

**Grants and Contracts:
CAS Guidelines, Policies, and Procedures
For Externally Funded Research**



College of Arts and Sciences
August 2014

Preface

This manual contains CAS guidelines, policies, and procedures for obtaining support for research or pedagogical initiatives. Its principle objectives are to encourage College faculty to seek that support and to increase their chances of obtaining it.

Portions of this manual were adapted from Charles S. Weiss' *Grants Handbook: Resources, Policies and Procedures* (College of the Holy Cross) and Don Thackrey's *Proposal Writer's Guide* (University of Michigan).

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I. Basic Concepts and Notions

Grants and Contracts

Broadly considered, **grants** and **contracts** are **sponsored awards** that provide funds for scholarly, professional, or creative initiatives. Depending on the scope and nature of the award, funds could be provided for:

- salaries and stipends
- benefits
- materials and equipment
- travel expenses
- publication expenses
- facilities and administrative (indirect) costs

plus various other resources that might be needed to support the proposed initiative. The difference between grants and contracts is more technical than substantive, since either could support a particular initiative. Work done under contract tends to be specified in greater detail and requires a legal agreement between the sponsor and the recipient, which is not normally the case for a grant. Except as indicated elsewhere in this document, **the term *grant* will be used for either type of award, and the term *research* will be used to describe any funded initiative.**

Who Awards Grants?

It is useful to classify grants into one of two categories, depending on the source of the award. **Internal** or **intramural** grants are sponsored by the academician's home institution. At the **University of Dayton**, the largest source of internal funds are the **University of Dayton Research Council Seed Grants (RCSG)**, which provide summer fellowships, equipment grants, or other grants-in-aid to support faculty research. These competitive awards support projects that "show a clear potential for increasing the investigator's research productivity as evidenced by refereed publications, juried creative work, or external research funding."

The second category is **external** or **extramural** grants, which are sponsored by external constituents such as government agencies and private foundations. Although this manual focuses on external grants, many of the guidelines, particularly those that deal with proposal preparation, apply to internal grants as well.

Who Receives External Grants?

In contrast to fellowships, which may be awarded to individuals, nearly all external grants are awarded to and administered by the University. A common misconception among College faculty members whose grant proposals are funded is that the grant is made to them. This seems plausible. The principal researcher may have come up with the idea and, if so, is likely to have written most or even the entire proposal. Yet while it is theoretically possible for an individual without any institutional affiliation to receive a grant, it rarely occurs. This makes sense when one considers that the sponsor is a critical stakeholder whose funds fuel the project.

In deciding whether or not to make a grant, a sponsor must make a prudent determination that the proposed work can be successfully accomplished. Sponsors realize that a researcher or scholar who is employed by an institution is in a position to utilize its resources to help ensure a successful effort. In the case of a University, such resources are likely to include laboratory space and equipment, library resources, computer access, and clerical or administrative support. Unaffiliated researchers rarely have access to this level of support.

Who Benefits?

While good research can be accomplished without external funding, there are **significant and far-reaching benefits of sponsored research**. A principal beneficiary, of course, is the researcher or team of researchers who carry out the proposed initiative. Grants often provide researchers with summer employment, release from teaching duties, support for student assistants, new facilities and equipment, or travel expenses. Grants may also provide funds for salaries, benefits, and administrative support. In such cases, the University, the College, or the Department realize savings that can be invested in new academic initiatives.

A less tangible but no less important benefit is external validation that the proposed research has merit and should be supported. Such validation strengthens the reputation of the researcher, his/her Department, his/her School or College, and the University.

II. Sponsored Research at the University of Dayton

Principal Points-of-Contact

Sponsored research by College faculty at the University of Dayton requires careful coordination among the principal investigator, his/her Department, the College of Arts and Sciences, the University of Dayton Research Institute Office of Contracts and Grants Administration and, in some cases, the University of Dayton Office of Corporate and Foundation Relations.

The principal points-of-contact for the **College of Arts and Sciences** are:

Carolyn Roecker Phelps
Associate Dean, 229-2602

Jennifer Speed
Coordinator of Grants & Funding, 229-2669

Maura Donahue
Director, Budget and Operations, 229-2176

The principal point-of-contact for the **University of Dayton Research Institute Office of Contracts and Grants Administration** is:

Claudette Groeber
Director, Office of Contracts and Grants
229-2919

The principal point-of-contact for the **University of Dayton Office of Corporate and Foundation Relations** is:

Brandy McFall
Director of Development, Foundation Relations
229-2959

The Role of the College of Arts and Sciences

The College is responsible for monitoring and coordinating the entire proposal process. Indeed, all grant proposals from College faculty members require an internal Proposal Processing Form (PPF), which must be approved by the Dean of the College prior to the proposal's submission. (See Section IV. Proposal Preparation and Submission.) Faculty must consult also with their **Department Chair**, who will need to endorse any aspect of the proposed research that might conceivably affect departmental administration or a faculty member's departmental duties, such as release from teaching responsibilities or access to facilities and labor. Early discussion of these issues will expedite the entire proposal process.

The Role of the University of Dayton Research Institute (UDRI) Office of Contracts and Grants Administration

UDRI's **Office of Contracts and Grants Administration** is directly responsible for the negotiation, execution, and administration of all UD agreements with public external sponsors of research grants and contracts. Its specific responsibilities include:

- Serving as liaison with sponsor(s),
- Proposal preparation and submission,
- Budget preparation,
- Award negotiations and administration,
- Subcontract management,
- Intellectual property and technology rights oversight, and
- Ensuring proper compliance with government regulations.

The Role of the Office of Corporate and Foundation Relations

The **Office of Corporate and Foundation Relations (CFR)** is the University of Dayton's central office for fundraising from private donors and is responsible for coordinating research partnerships with all foundations and corporations on behalf of the University. This ensures that new funding requests to foundations or corporations are strategic and initiated appropriately. The CFR works closely with the Office of Contracts and Grants Administration and provides similar services, which focus on research partnerships with the private sector. These may include:

- Monitoring funding interests of private foundations and corporations and relaying Requests-for-Proposals (RFPs) to academic units;
- Serving as a single point of contact for coordinating activities with prospective donors in order to avoid duplicate or competing requests;
- Coordinating proposal development and preparation, particularly for institutional initiatives with foundations and corporations;
- Supplying any required "boilerplate" institutional information, such as audited financial reports or documentation of tax exempt status; and
- Supporting post-award administrative requirements.

Check out the faculty FAQ at: www.udayton.edu/research/contracts_grants/faculty_faq.php

Timeline for Submitting a Grant Proposal

Staying mindful of the sequence of actions leading to the submission of a grant proposal will expedite the entire process. Below are the significant milestones:

1. Write a preliminary research proposal plan. Explain how much money is needed and how it might be spent. Discuss your plan with your chair, mentor, or department colleague.
2. Identify a potential funding agency using the COS database or other means. Consider carefully the submission date.
3. If applicable, contact the appropriate agency official in order to gauge the agency's interest in the preliminary plan. (See "Making Contact with the Sponsor," below.) Refine your preliminary plan to align it as closely as possible with the agency's funding priorities.
4. Three to six months prior to the due date:

Inform all of the following persons of your intent to submit a grant proposal to an external funding agency: your department chair, Carolyn Roecker Phelps (Associate Dean for Faculty Scholarship, Internationalization, and Inclusive Excellence), Jennifer Speed (Coordinator for Grants and Funding), and Maura Donahue (Director of Budget and Operations). Provide all relevant details including the RFP and deadlines. Some or all of these persons may wish to meet with you to review your proposal. Jennifer and Maura will determine whether the proposal will go through the Office of Contracts and Grants Administration or through the Office of Corporate and Foundation Relations. Keep working on refining your proposal; ask your mentor or a colleague again for input on your draft.
6. Two months to 30 days prior to the due date:
 - A. If your proposal will be submitted through Contracts and Grants, send an e-mail to proposals@udri.udayton.edu to inform CGO of your intent to apply. Include as attachments to the e-mail the RFP or other grant application instructions. Call 229-2919 to speak with a staff member about your proposal. Submit information necessary to construct proposal budget.
 - B. If the proposal will be submitted through Corporate and Foundation Relations, provide Jennifer and Maura the information necessary to construct the proposal budget.
 - C. Review the agency's proposal preparation and submission guidelines. Funding agencies may make changes to deadline or programs requirements prior to submission.
8. One month prior to the due date:

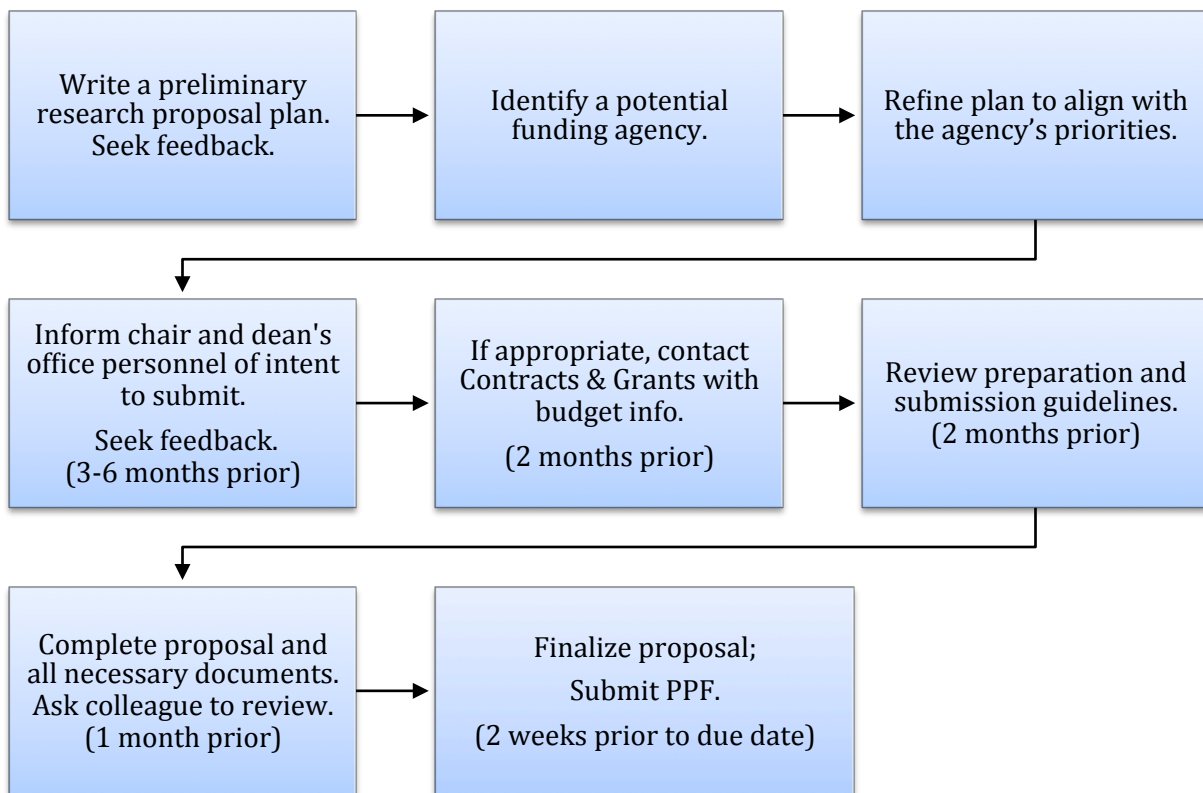
Complete the written proposal, including budget narrative and any other required materials. Ask department chair or a colleague to review.
9. Two weeks prior to the due date:

Finalize your proposal, ensuring budget narrative is consistent with proposal budget. Complete the *Proposal Processing Form (PPF)* and submit it to department chair for signature. Route PPF and project budget through the Dean's office. (See Section IV.)

10. One week prior the due date:

The Dean's office submits approved PPF to the Contracts and Grants office, or coordinates with Corporate and Foundation Relations to submit final documents. Note that CGO uses this final week to complete compliance checks, error checks, formatting, and uploading of documents for on-line submission. Some on-line submission systems have error-checking features that automatically reject non-compliant proposals. Early submission is important to allow for time to correct errors and resubmit!

Grant Proposal Process



III. Tracking Sponsored Research Opportunities

Sponsors

Becoming familiar with the agencies that sponsor faculty research is essential to obtaining grants. Generally, sponsors fall into one of two categories: public and private. Public sponsors include federal, state, or local government agencies, while private sponsors include foundations, corporations, or individuals.

Major public funding agencies include:

National Science Foundation

< <http://www.nsf.gov/> >

National Institutes of Health

< <http://www.nih.gov/icd/> >

National Endowment for the Arts

< <http://www.nea.gov/> >

National Endowment for the Humanities

< <http://www.neh.gov/> >

Department of Education

< <http://www.ed.gov/index.jhtml> >

Department of Defense

< <http://www.defenselink.mil/> >

Major private funding agencies include:

Bill & Melinda Gates Foundation

< <http://www.gatesfoundation.org/default.htm> >

Ford Foundation

< <http://www.fordfound.org/> >

The Getty Foundation

< <http://www.getty.edu/foundation/> >

The Robert Wood Johnson Foundation

< <http://www.rwjf.org/> >

Lilly Endowment, Inc.

< <http://www.lillyendowment.org/> >

The Andrew W. Mellon Foundation

< <http://www.mellon.org/> >

The Templeton Foundation
< <http://www.templeton.org/> >

The Rockefeller Brothers Fund
< <http://www.rbf.org> >

American Council of Learned Society (ACLS)
< <http://www.acls.org> >

Strategies and Resources

Internet search engines. Don't underestimate the value of using popular search engines to obtain useful and timely funding information. Priming Google™ with the key word phrase “government grant university agency” yields over three million hits. Adding words such as “humanities” or “global warming,” to the end of the phrase can be used to obtain information that is targeted to your particular research interest(s).

Public and private agency web sites. The preceding list of funding agencies is a good place to start. Agency web sites contain the most authoritative information, including a description of the research areas they are interested in supporting and guidelines for submitting proposals. Most include a list of projects that they are supporting currently or have supported in the recent past. Although the federal government funds the majority of academic research, private organizations, trusts, foundations, societies, and associations are also a source of funding opportunities. Indeed, a faculty member's research may suit the interests of private agencies better than those of the larger federal organizations, thereby improving the chances of winning a grant.

The Office of Contracts and Grants Administration and the Office of Corporate and Foundation Relations. Since both offices are familiar with sources of funding opportunities, they may be able to steer a faculty member toward grant notices or program announcements that are aligned with research interests. Perhaps they know of a funding alert newsletter or e-mail listserv to which a faculty member's name can be added. It is helpful to share your ideas with them and ask if they have suggestions about how best to proceed.

Funding databases. These are some of the best resources for tracking sponsored research opportunities. Funding databases permit a faculty member to search efficiently for grant and/or fellowship announcements that match selected criteria, such as key words describing an area of research or programming; status as a faculty researcher, postdoctoral researcher, or graduate student; citizenship; the location of research; and the type of funding being sought. Many funding databases provide free access for basic services. Some require registration or a subscription to receive access. Major funding databases that can be accessed from the University of Dayton include:

Foundation Search
< <http://www.foundationsearch.com> >

Foundation Search includes a powerful database-driven tool for identifying private

funding sources and analyzing their historical giving trends. The Office of Corporate and Foundation Relations maintains a Foundation Search membership and can help you identify funding opportunities.

GuideStar

< <http://www.guidestar.org> >

Like Foundation Search, GuideStar can be used to track private sector funding opportunities. Certain functions are accessible for free, including searching for sponsors by name, keyword, city, or state.

Computer Retrieval of Information on Scientific Projects (CRISP)

<http://www.nlm.nih.gov/research/umls/sourcereleasedocs/current/CSP/>

CSP is a free, searchable database of federally funded biomedical research projects conducted at universities, hospitals, and other research institutions. The database includes projects funded by the National Institutes of Health (NIH), Substance Abuse and Mental Health Services (SAMHSA), Health Resources and Services Administration (HRSA), Food and Drug Administration (FDA), Centers for Disease Control and Prevention (CDCP), Agency for Health Care Research and Quality (AHRQ), and Office of Assistant Secretary of Health (OASH). CSP can be used to search for scientific concepts, emerging trends and techniques, or identify specific projects and/or investigators.

National Institutes of Health (NIH) Guide for Grants and Contracts

< <http://grants.nih.gov/grants/guide/index.html> >

The NIH Guide for Grants and Contracts is a free, searchable database of NIH medical and behavioral research grant policies, guidelines and funding opportunities. It is published on a weekly basis and users may Subscribe/Unsubscribe to weekly e-mail alerts.

Grants.gov

< <http://www.grants.gov/index.jsp> >

Grants.gov is the official site for identifying and applying for over 1,000 discretionary grants offered by 26 Federal grant-making agencies. Although registration with Grants.gov is not required to search for grant opportunities, a faculty member must be registered with Grants.gov in order to apply for a grant. The University of Dayton is already registered through the Office of Contracts and Grants Administration, which has sole authorization to submit grant applications to Federal agencies.

Community of Science (COS)

< <http://www.cos.com/> >

The following section provides a detailed description of COS.

Community of Science (COS) Database

COS resources. COS is the most comprehensive storehouse of funding resources on the Web. Its name notwithstanding, **COS includes funding resources for all academic disciplines**, not just the sciences. The principal resource, *COS Funding Opportunities*, is a vast database of announcements for grants, fellowships, and awards comprising more than 22,000 records worth over \$33 billion. [A sample record, from the National Foundation for the Arts and Humanities included below.] Other COS resources include:

- *COS Workbench*, a Web workspace for accessing and managing COS resources;
- *COS Funding Alert*, a weekly e-mail notification of funding opportunities based on specified criteria provided by the individual researcher;
- *COS Expertise*, a knowledge management system for individuals and institutions, containing more than 480,000 profiles of researchers from over 1,600 institutions worldwide;
- *Scholar Universe*, a searchable, editorially controlled database of more than 1 million published scholars in a variety of disciplines;
- *COS Abstract Management System (AMS)*, an end-to-end system for collaborative online authoring and submission of abstracts, peer review, conference or meeting scheduling, personal itinerary planning, and program printing; and
- *Reference Services*, access to numerous bibliographic and funding databases including
- MEDLINE®, GeoRef, Agricola, Federal Register, FedBizOpps/Commerce Business Daily, Funded Research and US Patents.

Using COS. As a COS Member Institution, the University of Dayton provides all College faculty, staff, and students with free access to COS resources. Before a faculty member begins using COS, they must register. For any assistance with the UD COS, contact the liaison:

Matt Pierson
 UDRI
 Office of the Director
 Kettering Laboratories Room 531
 229-4343

Instructions for using COS are at:

< http://fundingopps.cos.com/docs/help_toc.shtml >

Search Funding Results

 Your Search: ((fellowship AND faculty AND research AND awards))
 filtered by: (new:(true))

[Advanced Search](#) [Sign in to save your query](#) [Refine Search](#)

		10 Results Sort*	Deadline	Amount
Recently added Last 7 days: 10 Top funding types Program or Curriculum ...: 4 Training or Scholarshi...: 2 Artistic Pursuit: 1 Collaboration or Coope...: 1 Meeting or Conference ...: 1 Top sponsor types Federal, U.S.: 3 Other Nonprofit: 3 National Government, N...: 2 Private Foundation: 1 Professional Society o...: 1 Top requirements PhD or MD or Other Pro...: 7 New Faculty or New Inv...: 6 Graduate Student: 4 Nonprofit: 4 Academic Institution: 4 Top keywords Science Planning or Po...: 2 Area Studies: 1 Agriculture and Food S...: 1 Arts and Humanities: 1 British History: 1	<input type="checkbox"/>	Fulbright-AstraZeneca Research Scholarship Fulbright Commission - United Kingdom (US-UK Fulbright Commission) Visiting Lecturers, Postdoctoral Research Scholars, and Professional Fellowships	31 May 2014 Application Anticipated	€20,000 GBP
	<input type="checkbox"/>	National Awards Program Freedoms Foundation at Valley Forge	01 Jun 2015 Nomination Anticipated	\$100 USD
	<input type="checkbox"/>	Career Opportunities - Doctoral Research Scholarship, Postdoctoral Fellowships, Career Development Awards Cerebral Palsy Alliance Research Foundation	30 Aug 2014 Application Confirmed	see record
	<input type="checkbox"/>	Ireland-Dublin: Research Consultancy Services (Establishment of a Framework Panel for Scientific Administrators in the 14 NPRES Areas) Science Foundation Ireland (SFI)	22 Aug 2014 Expression of ... Confirmed	€100,000 EUR
	<input type="checkbox"/>	Performing Arts - International Activities Kulturministeriet / Ministry of Culture Denmark Kulturstyrelsen / Danish Agency for Culture	01 Nov 2014 Application Confirmed	see record
	<input type="checkbox"/>	Fulbright - Robertson Visiting Professorship in British History Fulbright Commission - United Kingdom (US-UK Fulbright Commission) Visiting Lecturers, Postdoctoral Research Scholars, and Professional Fellowships	To be announced Application Anticipated	\$52,500 USD
	<input type="checkbox"/>	Democracy, Human Rights, and Rule of Law in Iraq United States Department of State (DOS) Bureau of Democracy, Human Rights and Labor	01 Aug 2014 Application Confirmed	\$2,000,000 USD
	<input type="checkbox"/>	Science of Science and Innovation Policy Doctoral Dissertation Research Improvement Grants (SciSIP-DDRIG) National Science Foundation (NSF) Directorate for Social, Behavioral and Economic Sciences (SBE)	22 Sep 2014 Full Proposal Confirmed	\$80,000 USD
	<input type="checkbox"/>	Walter Byers Postgraduate Scholarship Program National Collegiate Athletic Association (NCAA)	15 Jan 2015 Nomination Anticipated	\$24,000 USD
	<input type="checkbox"/>	Establish Adjuvant Hub to Enable Adjuvanted Influenza Vaccines in Under-Resourced Nations United States Department of Health and Human Services (HHS) Office of the Assistant Secretary for Preparedness and Response	28 Jul 2014 Letter of Intent Confirmed	\$4,000,000 USD

IV. Proposal Preparation and Submission

General Rules and Guidelines

Writing a grant proposal is an exercise in persuasion. Assume that your reader is a busy person who must consider many more requests than can be granted and may not have the time to read your proposal thoroughly. Such a reader wants to find out quickly and easily the answers to these fundamental questions:

- What do you want to do, how much will it cost, and how much time will it take?
- How closely does the proposed project match our interests?
- What impact will the project have on your university, your students, your discipline, the nation, or whoever the appropriate stakeholders are?
- What has already been done in this area?
- How will you evaluate the results?
- Why should you, rather than someone else, undertake this project?

Characteristics of successful proposals. If you adhere to the following rules, you will improve your chances of receiving support:

- Read and follow the guidelines exactly. Accommodate your ideas to fit the guidelines, and always keep in mind that the agency controls the distribution of funds.
- Never request things that you do not need or want. Request everything that you do.
- Clarify why your project should be done and why you are the right person to manage it.
- Don't equivocate by using words such as "perhaps," "might," or "could." Avoid the passive voice.
- Get to the point quickly. Avoid the tendency to "set things up."
- Grant proposals are read, not weighed. In general, the shorter the proposal, the better. If neither the guidelines nor your arguments require certain information, do not include it.
- Share your proposal drafts and revisions with two or three knowledgeable colleagues.
- Read the final draft aloud (!)

Characteristics of unsuccessful proposals. Ernest M. Allen, late Chief of the Division of Research Grants, National Institutes of Health, published an important article in which he discussed the deficiencies or short-comings of proposals rejected by his office. These, along with the percent of time a particular deficiency was the problem, are listed below (Percentages may total more than 100 because more than one deficiency may have been cited for a particular proposal.) While this list is not very recent and does not specifically apply to all public and private agencies, most lists of shortcomings cite these same problems.

Shortcomings in problem (58 percent):

- The problem is not of sufficient importance or is unlikely to produce any new or useful information. (33.1)
- The proposed research is based on a hypothesis that rests on insufficient evidence, is doubtful, or is unsound. (8.9)
- The problem is more complex than the investigator appears to realize. (8.1)
- The problem has only local significance, or is one of production or control, or otherwise fails to fall sufficiently clearly within the general field of health-related research. (4.8)
- The problem is scientifically premature and warrants, at most, only a pilot study. (3.1)
- The research as proposed is overly involved, with too many elements under simultaneous investigation. (3.0)
- The description of the nature of the research and of its significance leaves the proposal nebulous and diffuse and without a clear research aim. (2.6)

Shortcomings in approach (73 percent):

- The proposed tests, or methods, or scientific procedures are unsuited to the stated objective. (34.7)
- The description of the approach is too nebulous, diffuse, and lacking in clarity to permit adequate evaluation. (28.8)
- The overall design of the study has not been carefully thought out. (14.7)
- The statistical aspects of the approach have not been given sufficient consideration. (8.1)
- The approach lacks scientific imagination. (7.4)
- Controls are either inadequately conceived or inadequately described. (6.8) The material the investigator proposes to use is unsuited to the objective of the study or is difficult to obtain. (3.8)
- The number of observations is unsuitable. (2.5) The equipment contemplated is outmoded or otherwise unsuitable. (1.0)

Shortcomings in investigator (55 percent):

- The investigator does not have adequate experience or training for this research. (32.6)
- The investigator appears to be unfamiliar with recent pertinent literature or methods. (13.7)
- The investigator's previously published work in this field does not inspire confidence. (12.6)
- The investigator proposes to rely too heavily on insufficiently experienced associates. (5.0)
- The investigator is spreading himself too thin; he will be more productive if he concentrates on fewer projects. (3.8)
- The investigator needs more liaison with colleagues in this field or in collateral fields. (1.7)

Other shortcomings (16 percent):

- The requirements for equipment or personnel are unrealistic. (10.1)
- It appears that other responsibilities would prevent devotion of sufficient time and attention to this research. (3.0)
- The institutional setting is unfavorable. (2.3)
- Research grants to the investigator, now in force, are adequate in scope and amount to cover the proposed research. (1.5)

Making Contact with the Sponsor

Once you have identified a possible funding agency, you must be sure that what you intend to propose matches closely its areas of current interest. In many cases, you should now make contact with the funding agency. Indeed, **obtaining a grant is in large part a matter of building a relationship with an individual or individuals at the funding agency.**

Federal agencies encourage you to call a program officer to discuss the nature of your work. **Do not hesitate to call.** It is the job of a program officer to help you to determine if your project is appropriate for funding. The officer will often help shape your ideas to be in line with what is currently being supported or may recommend another agency that is more appropriate for your area of interest. Program officers are often willing to read drafts or abstracts of proposals and provide constructive feedback. For example, the National Endowment for the Humanities has found that those proposals that have been reviewed by program officers prior to submission have a significantly higher probability of being funded than those that have not.

Many **private foundations** also encourage you to make an initial contact by telephone. **Before you call, however, you should contact the University of Dayton Office of Corporate and Foundation Relations.** (See Section II, A, above.) The reason for this is that many foundations will only entertain a single proposal from an institution during one funding cycle, and other UD faculty members may also be considering making a proposal to the same institution.

Writing the Narrative Portions of the Proposal

Proposals for public and private sponsored activities follow generally a similar format, although there are variations depending upon the nature of the project and the length of the proposal. In any case, **explicit instructions** for preparing and submitting a grant proposal are usually included in the RFP. **Follow them scrupulously.** The typical large-scale research proposal includes most of the following components:

- Title Page (or Cover Page)
- Abstract (or Executive Summary)
- Table of Contents
- Introduction (including Statement of Problem, Purpose of Research, and Significance of Research)
- Background (including Literature Survey)

- Description of Proposed Research (including Method or Approach)
- Description of Relevant Institutional Resources
- List of References
- Personnel
- Budget
- Appendices

Title page. Most sponsoring agencies provide a template or form for the title page.

Information on the title page may include: (a) signatures of the principal investigator and one or more College or University administrators; (b) an internal tracking number; (c) the name of the agency to which the proposal is being submitted; (d) the title of the proposal; (e) the starting date and duration of the project; (f) the total funds requested; (g) the name and address of the University office submitting the proposal; and (h) the date of submission. Some agencies require additional information such as whether the proposal is for a new or continuing project or whether it is being submitted to other agencies.

A good title is one that is both concise and explicit enough to indicate the nature of the proposed work. An example of a good title is “Risk Factors for Nicotine Addiction in Adolescents.” An example of a weak title is “Intrinsic and Extrinsic Sources of Risk for Nicotine Addiction in 12- to 18-Year Old Adolescents.” Avoid superfluous words or phrases that add little information, such as "Studies on....," "Investigations of....," or "Research on Some Problems in...."

Abstract. Every proposal, even brief ones, should include an abstract or executive summary. It helps to think of the abstract as a separate entity that conveys the proposal’s essence. **It is the most important single element in the proposal.**

Most readers rely on the abstract initially to give them a quick overview of the proposal and later to refresh their memory of its main points. Though it appears first, the abstract should be written last, as a concise summary (approximately 200 words) of the entire proposal (except the budget). A good abstract mentions the rationale for the project, its major objectives, and the procedures to be followed in meeting these objectives. It is common for sponsors to ask for keywords for their abstracts, too.

Table of contents. If a proposal is lengthy and detailed, a table of contents is a useful navigation tool for the reader, and it is a good idea to add one even when it is not required. A list of illustrations, figures, or tables is a helpful addition if the proposal contains a substantial number of graphic elements. Brief proposals or proposals with few sections ordinarily do not need a table of contents.

Introduction. The introduction of a proposal should begin with a concise statement of what is being proposed and then should proceed to introduce the area of inquiry. If the proposal is simple, the introduction may include also a brief literature review. (See **Background**, below.)

If the proposal is lengthy and detailed, you may wish to conclude the introduction by specifying the order and arrangement of the subsequent sections. The first person to read your proposal may be an administrator or program officer who is unfamiliar with your subject. Thus, the

introduction should provide enough background to enable the reader to place your particular research problem in a context of present knowledge and to appreciate how your proposed research could advance the field. The general tone of the introduction should be dispassionate, yet confident.

Background. This section consists of a thoughtful review of the scholarly literature that provides a rationale for your proposed research. The review should be selective and critical. Reviewers do not want to read through a voluminous working bibliography. A list of works with no clear evidence that you have studied them and have opinions about them contributes little to the proposal. Instead, reviewers want to know the most pertinent works and your objective evaluation of them.

The goal of this section is to demonstrate the logical continuity between work that was done previously and work that you propose to do. You want to leave the reader with a clear impression that: (a) your work builds upon the previous work, (b) your work differs from the previous work in original ways, (c) your work advances the present state of knowledge, and (d) you have the competence to perform the work.

Finally, as is the case with several other proposal sections, you should develop the background with enough breadth and clarity to make it accessible to as wide a professional audience as possible. Do not fall into the trap of writing what is intelligible only to the specialist.

Description of proposed research. This section, which is the heart of the proposal, describes in detail how the research will be conducted. Here your reviewer is likely to be someone who is familiar with the research area. Thus, it is important that your writing reflects a high level of technical expertise. Even if it is not required, it is a good idea to include a detailed schedule of the proposed work showing the sequence of steps and interrelationships. This gives the sponsor assurance that you are capable of careful step-by-step planning.

Maintain a realistic perspective. One of the criticisms most frequently made by reviewers is that the research plan should be scaled down to a more manageable project, which, if successful, will form the basis for subsequent work. In other words, your proposal should distinguish clearly between long-range research goals and the short-range objectives for which funding is being sought.

Description of relevant institutional resources. This section describes in detail any resources that would be made available to support the proposed project. The objective is to show the sponsor that your institution has the capability to manage funded research. Included here is evidence that (a) the institution employs federally approved accounting systems, (b) the institution has a good track record in the pertinent research area, (c) it has experts in related areas that may indirectly benefit the project, (d) it can provide administrative support, and (e) it has unique research facilities or instruments that are necessary to the project.

The Office of Contracts and Grants Administration and the Office of Corporate and Foundation Relations (see Section II, above) can help you develop this section.

List of references. If the proposal contains few references, these may be inserted within the text or as footnotes, unless the RFP specifies otherwise. A separate list of references, when used, is

inserted usually after the principal narrative sections and before the sections on personnel and budget. **Be sure to adhere consistently to the appropriate scholarly format, e.g., APA, MLA, *Chicago Manual of Style, Science*.**

Personnel. This section consists usually of two parts: an explanation of the proposed personnel structure and organization and concise (i.e., 2 to 3 page resumes) biographical data sheets for each of the main contributors to the project. Be sure that all biographical data sheets are in a common format. In addition, any student participation, paid or unpaid, should be mentioned, and the nature of the proposed contribution detailed.

The Office of Contracts and Grants Administration and the Office of Corporate and Foundation Relations (see Section II, above) can help you develop this section.

Appendices. Appendices are used occasionally for letters of endorsement, promises of participation, resumes, or reprints of relevant articles. Some researchers are inclined to append superfluous documents of various kinds to their proposals on the theory that the bulk will strengthen their case. In fact, reviewers rarely read such appendices, and may even resent the padding. Unless the RFP specifies appendices, it is best not to include them.

Other types of proposals. It may be that your need is not for a research grant, but for outside sponsorship of an academic program involving a new curriculum, a conference, a summer seminar, or a training program. If so, once again your best guide in proposal preparation is the sponsoring agency. If guidelines are not provided, you will likely want to include some of the same sections that were described above.

Be sure to address the issue of **institutional commitment**. It is important both to clarify the agreements made by various departments and cooperating institutions and to certify the willingness of the home institution to sustain the program once it has proven itself. This section is crucial to the success of curriculum development programs because, in contrast to research programs, these will have a profound impact on the host institution. Private funding agencies, in particular, need reassurance that their funds will not be wasted by an institution that neglected to consider the long-term implications.

Preparing the Budget

Preparation of the budget must be done in close consultation with the Office of the Dean and the Office of Contracts and Grants Administration. Sponsors customarily specify how budgets should be presented and what costs are allowable. The following overview is for preliminary guidance only.

Direct and indirect costs. Most budgets are divided grossly into direct costs and indirect costs. Direct costs are exact, **straightforward expenses traceable to specific aspects of the project**, for example:

- Salaries, wages, or stipends for the investigator, students, technical assistants, consultants, post-doctoral students or clerical workers;

- Equipment and maintenance;
- Supplies;
- Experimental subject payments;
- Construction and renovation;
- Travel (including transportation and living expenses);
- Telephone, fax, photocopy, postage and other communications; and
- Benefits on salaries and wages. (Note: the sponsor will stipulate whether benefits are to be considered direct or indirect costs.)

Indirect costs are real, but less obvious, expenses incurred by the institution that hosts the project. Because these expenses are difficult to calculate exactly, they are customarily billed as some percentage of the budgeted direct costs. Examples of indirect costs include:

- Benefits on salaries and wages. (Note: the sponsor will stipulate whether benefits are to be considered direct or indirect costs.)
- General and specific administrative expenses required to manage the project;
- Plant operation and maintenance including utilities, janitorial services, and repairs;
- Books, journals, and scholarly materials that are needed to maintain library services in your research area;
- Depreciation or use allowance for buildings and equipment; and
- Student administration and services.

Indirect cost rates are calculated and audited according to federal requirements. The University of Dayton's rate is negotiated each year with the Office of Naval Research (ONR). In research administration parlance, UD has a "predetermined" rate, and it varies each fiscal year based on a complicated and detailed process undertaken by the Vice President for Finance and the Office for Research.

For fiscal year 2015, this rate is 45.50% on federally-funded grants administered on campus. Most agencies allow a budget to include indirect and direct costs in the maximum allowable request. This means, for example, that if the maximum you can request is \$100,000, you will have \$68,728 to spend directly on your project. The rest goes to indirect costs. In other words, the researchers receive the money allocated for direct costs and the University receives the indirect costs. Typically, the indirect cost return is split among the University, the Research Institute, and the College of Arts and Sciences. The College then reallocates some of the return to the faculty member's department.

Some funding agencies, like the NEH, will not cover any indirect expenses, or they may restrict them to specific expense categories, or they may stipulate that the host institution share a certain portion of these costs.

Cost-sharing. It has become increasingly common for funding agencies to expect or require the host institution to provide financial support for the project. Replacement costs, the most common example, refer to salaries and benefits for faculty who must be hired to take over the teaching responsibilities of the principal investigator. Other examples include equipment, alterations and renovations, and tuition for graduate student research assistants.

Budget format. Most budgets are presented in a tabular format. (A budget narrative, which explains or justifies particular expenses, is also commonly required.) Typical divisions of the tabular budget are Salaries, Wages and Benefits, Equipment, Materials and Supplies, Travel, and Purchased Services. Other categories can be added as needed. The budget should make clear how the totals for each category of expenses are reached. Salary and benefits information, for example, often needs to be specified in detail. [A sample budget is shown below.]

Checklist for proposal budget items. The cost of doing research can be substantial. The following checklist shows the variety of expenses that could arise in the conduct of a research project:

- **Salaries, Wages or Stipends, and Benefits**

- Academic personnel
- Research assistants including graduate assistants and students
- Consultants
- Interviewers
- Computer programmers
- Administrative assistants
- Editorial assistants
- Technicians
- Research subjects
- Staff benefits
- Salary increases for projects that extend into a new fiscal year

- **Equipment**

- Fixed equipment
- Movable equipment
- Office equipment
- Installation and maintenance

- **Materials and Supplies**

- Office supplies
- Communications
- Test materials
- Questionnaire forms
- Animals
- Animal care
- Laboratory supplies
- Chemicals
- Electronic supplies
- Report materials and supplies

- **Travel**
 - Administrative
 - Field work
 - Professional meetings
 - Travel for consultation
 - Consultants' travel
 - Subsistence
 - Transportation rental

- **Services**
 - Computer use
 - Duplication services
 - Publication costs
 - Photographic services
 - Service contracts
 - Survey administration

- **Other**
 - Space rental
 - Purchase of periodicals and books
 - Tuition and fees (training grants)
 - Subcontracts

Sample Proposal Budget for FY-15

		Year 1
Labor		
Semester – course buy out	\$50,000 / 2 terms / 4 “courses”	\$ 6,250
Summer – 3 months	\$50,000 / 9 months *3 months	<u>6,667</u>
Total		\$ 22,917
Benefits – approved rate (UDRI)	22.96%	\$ 6,130
Graduate Assistant Stipend for 2 semesters	9 months	\$ 10,000
GA Benefits – approved rate (UDRI)	9.5%	\$ 1,000
Tuition Remission	18 cr hrs @ tuition rate	\$ 10,206
Materials		\$ 1,000
Travel	1 conference at \$1,400 per person, 2 persons	\$ 2,800
Total Direct Costs		\$
54,053		
Modified Total Direct Costs (MTDC)	Total Direct Costs – Tuition Remission = \$43,847 (See UDRI for other exclusions.)	
Indirect Costs	45.5% of MTDC	\$
<u>20,187</u>		
TOTAL BUDGET		\$
74,240		

The Proposal Processing Form (PPF)

As stated earlier, **all grant proposals from College faculty members require an internal Proposal Processing Form (PPF)**, which must be approved by the Department Chair and the Dean of the College prior to the proposal's submission. The PPF is available online at:

http://www.udayton.edu/research/contracts_grants/index.php

A copy of the PPF and instructions for completing it are shown below, followed by an example.

Certification and Submission

Government funding agencies typically require that a proposal be “certified” before it is submitted. Specific requirements vary, but, in all cases, they include an endorsement by a University of Dayton official who is authorized to sign proposals on behalf of the institution. A certified proposal implies that:

- The statements contained in the proposal are true and complete.
- The institution will comply with the terms and conditions of the award.
- The institution is not delinquent on any federal debt.
- None of the investigators are presently debarred, suspended, ineligible, or excluded from transactions with any federal department or agency.
- The University will not use federal funds for lobbying federal employees.
- All subcontracts will adhere to current federal policies and guidelines.
- The University complies with federal drug-free workplace requirements.

Depending on whether the sponsor is public or private, **the Office of Contracts and Grants Administration or the Office of Corporate and Foundation Relations is responsible for seeing that the proposal is properly certified and submitted.**

**UNIVERSITY OF DAYTON
PROPOSAL PROCESSING FORM - FACULTY**

Due Date: _____	Proposal: R- _____
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**PART I - GENERAL INFORMATION
(Check or complete as applicable)**

<input type="checkbox"/> Grant <input type="checkbox"/> Subgrant <input type="checkbox"/> Government Prime or Subcontract <input type="checkbox"/> Other _____	
Descriptive Title: _____	
Sponsor: _____	
Sponsor Contact Information (address/phone/e-mail): _____	
UD Department: _____	UD Principal Investigator: _____

PART II - ABSTRACT

(Brief summary of work to be accomplished and significant developments anticipated)

**PART III – SPECIAL REQUIREMENTS
AND BID RECOMMENDATION**

Is cost sharing required?	<input type="checkbox"/> Yes <input type="checkbox"/> No	(If "Yes," explain below in Comments.)
Are human subjects required?	<input type="checkbox"/> Yes <input type="checkbox"/> No	(If "Yes," attach letter of approval from Human Subjects Committee.)
Are animal subjects required?	<input type="checkbox"/> Yes <input type="checkbox"/> No	(If "Yes," attach letter of approval from Animal Care and Use Committee.)
Are you requesting a course release?	<input type="checkbox"/> Yes Percent _____ <input type="checkbox"/> No	
Is lab and office space adequate?	<input type="checkbox"/> Yes <input type="checkbox"/> No	(If "No," explain below in Comments.)
Are radioactivity/nanomaterials involved?	<input type="checkbox"/> Yes <input type="checkbox"/> No	(If "Yes," explain below in Comments.)
Estimated Dollar Award (\$): _____		
Start Date: _____		
Duration: _____		
Comments: _____		

PART IV – PROPOSAL APPROVAL

Proposal Approved for Submission: _____	Date: _____
(Department Chairperson)	
_____	Date: _____
(Dean / Director)	

Part I – GENERAL INFORMATION

The boxes refer to the type of award that would be received in the event your project is funded. Most commonly, CAS faculty will be seeking grants. In these cases, you would check “Other:” and specify “Grant.” If you are requested to prepare a proposal (e.g., as a subcontractor), add appropriate documentation. When in doubt, consult UDRI’s Office of Contracts and Grants Administration.

Descriptive Title: The title of your proposal

Sponsor: The name of the agency to which you are applying

Sponsor Contact Information: Address to which the proposal package will be sent. Include contact person if known. If the proposal package is submitted electronically, indicate the URL or submission system (e.g, Fastlane for NSF, eRA Commons for NIH, grants.gov, etc.).

UD Department: Your academic department and those of any co-investigators

UD Program Manager: Your name and those of any co-investigators

Part II -- ABSTRACT

Provide a brief summary of the proposed work including a rationale and expected outcomes.
[250 words or less]

Part III – SPECIAL REQUIREMENTS AND BID RECOMMENDATION

Is cost sharing required? Agencies may require that costs be shared with the applicant’s institution. This would occur, for example, in cases where the agency declines to fund any indirect costs or agrees to fund these costs at a rate that is lower than the official institutional indirect cost rate. Elaborate under “Comments:”

Are human subjects required? Any use of human subjects requires written approval from the Institutional Review Board (IRB) for Protection of Human Subjects in Research. See < <http://www.udayton.edu/research/compliance/irb/resources/index.php> > for instructions.

Are animal subjects required? Any use of animal subjects must be approved in accordance with University requirements on the care and use of Laboratory Animals. See <<http://www.udayton.edu/research/compliance/IACUC/>> for instructions.

Are you requesting a course release? This alerts the College that replacement costs will be incurred. Elaborate under “Comments:”

Is lab and office space adequate for the proposed effort? This alerts the College that additional space may have to be made available.

Do you plan to use radiation-emitting equipment? If “yes,” contact the Institutional Review Board (IRB) for Protection of Human Subjects in Research.

See < <http://www.udayton.edu/research/compliance/irb/resources/index.php> >

Estimated Dollar Award (\$): Amount for which you are applying, including any indirect costs. Round to the nearest dollar.

Start Date: Desired start date. Allow sufficient time for the proposal to be reviewed. Agencies typically state when funding decisions will be made. For proposals to federal agencies, a good rule of thumb is at least 6-9 months from the date of submission.

Duration: The duration of the project in months or years

Comments: For elaborating on special needs or cost sharing arrangements.

Part IV – PROPOSAL APPROVAL

1. The entire proposal package—the completed PPF and the full proposal, including the budget—is submitted to the Department Chair(s) for signed approval.
2. The approved proposal package is routed to the Office of the Dean of the College of Arts and Sciences for letter(s) of endorsement and final approval. ALLOW 2 WEEKS.

V. Post-Award Administration

Notification

The waiting period. Most federal proposals are reviewed within six to twelve months after the due date. The waiting period for foundation proposals may range from a few weeks to over a year. While it is best to let the evaluation process play itself out, there may be occasions when it is appropriate to contact the sponsor. For example, some federal agencies will send evaluation priority scores to you, as the process moves forward. At this point, you may wish to contact the program officer to help interpret the meaning of the scores.

Often near the end of a waiting period, the sponsor may contact you requesting additional information, clarification or, perhaps, a scaling-down of your budget. Such contact may be a good sign, but it does not indicate necessarily that your proposal will be funded. Please be sure to keep the Office of Contracts and Grants Administration or the Office of Corporate and Foundation Relations informed of any contact you may have had with the sponsor.

Receipt of the award or rejection letter. Depending on the funding agency, award letters may be sent to the Principal Investigator, the President of the University, the Office of Contracts and Grants Administration or the Office of Corporate and Foundation Relations. In any case, **please notify the Office of the Dean as soon as you learn whether or not your proposal was funded.** If the news is disappointing, use it as an opportunity to learn. Most agencies will provide you with some kind of feedback, including copies or summaries of the reviewers' comments. Some will discuss the reviews by telephone and may make recommendations for improving the proposal for resubmission. If you receive funds from a private agency, it is a good idea to send a thank you note.

Administrative Responsibilities

The Office of Contracts and Grants Administration is the official point of contact for the administration of publicly funded research. Principal Investigators should have a clear understanding of the administrative guidelines, which are posted at:

<http://portal.udri.udayton.edu>

*Users will need to log in to the portal site to access the PPF for faculty (it's slightly different from the UDRI PPF). They will need to change the domain to University of Dayton (Novell Directory) and use their typical UN/PW. Then click on Research Resources. The link to the document is on the far right side in the box titled Popular Links and Resources.

In general, the responsibilities of the PI include:

- Reading the contract or official award document carefully to help ensure adherence with the terms and conditions of the award;
- Monitoring monthly expenditures and comparing these with budgeted amounts;
- Contacting the Office of Contracts and Grants Administration or the Office of Corporate and Foundation Relations regarding any unforeseen developments;

- Submitting on schedule any “deliverables” to the Office of Contracts and Grants
- Administration or the Office of Corporate and Foundation Relations;
- Notifying the Office of Contracts and Grants Administration or the Office of Corporate and Foundation Relations when the project is complete and the account can be closed.

In general, the responsibilities of the Office of Contracts and Grants Administration include:

- Negotiating the terms and conditions of the award;
- Forwarding a copy of the contract or official award document to the PI for review and comment;
- Accepting the award on behalf of the University;
- Preparing the Order Authorization Form, which documents the essential elements of the grant or contract;
- Assigning account numbers used to transfer funds to the project and incorporating this information into the Integrated Fund Accounting System (IFAS);
- Corresponding with the sponsor on all administrative matters;
- Obtaining any needed approvals;
- Monitoring reporting requirements;
- Monitoring expenditures, if necessary;
- Issuing credentials for access to government facilities (e.g., Wright-Patterson Air Force Base);
- Authorizing and processing travel arrangements;
- Preparing incremental funding and re-budgeting requests; and
- Coordinating program closeout.

The responsibilities of the Office of Corporate and Foundation Relations include:

- Internal coordination to prevent unnecessary self competition;
- Pursuing support for institutional initiatives (scholarships, capital projects, etc.);
- Coordinating the recording of gifts and pledges;
- Monitoring trends and opportunities in philanthropic grant making;
- Monitoring reporting requirements;
- Working with donor relations and other administrators for gift receipts and thank you letters; and
- Working with the Vice President of Advancement, Deborah Read, in obtaining President Curran’s signature and participation where needed.