

The NIH Grant Writing Tips Sheets
http://grants1.nih.gov/grants/grant_tips.htm

NSF: A Guide for Proposal Writing

Eastern Michigan University: Handbook for Proposal Writers and Project Directors

Proposal Writing: Internet Resources, from the University of Wisconsin
http://grants.library.wisc.edu/organizations/proposalwebsites.html

Perhaps the best online library of grant-writing resources, with links to samples, tips and pointers, proposal checklist, and much more, is maintained by Deborah Kluge, a grant-writing consultant.
http://www.proposalwriter.com/

Selected Proposal Writing Websites: University of Pittsburgh
http://www.pitt.edu/~offres/proposal/propwriting/websites.html
APPENDIX E: FEDERAL POLICIES

NSF Grant Application Guide

NIH Grants Policy Statement

OMB Circular A-21: Cost Principles for Educational Institutions
http://www.whitehouse.gov/OMB/circulars/a021/a021.html

OMB Circular A-110: Uniform Administrative Requirements for Grants and Agreements With Institutions of Higher Education, Hospitals, and Other Non-Profit Organizations
http://www.whitehouse.gov/OMB/circulars/a110/a110.html

Human Subjects
http://www.ncura.edu/member/neighborhoods/compliance/HumanSubjects.asp

Animal Welfare
http://www.ncura.edu/member/neighborhoods/compliance/aminal.asp

E.1. Federal Policy on Scientific Misconduct

TITLE 42--PUBLIC HEALTH

CHAPTER I--PUBLIC HEALTH SERVICE, DEPARTMENT OF HEALTH AND HUMAN SERVICES

PART 50--POLICIES OF GENERAL APPLICABILITY--Table of Contents

Subpart A--Responsibility of PHS Awardee and Applicant Institutions for Dealing With and Reporting Possible Misconduct in Science

Sec. 50.103 Assurance--Responsibilities of PHS awardee and applicant institutions.

(a) Assurances. Each institution that applies for or receives assistance under the Act for any project or program which involves the conduct of biomedical or behavioral research must have an assurance satisfactory to the Secretary that the applicant:

(1) Has established an administrative process, that meets the requirements of this Subpart, for reviewing, investigating, and reporting allegations of misconduct in science in connection with PHS-sponsored biomedical and behavioral research conducted at the applicant institution or sponsored by the applicant; and

(2) Will comply with its own administrative process and the requirements of this Subpart.

(b) Annual Submission. An applicant or recipient institution shall make an annual submission to the OSI as follows:
(1) The institution's assurance shall be submitted to the OSI, on a form prescribed by the Secretary, as soon as possible after November 8, 1989, but no later than January 1, 1990, and updated annually thereafter on a date specified by OSI. Copies of the form may be requested through the Director, OSI.

(2) An institution shall submit, along with its annual assurance, such aggregate information on allegations, inquiries, and investigations as the Secretary may prescribe.

c) General Criteria. In general, an applicant institution will be considered to be in compliance with its assurance if it:

(1) Establishes, keeps current, and upon request provides the OSIR, the OSI, and other authorized Departmental officials the policies and procedures required by this subpart.

(2) Informs its scientific and administrative staff of the policies and procedures and the importance of compliance with those policies and procedures.

(3) Takes immediate and appropriate action as soon as misconduct on the part of employees or persons within the organization's control is suspected or alleged.

(4) Informs, in accordance with this subpart, and cooperates with the OSI with regard to each investigation of possible misconduct.

d) Inquiries, Investigations, and Reporting--Specific Requirements. Each applicant's policies and procedures must provide for:

(1) Inquiring immediately into an allegation or other evidence of possible misconduct. An inquiry must be completed within 60 calendar days of its initiation unless circumstances clearly warrant a longer period. A written report shall be prepared that states what evidence was reviewed, summarizes relevant interviews, and includes the conclusions of the inquiry. The individual(s) against whom the allegation was made shall be given a copy of the report of inquiry. If they comment on that report, their comments may be made part of the record. If the inquiry takes longer than 60 days to complete, the record of the inquiry shall include documentation of the reasons for exceeding the 60-day period.

(2) Protecting, to the maximum extent possible, the privacy of those who in good faith report apparent misconduct.

(3) Affording the affected individual(s) confidential treatment to the maximum extent possible, a prompt and thorough investigation, and an opportunity to comment on allegations and findings of the inquiry and/or the investigation.

(4) Notifying the Director, OSI, in accordance with Sec. 50.104(a) when, on the basis of the initial inquiry, the institution determines that an investigation is warranted, or prior to the decision to initiate an investigation if the conditions listed in Sec. 50.104(b) exist.

(5) Notifying the OSI within 24 hours of obtaining any reasonable indication of possible criminal violations, so that the OSI may then immediately notify the Department's Office of Inspector General.

(6) Maintaining sufficiently detailed documentation of inquiries to permit a later assessment of the reasons for determining that an investigation was not warranted, if necessary. Such records shall be maintained in a secure manner for a period of at least three years after the termination of the inquiry, and shall, upon request, be provided to authorized HHS personnel.
(7) Undertaking an investigation within 30 days of the completion of the inquiry, if findings from that inquiry provide sufficient basis for conducting an investigation. The investigation normally will include examination of all documentation, including but not necessarily limited to relevant research data and proposals, publications, correspondence, and memoranda of telephone calls. Whenever possible, interviews should be conducted of all individuals involved either in making the allegation or against whom the allegation is made, as well as other individuals who might have information regarding key aspects of the allegations; complete summaries of these interviews should be prepared, provided to the interviewed party for comment or revision, and included as part of the investigatory file.

(8) Securing necessary and appropriate expertise to carry out a thorough and authoritative evaluation of the relevant evidence in any inquiry or investigation.

(9) Taking precautions against real or apparent conflicts of interest on the part of those involved in the inquiry or investigation.

(10) Preparing and maintaining the documentation to substantiate the investigation's findings. This documentation is to be made available to the Director, OSI, who will decide whether that Office will either proceed with its own investigation or will act on the institution's findings.

(11) Taking interim administrative actions, as appropriate, to protect Federal funds and insure that the purposes of the Federal financial assistance are carried out.

(12) Keeping the OSI apprised of any developments during the course of the investigation which disclose facts that may affect current or potential Department of Health and Human Services funding for the individual(s) under investigation or that the PHS needs to know to ensure appropriate use of Federal funds and otherwise protect the public interest.

(13) Undertaking diligent efforts, as appropriate, to restore the reputations of persons alleged to have engaged in misconduct when allegations are not confirmed, and also undertaking diligent efforts to protect the positions and reputations of those persons who, in good faith, make allegations.

(14) Imposing appropriate sanctions on individuals when the allegation of misconduct has been substantiated.

(15) Notifying the OSI of the final outcome of the investigation.
APPENDIX F: ADDITIONAL TIPS ON WRITING PROPOSALS

Writing successful grant proposals is not an impossible endeavor, but it’s not exactly an easy one, either. It is an art and, like most arts, requires diligence and practice. While each disciplinary field and each funding source has a distinct culture of expectations, customs, and norms that govern the proposal preparation and review process, there are, nevertheless, certain features that are virtually universal. Many articles and books provide general guidelines for writing proposals, while others are directed toward specific fields. Here are tips gleaned from several of these sources, organized into four sections: homework, components, general advice, and review.

F.1. Do Your Homework and Plan Ahead

BE INFORMED. Successful grant-getters keep abreast of recurrent funding competitions as well as new funding initiatives in their field. Regularly check sources of information such as:

- The OGRS website.
- Web sites of sponsors and agencies (e.g., http://www.nsf.gov; www.nih.gov).
- Web-based researcher databases such as ResearchResearch, Spin, or Community of Science, which provide information on funding opportunities in all disciplines. Enter your research interests and they will send you regular customized funding alerts.

START EARLY. As soon as you have a good idea for a project, begin checking out possible funding sources, application deadlines, and guidelines for proposal preparation.

- Carefully identify the sponsor’s deadlines as:
  - Postmark deadline date (by which a proposal/application must be postmarked)
  - Receipt deadline date (by which a proposal/application must be received by the sponsor)
  - Target date (a flexible guideline used primarily by the National Science Foundation in order to assure proposals can be reviewed by a particular panel meeting date)
- Check proposal guidelines carefully: sponsors are increasingly limiting to one or two the number of proposals an institution may submit in a given competition. If the grant program you want to apply to has such a limit, please follow the guidelines spelled out in section 3.5 of the chapter on Proposal Preparation and Submission above.
- Find out how often the sponsor’s funding decisions are made during the year, how long the review process will take, and when you can reasonably expect to be notified of the outcome.
- Begin preparing your proposal well in advance of the sponsor’s deadline to allow plenty of time for writing and revising the text and budget. This is especially important if you are relatively new to proposal writing. The process takes longer than you may realize (i.e., think in terms of months, not days).
- Research projects often have to be scheduled around the demands of the academic year, including teaching required courses, so consult your department chair and plan accordingly.
- As in any writing project, it is often useful to write the proposal and then put it aside for several days to cool off. When you return to it, you will be amazed at the errors of language, fact, logic, mechanics, etc., that you will find.
- Be aware that SHU institutional review and sign-off (by department chairs, college deans, and OGRS) may impose deadlines days or weeks in advance of the sponsor’s deadlines for receipt of proposals. Check with your department chair.
- OGRS requires that completed proposals for external awards be submitted to our office 5 (five) full working days before the sponsor’s deadline to allow for budgetary review, copying, and mailing.
- Reality check: The likelihood that a first-time proposal will be successful is slim, so plan time (perhaps as much as 6-9 months) to revise and resubmit.

24 These proposal writing tips have been adopted and adapted with permission from the author, Prudence M. Rice, Southern Illinois University at Carbondale.
AIM CAREFULLY. Target your proposal to the most appropriate funding sources. If you’re not sure whether an agency or foundation funds research in your area of interest, do some investigating.

− Contact (phone or e-mail) the organization and ask what kind of research they fund and/or whether your project would be of interest to them. Do they fund only basic research? Applied research? Both?
− Direct personal contact with program officers at all sponsoring institutions can be very important. Some federal agencies virtually require such contact before submitting a proposal.
− Check to see if the sponsor has a pre-proposal or screening process that applicants must go through before submitting a formal proposal.

MEMORIZE THE GUIDELINES. They are readily available on sponsor websites and they tell you exactly what you must do to prepare a successful proposal.

− Carefully study the sponsor’s mission statement, funding goals, and evaluation criteria. You are far more likely to get rewards for your labors if your ideas closely correspond to what the sponsor wants to accomplish.
− Learn everything you can about the review criteria and process (see sec. F.4., The Review Process, below) before you write your proposal. This has a major impact on both how you write your proposal text and how you interpret the reviews. Again, see the sponsor’s web site. For example:
− NIH reviewers are asked to comment on 5 criteria: significance, approach, innovativeness, investigator qualifications, and scientific environment.
− NSF reviewers evaluate on 2 criteria: intellectual merit (includes significance, originality, qualifications) and broader impacts (includes diversity and integration of research and education).
− NEH reviewers evaluate on 4 criteria: significance to the humanities, quality of the applicant’s work, quality of the proposed project, and likelihood of completion.
− Review these guidelines frequently as you are preparing your proposal.

SUBMISSION. Proposals may be sent to the sponsor by regular or overnight mail, but federal sources are increasingly using electronic submissions such as grants.gov. Be aware that with online proposal submissions:
− Submission of all sections of a proposal can take a surprising amount of time. Don’t get started half an hour before the due date (usually 5:00 PM PI’s time).
− Some agencies (e.g., grants.gov) require that the PI/PDs register themselves on-line at least 3-5 days before submission of the proposal.
− Typically the PI/PD submits the proposal electronically and then the agency notifies OGRS via email for final submission, which provides institutional confirmation that all requirements and signatures have been obtained. The OGRS office closes at 5 PM.
− Electronic guidelines are changing with alarming frequency. OGRS will provide updates as much as possible. Be alert.

F.2. Proposal Narrative: Components

Most funding organizations require that proposals include, in one variant or another, the following components. Prepare each one carefully.

TITLE. Some agencies use cover sheets for proposals, which require detailed information about the project, budget, principal investigator/project director (PI/PD), and institution. If there is no formal cover sheet, prepare a separate title page.
− Keep the title concise: some funding agencies limit the length of project titles to a specific number of characters.
− The title may be used to assign the proposal to a review group or category, so word it to clearly reflect the basic purpose of the project.
− The title should be understandable to the lay reader. Keep in mind who might be reviewing your proposal, and also the fact that federally funded awards become public documents.
TABLE OF CONTENTS. Some sponsors require a table of contents that lists page numbers of all major sections of the proposal. Agencies can be very specific about labeling, pagination, etc; NSF, for example, provides its own forms and creates its own Table of Contents. Obviously, a Table of Contents cannot be created until all elements of the proposal have been prepared in final form.

ABSTRACT. Believe it or not, the abstract could be the single most important component of your proposal.
- An abstract is a SUMMARY and overview of the entire proposal (it is not an introduction). This means it must include information on problem, methods, anticipated outcomes, significance, and budget.
- Keep it brief: sponsors usually specify a length (typically from 100 to 500 words).
- Use language understandable to an informed layperson; avoid disciplinary jargon.
- Like the title, the abstract may be the basis on which a program officer assigns your proposal to reviewers.
- Sad but true: careless reviewers will, on occasion, barely glance at your proposal text, basing their review instead on your abstract and budget. There are few other circumstances in which the ability to craft an informative abstract is as crucial!
- Write the abstract LAST, and review it carefully to make sure it agrees with the final text.

INTRODUCTION/STATEMENT OF PROBLEM OR NEED.
- First impressions count, so begin with a clear, concise, and forceful statement.
- This section introduces the who, what, when, why, where, and how of the proposed project.
- It briefly summarizes the evidence that establishes the goals and need for the project, how that need will be addressed or the goals achieved, and the anticipated outcomes.
- Depending on the sponsor's requirements, any or all of these elements may be discussed at greater length in separate sections of the proposal text.

GOALS AND OBJECTIVES. This section identifies the purpose of the project, what it is intended to achieve (what question it is designed to answer, what problem it is intended to solve, what theme it is proposed to explore), and the expected outcomes.
- Goals are broad, general statements about ideal project outcomes.
- Objectives are smaller, more specific and measurable outcomes, and should be compatible with, or steps toward achieving, stated goals.
- Anticipated outcomes are the expected final findings or “products” of the project, which may be a decision about a hypothesis, a policy recommendation, a body of work for a show or performance, a published article, etc. (Be careful here: reviewers often ask, What if the project doesn’t turn out this way? You should describe your anticipated outcomes with a hypothetical “Plan B” in mind.)
- The goals and objectives of a project are not the same as its significance; see below.

BACKGROUND/LITERATURE REVIEW. This section must accomplish two things: (1) it must thoroughly summarize the up-to-the-minute state of knowledge in the field in order to establish the context for the proposed project and (2) it must convincingly demonstrate that the project needs to be undertaken to fill a real gap in knowledge.
- You should establish clearly that your project addresses important questions or problems in your field of endeavor.
- Highlight innovation: the questions/problems you are addressing have never been addressed this way before.
- Don’t “review the literature” by simply listing authors and dates. Your background section should focus on the specific theories, concepts, methods, or interpretations that your project will address.
- It is frequently convenient to organize this section by chronological review of the development of a particular field of inquiry and the questions, problems, or gaps in understanding that remain.
- Include as cited works both fundamental classics and just-published state-of-the-art articles, as appropriate.
- Show awareness of alternative viewpoints. Handle controversies and debates in the field evenly and non-dogmatically.
- When arguing your own position on an issue, defend it by providing supporting data or evidence. Don't merely “argue by assertion” (i.e., it is correct because I say so) or “appeal to authority” (it is correct because Smith 1995 says so).

**METHODS/PROCEDURES/MATERIALS.** This section, the “research design” of your project, constitutes the very core of your proposal. It must meet three criteria: (1) it must derive logically from the statement of problem or need; (2) it must proceed smoothly from describing data and techniques to be used, to explaining how the findings will be interpreted in terms of the stated goals, objectives, and outcomes; and (3) it must convince readers that the conclusions will be valid. The most common reason proposals are rejected is that the PI/PDs fail to tell reviewers exactly what they will DO on the project. So, tell them! You have a limited number of pages to work within your proposal; this section is where you should concentrate your efforts. Specific approaches and methods of inquiry will vary depending on your particular discipline, of course, but in general you will need to include some subset of the following:

- **Hypotheses** to be tested or concepts to be explored. Most successful scientific research is hypothesis-driven. All hypotheses in the proposal should be testable. The proposal should not assume to be true those hypotheses that are to be tested.
- Description of how experiments will be designed and conducted.
- **Social sciences:** the following elements are particularly important elements of proposals in the social sciences.
  - Identification of the study population and or participants.
  - Description of sampling design and sample size.
  - Description of questionnaire instruments (or include as appendices, if allowed).
  - Description of the specific types and suitability of statistical analyses of raw data, such as regression, principal components, etc.
- **Personnel:** Clear statements of the qualifications and activities of all personnel, including students, consultants, subcontractors, and others, but especially the PI/PD. It should be clear that the PI/PD is uniquely qualified by virtue of background knowledge and mastery of all the relevant techniques to successfully execute the research plan.
- **Evaluation:** How will the project be monitored, who will do it and how often, how will unexpected events be handled, and what will be done if the project isn’t working?
- **Preliminary data:** If you have data from pilot projects that demonstrate the effectiveness of your approach, include them.
- Essential **equipment, facilities, and space:** describe what these items are, how they will be used, and their availability on campus or at the research site.
- **Permissions and Compliances:** All necessary permissions, collaborations, and compliances have been secured. **Compliances** are mandated by the University, state, and/or federal government for research involving human subjects, animals, hazardous materials, recombinant DNA, etc.; sponsors may want these compliances in hand at the time of proposal submission. Research in foreign countries often requires formal permits; include copies of letters.
- **Illustrative material:** maps, charts, photographs, etc. (only if allowed).

**TIMETABLE.** A successful research proposal must strike a careful balance between time and money (which are finite resources) and project goals.

- Does the sponsor place time limits on funding? Dollar limits on funding?
- Is the research design such that project goals can be accomplished within the period proposed in the grant and allowed by the sponsor?
- Can the project goals be accomplished in one year, or is it a multi-year project?
- Is the scope of work reasonable for the project period and budget? One hallmark of an inexperienced investigator is an overly ambitious scope of work.
- How will the work be organized on a month-to-month basis? Some sponsors want a formal timeline or chart delineating activities or milestones month-by-month.

**PROJECT SIGNIFICANCE AND IMPACT.** The *significance* of a project is not the same as the purpose or goals (see above) of the project. Statements of the significance and impact of the project must be carefully crafted and may be couched in several themes:
- Advancing the state of knowledge in a particular field, enriching our cultural and aesthetic heritage, or contributing to the public good.
- Accomplishing the funding agency’s goals; refer again to the sponsor’s goals and mission.

**DISSEMINATION.** How will the project’s findings be communicated to the field? Most agencies want a more thoughtful plan than simply “We will publish the results in journals and give presentations at meetings.”

**BUDGET AND JUSTIFICATION.** Budgets can be quite complex, as they require knowledge of typical costs, sponsor guidelines, and University fiscal policies. Budget “justifications” are detailed explanations or rationales for the need for individual budget line items, as dictated by the project’s goals, scope, and methods.
- Study the sponsor’s budget guidelines carefully: if they say they won’t pay for travel to meetings, don’t include the costs of travel to meetings; if they say they won’t pay salaries, don’t ask for salary! If they require an institutional match, check with your department, college, or center for support.
- The Intent to Apply form (available on the OGRS website) includes a cost-sharing page.
- The budget should be reasonable, appropriate to the project, and within the usual range of awards made by the sponsor.
- The budget should include all necessary costs to successfully accomplish the stated project goals, design, description, and timetable.
- The budget should be realistic and not padded.
- Each item of the budget, particularly international travel and big-ticket pieces of equipment, must be justified in writing, usually on a separate page.
- If the proposal is for a multi-year project, you should prepare a budget for each year, as well as a cumulative budget.
- University policies: Be sure to include appropriate fringe benefits and indirect costs in your budget, and pay proper attention to release time and cost-sharing (all this information is available on the OGRS website under Policies).

**CREDENTIALS OF PROJECT PERSONNEL.** Up-to-date *curricula vitae* or bio-sketches of the PI/PD and other senior project personnel are typically required.
- Many sponsors have their own format and/or page limits.
- If the page limit is very short, use it to outline only recent (last 5 years or so) experience and publications directly relevant to the proposed project.

**REFERENCES CITED.** As in any writing project, you must be careful to provide citation information on all literature referenced in the proposal text, particularly in the background section.
- Outdated and/or incomplete references can contribute to rejection of a proposal.
- Check carefully to make sure that all citations in the text are listed in the References Cited, that all items in the References Cited are mentioned in the text, and that they are correct and correspond by year.
- Strictly adhere to any page limit or citation style requirements of the sponsor.

**F.3. The Proposal Narrative: General Advice**

**FOLLOW DIRECTIONS.** Read the guidelines for proposal preparation carefully and follow them exactly! The importance of this cannot be overemphasized.
- For federal grants, there is often a law requiring, or a scientific rationale for asking, every piece of requested information.
- Do NOT violate guidelines on page length, word limits, margin size, font size, organization and format, etc. This is not the time to let loose your creative spirit by using nonstandard typefaces.
- Be wary of adding appendices. Do not use them to weasel around page limits for the proposal narrative. Some agencies do not allow appendices without prior approval of a program officer; some do not require reviewers to read them.
- Just because one agency or foundation does things a certain way, it doesn’t mean they all do. Pay attention to and respect individual sponsors’ idiosyncrasies.
- Some sponsors make available the forms or guidelines that reviewers are asked to use in evaluating a proposal. These closely correspond to the goals of the funding program and are therefore valuable because they tell you clearly what reviewers will be looking for and/or using to score your proposal. Check sponsor websites to see if reviewer forms/guidelines are posted, and write with them in mind.

**NEATNESS COUNTS.** Few things infuriate reviewers—and prompt highly negative comments—as much as a carelessly prepared proposal riddled with typographical, punctuation, grammatical, and budgetary errors. There is simply no excuse for this with today’s computerized word-processing programs. The thought always lurks: if the PI/PD prepared the proposal so incompetently, is this how s/he will carry out the research, too?
  - Use a spell checker and a grammar checker—but beware of homonyms (there, their).
  - Ask an experienced colleague to read your proposal draft for typos, accuracy, and clarity, and to give you an honest review. This is especially important if you are not a native English speaker.
  - Proofread, proofread, proofread!

**BE CONCISE.** The proposal must be thorough, but the writing should be crisp, clear and readable, objective, and non-repetitive.
  - Avoid needless and pretentious jargon. This is especially important if the proposal is to be evaluated by reviewers from a variety of disciplines.
  - Define acronyms the first time they are used and avoid abbreviations.
  - Avoid gimmicks, hyperbole, and hokey or extravagant claims that distract from the scholarly objectivity of your writing.
  - Avoid asking rhetorical questions.

**EXPLAIN, DON’T ASSUME.**
  - Explain adequately, but do not talk down to your readers.
  - Don’t assume anything is obvious or that reviewers will cheerfully read between the lines. It isn’t and they won’t.

**F.4. The Review Process**

**THE WAIT.** You should receive an acknowledgment from the sponsor that your proposal has been received. They may tell you that your proposal has been given a particular reference number and/or when you can expect a decision. Then you wait.

**LEVELS OF REVIEW.** Most sponsors have several levels of review, including:
  - Outside, ad hoc, peer reviewers, with specialized knowledge in the area of the proposal, who are solicited for comments and who send in reviews, typically via email.
  - Review panels or committees that meet and discuss large numbers of proposals (e.g., all those submitted for a twice-yearly deadline). They are responsible for ranking the proposals and making recommendations to the sponsor about which should be funded and which should not. These committees may be multidisciplinary, and hence they may or may not include experts in your specific field. Keep this possibility in mind when writing the proposal narrative.
  - Internal agency or foundation reviews providing oversight of budgetary, regulatory, and internal concerns, rather than scholarly content.
Reviewers, review panels, and program officers in federal agencies make recommendations about funding particular proposals, but these are subject to consideration by very senior officials who make final decisions. These levels of review are usually mandated by the legislation that established the agency.

REVIEWERS ARE HUMAN. Don’t lose sight of the fact that reviewers are human beings who have good days and bad days just like you do. Keep in mind that:
- Reviewers volunteer their time to evaluate proposals partly because they are good academic citizens, but generally their main interest is to learn about exciting new ideas and research frontiers. It is genuinely disappointing when these are missing.
- Reviewers may have a large stack of proposals to read; they may be tired, ill, or hurried. Make it easy on them by following directions and writing clearly.
- Don’t anger or frustrate reviewers with errors, overblown claims, unclear or inadequate explanation, or bloated, unjustified budgets. This is guaranteed to get you a poor—sometimes even vicious—review.

YOU HAVE TO SELL YOUR PROPOSAL TO REVIEWERS! Face it, they hold the key to your success. No matter how brilliant and important you are, you have to persuade reviewers that this project, as you have described it on the allotted number of pages, is worth the investment of a substantial sum of the sponsor’s money. A PI/PD’s solid track record of getting grants and timely dissemination of results is always a positive factor in the review process, but reputation alone cannot turn a weak proposal into a winner. There is an element of salesmanship here. Why should private or taxpayer money be invested in your project? A successful grant application will convince reviewers, through each of the sections described above, that:
- The proposed project is needed: it will tell us something that we don’t know now.
- The PI/PD and other personnel have the requisite expertise, permits, and access to space and facilities to carry out the project.
- The project is doable in the proposed time frame and with the proposed budget.
- The budget is appropriate and includes all necessary items.
- The proposed project will be successfully completed and make a significant contribution to the field.
- The results of the project will be disseminated in a timely manner.

YOUR GOAL: Readers can come away from your proposal captivated by your brilliantly innovative ideas, masterfully convincing logic, methodological rigor, and lucid, compelling prose that wraps all this cutting-edge project’s complexities into a seamless, eminently fundable package. Or they can massacre your out-of-date, unoriginal, dogmatic, error-ridden, vague, turgid, and prolix bloviations. The choice is yours.

RANKINGS: It should be clear from the above that, despite shared elements, every sponsor—whether federal, state, private foundation, or industry—has its own goals, guidelines, review processes, and decision-making processes. Commonly, however, when large numbers of proposals are reviewed at one time, after a particular deadline, they will be scored or ranked.
- Rankings are initially determined by expert reviewers, who usually are asked not only for written comments but also a relative evaluation. This might be a verbal evaluation as “excellent; very good; good; fair; poor,” or it might be a numerical scale of 1 to 5, or, as at NIH, a numerical score from 100 to 500 (lower scores are better).
- If a review panel is convened, it too will rank the proposals, based on panel members’ own readings and the opinions of the expert reviewers. Rankings may be expressed like class grades, for example, as A, B, C, and so forth, or by numerical scores.
- If the volume of proposals is high and meeting time is short (the typical situation), it is likely that proposals will be triaged. The only proposals to be discussed and ranked in panel are those that had high scores or ranks from the expert reviewers. Proposals with mixed reviews have little likelihood of funding, and those with lower rankings/scores frequently are not even discussed.
Final panel discussions focus on determining the specific rank ordering of the top proposals. Some sponsors may give PI/PD’s of worthy but unfunded proposals encouragement to revise and resubmit on the basis of reviewer comments.

THE DECISION: LIVE AND LEARN. It is rare, especially for novices and particularly when applying to federal agencies, that a proposal is successful on its first submission. The competition is tough out there and getting tougher! Estimates of the success rates for first-time submissions are on the order of 15-33%. Given the circumstances, then, it is best to grit your teeth, gird your loins, and approach a first-time submission with the attitude that it will be a learning experience.

- Reality check: Rejection is devastating, particularly if accompanied by scathing commentary. It has happened to ALL your colleagues at one time or another. Get over it and move on.
- Above all, DO NOT fire off an angry or whiny letter to the sponsor! If it makes you feel better, write the letter but do NOT mail it.
- Reading and interpreting reviews is an art in itself. Novices should ask more experienced colleagues for guidance in reading between the lines.
- If written reviews of your proposal are not returned to you, contact the program officer and ask if you may have copies or summaries of reviewers’ comments.
- If a proposal is reviewed in-house by non-experts, for example by a private foundation, and your proposal is not successful, you are unlikely to get any encouragement to resubmit a revised version. Try elsewhere.
- If your proposal was peer-reviewed by experts, and then reviewed in-house, there may be reason to revise and resubmit your proposal for a second review cycle if the first was unsuccessful. Program officers usually will indicate if they think a revised version, responding to specific reviewer concerns, might be successful in the next competition. If in doubt, it is often helpful to set up an appointment for a telephone call to the program officer to get further insights.
- Swallow a dose of humility: Learn to profit from (generally) well-meaning critiques by scholars whose experience and knowledge may be greater than your own, and be prepared to incorporate their suggestions when you revise and resubmit your proposal.

BE PERSISTENT! You definitely won’t get a grant if you don’t submit a proposal!
- If you are unsuccessful the first time around, revise and resubmit the proposal.
- Some sponsors, such as NIH, limit the number of resubmissions of a proposal to two.
APPENDIX G: OGRS STAFF

OGRS is located on the third floor of Presidents Hall. The individuals comprising OGRS and their contact information are as follows:

Robert M. De Martino, Ph.D.
Director
Phone: (973) 275-2975
Fax: (973) 275-2978
Email: demartro@shu.edu

Maribel Roman
Assistant Director
Phone: (973) 275-2977
Fax: (973) 275-2978
Email: romanmar@shu.edu

Natalia Castaner
Secretary
Phone: (973) 275-2974
Fax: (973) 275-2978
Email: castanna@shu.edu