WILLIAM PATERSON UNIVERSITY OF NEW JERSEY

GRANT DEVELOPMENT MANUAL

For

FACULTY & STAFF

Office of Sponsored Programs
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William Paterson University
Grant Development Manual
For Faculty & Staff
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I. *INTRODUCTION: THE OFFICE OF SPONSORED PROGRAMS*

William Paterson University encourages all faculty and staff to pursue scholarly research and teaching, campus service, public programs, creative endeavors, conferences and other types of projects that would strengthen the teaching-learning process, promote student success and enhance the reputation of the University. In many cases, external support will be needed for these pursuits, and The Office of Sponsored Programs (OSP) was created to provide assistance and support to those who seek external grant or contract support from government agencies, grantmaking public charities, and private and corporate foundations. The OSP reports to the Office of the Provost and Executive Vice President through the Associate Vice President and Dean for Graduate Studies and Research.

The OSP assists faculty in three broad areas:

* **Pre-Award Services**: Activities leading up to the submission of a funding request, including idea development, funder identification, proposal writing, photocopying, mailing, and more. The OSP maintains extensive databases and reference resources on funding programs and agencies, distributes information to the WPUNJ community, provides individualized assistance to applicants to develop high quality proposals, manages the proposal review process, and obtains required signatures among other activities

* **Post Award Services**: Activities supported after funding has been received, including contract negotiation, preparing and submitting budget or program revisions as well as funding continuation requests, report submission, and problem-solving liaison to agency grants offices and WPUNJ administrative departments. The OSP prepares reports for the University on funding.

* **Compliance**: The OSP works to insure that State, Federal, and University policies, regulations and procedures related to grant and contract funding are fulfilled. The OSP provides administrative support to the Institutional Review Board for Human Subject Research.

The Office of Sponsored Programs is located in **Raubinger Hall, Room 107**, just across from the Provost's Office...it's the one with all the windows!

The current staff members of the Office of Sponsored Programs are:

Martin Williams	Director, Office of Sponsored Programs	x3263	R107
Vacant	Assistant Director, Pre-Award Services	x3794	R124
Beth Ann Bates	Program Assistant	x2852	R107

II.   *RESOURCES AVAILABLE TO ASSIST FACULTY AND STAFF*

The mission of the OSP is to assist the research, programmatic and service objectives of individual and groups of faculty and staff through activities that support obtaining and managing external funding. The OSP provides assistance and support to all WPUNJ personnel who seek support through grants, contracts, sponsorships or contributions for research, teaching, curriculum development and other projects or activities. To support these goals, the OSP maintains a number of tools that can help you research, prepare for and present your projects. We are here to help you. Please feel free to call or stop by to use any of the following:

A.   Potential Funding Source Databases:

The OSP subscribes to two major on-line funding source databases that are available to the entire WPUNJ community through the OSP web page on the University website:

The Grant Resource Center's *GrantSearch* Database contains descriptions, deadlines, and contact information on nearly 2,000 federal and private funding programs of particular interest to public colleges and universities. The database contains programs that support academic activities such as research and training, fellowships, program development, and equipment acquisition.

The Community of Science's *COS Funding Opportunities* is a comprehensive research funding database that includes more than 23,000 records, representing over 400,000 funding opportunities from federal and regional governments, foundations, professional societies, associations, and corporations. Users can identify funding information as it relates to research collaborative activities, travel, curriculum development, conferences, fellowships, post-doctoral positions, equipment acquisitions, operating and capital expenses and more!

These can be accessed *from any computer on campus* by:

- Going to the University Home Page (wpunj.edu)
- Clicking on "Faculty and Staff"
- Clicking on "Grant Support"
- Clicking on "Funding Opportunities"
- Clicking on "COS" or "GrantSearch Database"

Please note that the information provided through these databases is copyrighted by the owning organizations, and sharing it with anyone outside the WPUNJ community would violate the University's subscription agreement and could lead to penalties.

B.   Publications:

1.   _Dates, Updates, and Insights_

Through the _Dates, Updates, and Insights_ electronic newsletter (or simply _DUI_) we compile and provide timely information on funding agencies and opportunities to help you to take this crucial step. A _DUI_ is compiled using email announcements that have been received directly from funding agencies and subscription services, printed program announcements and newsletters, information developed by the OSP, and information that is forwarded to us by other faculty who subscribe to the _DUI._

We distribute several _DUI_ editions that are based around broad disciplinary groups. Further, we select only information that would be of interest to the subscribers for that group. For instance, for our Health _DUI_, we would not include information on stem cell research unless one of the subscribers was interested. We also include information on more than one list, so that a fellowship opportunity in the arts would be included in both the Fellowship _DUI_ and the Arts & Communication _DUI_.

If you are interested in receiving a _DUI_, please send your name, department, e-mail address and the subject(s) from the list below to the OSP by interoffice mail (OSP, Raubinger 107), email (williamsm@wpunj.edu or grants@wpunj.edu) or fax (x3573). We will add your name to the selected lists. You should begin receiving your DUI in about a week. Please call OSP Director Martin Williams (x2852), if you have any questions.

> **DUI Groupings:**
> - Art and Communication
> - Business and Economics
> - Computers and Technology
> - Education
> - Educational Technology and Distance Learning
> - Fellowships
> - Health
> - Humanities & Language
> - International Studies
> - Life and Environmental Sciences and Geography
> - Mental Health
> - Minorities and Women
> - Physical Sciences and Math
> - Social Sciences (includes Criminal Justice)

2. ***Star Report***

The OSP's *Star Report* is a quarterly print newsletter which provides you with information about the OSP, news about current grant programs at WPUNJ, and information on where to find grant funding, writing, and management resources.

C. **Reference Materials:**

- The OSP maintains a library of books, CD-ROMs, a variety of newsletters and other publications that can assist in information gathering. For example, we house back issues of the *CUR Quarterly* from the Council on Undergraduate Research and *Converge: Education-Technology-Fast Forward.*

- The David and Lorraine Cheng Library has links to various databases (e.g. *Academic Service Premier, ScienceDirect* and *Wilson OmniFile*) and, of course, numerous publications where information you need for your proposal can be retrieved. You can request an individual orientation to the Cheng Library by e-mailing instruction@wpunj.edu or calling x2663.

- *William Paterson University Fact Book* published annually by the Office of Institutional Research & Assessment (Director: Jane Zeff, x 3115) provides official data about the University that you may need or find useful for proposal development. These are now available on the WPUNJ website for *1997-1998* through the most recent edition. The url is:

  http://ww2.wpunj.edu/ira/FACTBOOKS/FB_DEFAULT.htm

D. **Equipment:**

The following specialized equipment is available for use in Raubinger 107:

- Polaroid ProPalette 7000 slide-maker transfers virtually any file format to slide film for your presentations

- A scanner for documents and pictures you want to include in a grant proposal

E. **Training Related to Proposal Development:**

1. **On-Campus Workshops:**

The OSP offers regularly schedule workshops each Fall semester - and other training opportunities - to help faculty and staff build their skills for obtaining grant support. Call the OSP at x2852 for additional information.

2. **Off-Campus Training Provided by Funders or Other Organizations:**

At the core of WPUNJ's success in obtaining grants from state and federal agencies are dedicated faculty and staff who are knowledgeable in preparing applications. To help develop these, OSP will fund travel and registration fees for workshops, seminars and conferences on funding opportunities and proposal development. Whether presented by an agency or another type of organization, "technical assistance" opportunities are very useful and have proven to be a central factor in the development of a fundable proposal. Contact OSP Director Martin Williams at extension 2852 for more information.

F. **Staff Support:**

Last but not least, the friendly, knowledgeable people who make up the OSP staff want to assist you. Feel free to come pick our brains! We have many years of research and grant writing experience. The OSP maintains active membership in numerous professional organizations, such as the National Council of University Research Administrators, in order to stay current on the latest in academic research. We are always happy to discuss your projects and show you how to apply for financial support. We're here to help!

III. *PROPOSAL DEVELOPMENT PROCESS*

A. *Getting Started: Idea Development*

The most basic element of a grant proposal that has a realistic chance of being funded is a good idea. Whether it is based on years of research or a flash of insight, once you have the initial concept, tap into the expertise that you have acquired through your studies, training, research and/or experience in your academic field or area of operations to "flesh it out". Get your thoughts down on paper - and computer disk - so they do not get lost. Discuss them with someone knowledgeable enough to provide meaningful feedback. The OSP staff can help you develop your idea into a "fundable project", but the initial conception must come from you - an expert in the particular field.

B. *7 Steps to a Proposal Narrative*

1. *Start Early*

This is probably the best thing to do. What does starting early really mean? It means be prepared to duplicate and build on what you already know. In other words, have a long-term view of what you want to accomplish, and plan to have your current activities be the starting point for the next level. This could include accomplishing those things that make you competitive (like publishing an article or collecting sample data), finding and getting to know potential partners (like running a workshop for a school district's teachers), keeping a short summary of your project up-to-date, or keeping a file with related information and supporting data.

Work on someone else's project as a co-investigator or partner. You will get to work on a successful project, get expert advice and support, show you have experience with funded projects and pick up a collaborator that will make your proposal more competitive.

Providing enough lead-time before a deadline cannot be overemphasized.

2. *Get Help*

Is there a colleague who would talk about and critique your ideas? Another who would read and edit your narrative? Someone to help with the budget and forms and other details? Someone who could write a section or provide other technical advice? Someplace that would be better for all or some of your project to occur? Proposals and the projects they foster are team sports: recruit smartly.

3. *Learn about possible funding sources*

One of the most important steps anyone interested in obtaining external support must take is getting to know what agencies have the same interests as you, and then learning

what they are willing to fund. Identify possible funding sources using the information resources described above in Section II.

Once you have identified a source you think is right, research the grant program and agency. What is their mandate? Who has received funding before? What is a proposal like? How is it evaluated? Government agencies almost always issue very detailed requirements for grant applications. Private funding sources have tended to use less specific guidelines in the past, but this has been changing in recent years. Growing numbers of requests to private foundations have led many of them to adopt stricter proposal procedures. Most now have websites you can check out. Find out if there is a workshop you can attend or published information you can request.

An outstanding way to learn about a grant program is to serve as a proposal reviewer. Find out if the agency or organization needs reviewers for the grant program you are interested in or for a similar program.

4. *Call or Write to the Program Officer*

Make sure you and your idea fit what they are looking to fund. Review the critical elements to see which should be emphasized or discarded. Learn how they really want you to spend their money. Find out if they will read a draft. Most importantly, get them to recognize you as a knowledgeable and effective professional who could successfully get the job done and use their money wisely.

Private funders often ask for a short *Letter of Inquiry* summarizing the project and its potential benefit, any other support you have already secured or are seeking, and what support you would like to apply for. Individual faculty and staff are authorized to send Letters of Inquiry, but we urge you to contact the OSP before you do. We may have dealt with the funder on previous projects, and be able to either assist you with preparing an attractive inquiry or save you time and effort if we know that what you want to do does not fit into that funder's interests and priorities.

Please Note: Some funders require or request a *Letter of Intent* to apply. This is very different from a Letter of Inquiry, and can only be submitted through the OSP. Letters of Intent imply authorization to submit a proposal, and often require the signature of the President or Provost. Please call the OSP if you need a Letter of Intent.

5. *Understand the Review Criteria*

How will applications be evaluated? Is there a formal review process with different numbers of points allocated to specific sections? Government grant programs are often structured that way. Will the degree of benefit to a certain group (e.g. persons with disabilities, women) or the participation of specific individuals (e.g. undergraduates performing research) be a factor in selecting awardees? Such guidance is very important, and should be carefully followed as you design your project.

6.   *Just Start Writing*

Starting is the hardest part. Waiting for inspiration takes too long. Getting everything else out of the way is endless. So, start somewhere! Some possibilities are:

- Organize your notes
- Pick a section and start answering the guidelines
- Set up the format and sections of the proposal

Start anywhere. Anything you do to start your fingers typing and your brain thinking about what you want to say will do. The rest will flow.

7.   *Rewrite!*

Any professional writer or writing instructor will tell you that the single most important ingredient in good writing is rewriting. The OSP staff is available to help with editing and completing grant proposals, but the more organized, clear, complete and flowing the basic project narrative is when you bring it to us, the better the final application will be.

C.   *PROPOSAL OUTLINES*

As noted above, most funders provide very specific guidance on what information they want in your proposal, often including a specific format - right down to the font size and page margins. These will vary based on the type of project you are proposing and the funding source. *It is extremely important to follow the instructions for the particular grant program for which you are applying.*

The document in which you will find these instructions, which is very often now found on the funder's website, can have a variety of names. The major Federal agencies and many State of New Jersey agencies have "Proposal Guidelines", "Proposal Preparation Manuals" or "Grant & Contract Guidelines" that apply to all of their grant and contract programs. They then issue a "Request for Proposals" (RFP), "Request for Applications" (RFA) or "Program Announcement" (PA) for each individual grant program. Private funders tend simply to issue "Application Guidelines". These instructions may include some unfamiliar terms (i.e. grantmaking jargon), and the OSP staff will be happy to help you decipher them.

Outlines of some typical proposals are presented below to give you a general idea of what is required:

1.   *National Science Foundation (NSF):*

- Project Summary (1 page)
- Project Description, including Results from Prior NSF Support
- References Cited
- Biographical Sketches (not to exceed 2 pages each)
- Budget
- Current and Pending Support (NSF Form 1239)
- Facilities, Equipment and Other Resources (NSF Form 1363)
- Special Information/Supplementary Documentation
- Appendix (only if allowed – check the Program Announcement)

2.   *US Department of Education (USDOE):*

- Proposal Abstract (1 page)
- Need for the Project
- Objectives
- Plan of Operations
- Quality of Personnel
- Institutional Commitment
- Evaluation Plan
- Budget Summary
- Budget Narrative

3. *Private Foundation:*

- A one-page summary of the proposal, including the total dollar amount of the request, submitted on letterhead with the chief executive officer's signature
- A narrative no longer than six pages which includes:
  1) a description of the project and the need for it;
  2) the qualifications and past accomplishments of the sponsoring organization;
  3) how the project is to proceed and who is to carry it out;
  4) a schedule for the project;
  5) the benefits to be gained and for whom;
  6) the plans for evaluating the project, including how success is defined and will be measured; and
  7) the plans for funding the project in the future.
- Project budget for the current year and for the proposed year

D. *BUDGET DEVELOPMENT*

1. *Rules to Guide You*

There are 9 basic rules to follow when preparing budgets:

1) Know what expenses the funder is willing to pay.
2) Know what expenses the funder is not willing to pay.
3) Know what expenses you will need to successfully complete your project.
4) Know how much the funder is willing to pay: maximum award, average award and range (smallest/largest) of awards that they expect to make.
5) Know how much WPUNJ is willing to spend to support your project and what expenses will be hard (or direct cash) or soft (indirect cash or in-kind) contributions.
6) Know that you will probably need to make adjustments to your project because of budget limitations.
7) Every person, activity or new resource mentioned in the narrative must be included in the budget.
8) Every expense included in the budget must be mentioned in the narrative.
9) If the funder provides forms they must be used, and if the funder stipulates that it requires certain information or that information must be presented a certain way, you must do it that way.

2. *Contents of a Proposal Budget*

A proposal budget is composed of two different pieces of information: a budget table, and a budget narrative. Funders can request these items in many different ways-- or provide no guidelines at all. There are two general forms: (1) Combined Table/Narrative, and (2) Separate Table/Narrative. Both include the same basic information: Budget Category, Expense Item, Description, Cost Formula, Expense, Total Expense by

Category, and Total Project Expense. Presenting this information in a combined format enables the reader to see all the projected costs and the basis for each cost at one time, while presenting them separately enables the reader to see a summary of the proposed expenses and then a detailed description of the expenses. When the project will be multi-year, separate tables with a single narrative will almost certainly be required. Using a spreadsheet to help organize and total expenses is a very good idea. Microsoft Excel, Lotus 1-2-3, or any of the other computer-based spreadsheet programs all work fine for this purpose, as does plain paper or rules accounting paper.

The following are examples of the two general forms for the same fictitious research project:

Example: Combined Table/Narrative

Morpholizer Field Research Project

Category/Item	Description	Formula	Expense	Total
Personnel				
Dr. Faculty	PI	25% of $40,000/academic year	$10,000	
Ms. Student	Assistant	$10/hr x 20hrs/wk x 25 wks/yr	$5,000	
Total Personnel:				*$15,000*
Fringe Benefits	State of NJ Rate	$15,000 x 32.75%	$4,913	*$4,913*
Equipment	Morpholizer	1 @ $1,500	$1,500	
	Table	1 @ 300	$300	
Total Equipment				*$1,800*
Travel	Local to specimen collection area	200m/year x .25/m	$50	
	Conference in Atlantic City	(Mileage: 400 x .25.m= $100)+(Hotel: 2 x $150/night=$300)+(Meals:$75)	$475	
Total Travel				*$525*
Supplies	Lab	Test tubes, etc.	$200	
	Office	Paper clips, etc.	$100	
Total Supplies				*$300*
Publication	Paper and Presentation	Paper, film, postage, photograph development, photocopying, etc.	$250	
Total Publication			.	*$250*
Total Direct Expenses				*$20,875*
Indirect Expenses		$15,000 x .676 (Approved USDHHS rate applied to Salaries & Wages)	$10,140	*$10,140*
Total Project Expenses				***$32,928***

Example: Separate Table/Narrative
Morpholizer Field Research Project

Category/Item		Total
1. Personnel		*$15,000*
2. Fringe Benefits		*$4,913*
3. Equipment		*$1,800*
4. Travel		*$525*
5. Supplies		*$300*
6. Publication		*$250*
Total Direct Expenses		*$20,875*
7. Indirect Expenses		*$10,140*
Total Project Expenses		***$32,928***

Morpholizer Field Research Project
Budget Narrative
1. Personnel: The PI will commit 25% of her time during the upcoming academic year to direct the project and identify samples to be morpholized: $40,000*.25=$10,000. A student research assistant will assist the PI during the upcoming academic year by morpholizing the assigned samples: $10/hr*20hrs/wk*25wks/year=$5,000
2. Fringe: The WPUNJ fringe rate is 32.75% for all salaries: $15,000*..3275 =$4,913. This rate is set annually by the NJ Office of Management & Budget
3. Equipment: The cost of an ACME, Inc. Model 1A Morpholizer is $1,500. The cost of a table to mount the Morpholizer on is $300.
4. Travel: The PI and the Student Assistant will travel from the University to the off-campus specimen collection about weekly during the project period, we anticipate that these trips will not exceed 200 miles: 200m*.25=$50. The PI and the Student Assistant will travel to the NJ Association of Morphologists annual conference in Atlantic City during the Spring Semester to present their findings: (Mileage: 400m*.25=$100)+(Hotel: 2 rooms*$150/night*1 night=$300)+(Meals: $75)=$475
5. Supplies: Lab supplies for collecting, preparing, storing, processing, and cleaning samples will include test tubes, dishes, bags and other items and will cost approximately $200. Office supplies will be required to maintain records and information concerning progress of the project, including paper, paper clips, file box, and will cost approximately $100.
6. Publication: The PI and the Student Association will prepare one presentation for the NJ Association of Morphologists annual conference and at least one paper for submission to The Morphologist based on the results of their research. The preparation of these works will require photographic film and development, poster paper and presentation supplies, photocopying and postage, and will cost approximately $250.

7. Indirect: WPUNJ's current approved indirect cost rate (by the US Dept. of Health & Human Services) is 67.7% of salary and wages: $15,000*.677=$10,140.

Note: "*" = "multiplied by" in *MSExcel* spreadsheet formula language.

3. _Multiple Funders_

Projects rarely have only one source of income, almost always it is a combination of an external funder and WPUNJ. For proposals to foundations and corporations you will often need to account for three or more sources of funding. This is less common with applications for state and or federal support, but some agencies--like the National Endowments for the Arts and Humanities--require matching funds for all grants from multiple agencies.

In a Budget Table for a proposal that includes information on how funds will be distributed across several funders, additional columns are added to the right side of the table to indicate which funder will assume which costs. Costs may be split among several funders. The Budget Narrative would further describe how and why costs are distributed as they are.

When splitting costs among prospective funders (that is agencies that you are going to ask, or have asked, but you don't know their response), it is best to group appropriate expenses together for each agency. That is, if you are doing a public program and there is a component that is especially for older adults, group all the direct costs for that component plus a share of the administrative expense together under one funder. That way, if the funder chooses not to provide support, only that portion of the program is lost--and then offered to another prospect. Generally, try to keep WPUNJ expenses to in-kind contributions.

Example: Budget Table for Multiple Funding Agencies

The Great Spring Showcase					
Item	**Description**	**Expense**	**Funder 1**	**Funder 2**	**WPUNJ**
Personnel	Administrator	$10,000	$8,500	$1,500	
	Director, Senior Seminar	$2,500		$2,500	
Fees	Performers, Main Performance	$25,000	$20,000		$5,000
	Speakers, Senior Seminar	$500		$500	
Publicity	Press releases, flyers/posters, advertisements	$7,500	$7,000	$500	
Reception	Food	$1,500	$900	$500	$100
Facility Costs	Overhead, technicians, maintenance, security	$3,000			$3,000
Total Expenses		$50,000	$36,400	$5,500	***$8,100***

4. *Rates Used in Budget Development*

Appendix A provides a variety of rates to be used for the various listed expenses when developing your proposal budget. *Please verify that you have the most current rates before using them.* They can be found at:

http://www.wpunj.edu/osp/Planning_Writing/Budget/rates.html

5. *Finalizing the Proposal Budget*

Undoubtedly many of you are saying to yourself, "I'm not an accountant; I can't do a budget! I need help with this, but who can I call?. The OSP staff will work with you on the proposal budget, or will be happy to answer questions for you as you prepare your draft budget. While the OSP has the skill to develop a budget and knowledge of general costs, the potential Principal Investigator/Project Director (PI/PD) must be involved in developing the budget because:

1) only you really understand your project and what would be needed to complete it;
2) in most cases, you will not be able to request everything you would like to have, and preparing a budget will make you conceptualize all of your proposed activities in concrete terms that help you distinguish what you absolutely must have from what would be helpful to have; and
3) if your application is successful, as the PI/PD you will be responsible for managing your project budget, so you need to be intimately familiar with it.

IV.   *SPECIAL CONSIDERATIONS*

A.   Research Involving Human Subjects

Three concerns from the Office for Human Research Protections (OHRP), US Department of Health and Human Services are:

1. No one should be conducting human subject research at any level without having first read The Belmont Report (1979). All contact with human subjects, all agency regulations and Institutional Review Board (IRB) activities should be singularly focused on fulfilling the ethical responsibilities presented in the Belmont Report. The three basic principles are (1) respect for Persons, (2) Beneficence, and (3) Justice.

2. Not enough attention is given to the informed consent process. A signature on a form does not necessarily mean the subject fully understands what is expected of her/him. Consent can be a continual process during a long study, participants must be willing to remain involved. The signed form may be only one form of documenting consent: investigator notes, other written records, or audio- or videotape may be needed to confirm or prove consent. It is the degree of risk that determines the consent documentation requirement.

3. Everything must be documented, and this is equally true for the IRB as it is for the Investigators.

For the full policy, please go to: *http://www.wpunj.edu/osp/irb*

Human Subject Research Training & Certification

Federal regulations and the WPUNJ IRB Policy require that investigators, certain members of a research team, faculty instructing or supervising student research, and other WPUNJ faculty and staff provide certification that they have been appropriately trained in the use of human subjects in research.

If human subjects will be involved in your research in any way, go to *http://www.wpunj.edu/osp/irb* for up-to-date information on how to obtain certification.

William Paterson University is deeply concerned with safeguarding the rights and welfare of all human subjects who participate in research projects conducted under its aegis. This concern extends to the intent of investigators to protect participants as well as to comply with the specific requirements established by the sponsors of its research.

The University's IRB policy provides the information necessary for the review and approval of projects involving human subjects. In addition, it is hoped that they will confirm an awareness of the ethical and legal obligations assumed when such projects are undertaken. The investigator should also know the requirements of the Department of Health and Human Services as set forth in the Code of Federal Regulations 45 CFR

46 and certain other related laws and regulations on the protection of human subjects; and should be aware of and observe the standards established by the Declaration of Helsinki Recommendations Guiding Doctors in the Belmont Report. The Nuremberg Code, and Clinical Research.

In compliance with NIH guidelines, the inclusion of women and minority groups and subpopulations must be addressed in developing a research design appropriate to the scientific objectives of the study. The research plan should describe the composition of the proposed study population in terms of gender and racial/ethnic group, and provide a rationale for selection and/or exclusion of such subjects. Such a plan should contain a description of the proposed outreach program for recruiting women and minorities as participants. For further information, refer to the NIH policy published in *NIH Guide for Grants and Contracts*, 23(11), 2-10. These documents are available for review in the Office of Sponsored Programs (Raubinger 107).

These guidelines have been prepared by and for William Paterson University's Institutional Review Board (IRB). The IRB has developed a checklist which will be used by the Committee members for reviewing all research protocols submitted to it. Please review this list when preparing your protocol to make sure the appropriate documentation has been included in your submission. We hope that by providing this outline, the required information is present, the selection of subjects is equitable, the necessary signatures have been obtained and the number of tabled protocols can be reduced.

PLEASE NOTE: It is essential that protocols for *all research involving human beings* be submitted to the IRB Chairperson. This includes research that may be eligible for exempted review and expedited review, as well as full review.

If a research study is to be conducted at more than one institution, researchers must submit the protocol to the IRB at each institution and forward one copy of the IRB approval letter from the cooperating facility. All correspondence and inquiries related to research involving human subjects should be directed to the IRB Chairperson through the OSP. All IRB forms and instructions are provided in Appendix B, and they are also available on the same OSP webpage as the Belmont Report

B.   Research Involving Animals

The housing or use of live vertebrate animals in a laboratory, field or other situation by faculty of the University for teaching and/or research is regulated by the US Department of Agriculture and in certain cases by the National Institutes of Health as well. WPUNJ complies with these regulations through its Institutional Animal Care and Use Committee (IACUC), the Committee on Laboratory Animal Welfare (CLAW). CLAW meets twice a year to conduct an on-site inspection of the facilities where vertebrates are housed and to evaluate all active and proposed protocols for animal use. Approved protocols have a life of three years, and can be continued.

For information on the WPUNJ CLAW policy and to obtain a protocol form, please contact Dr. Robert Benno, Chair, at 973-720-3440. Federal regulations, forms and guidelines from the National Institutes of Health are available at http://oacu.od.nih.gov, and from the US Department of Agriculture at http://www.aphis.usda.gov.

V.   *UNIVERSITY REVIEW & APPROVAL PROCESS*

All government project and other proposals from the WPUNJ community that are processed through the Office of Sponsored Programs and require University approval for submission will not be accepted for final review by the Provost's Office less than 5 working days prior to the proposal submission deadline. This means that proposals must be received by the Office of Sponsored Programs for initial review prior to this 5 day requirement. Proposals forwarded to the Provost's Office less than 5 days before the deadline will be returned without review and, therefore, without approval to submit.

Although this has been a somewhat flexible requirement in the past, for many reasons this will no longer be the case. It is the University's position that the careful review and editing of a proposal's narrative and budget significantly improve the probability of it receiving a favorable response. The additional perspective provided by readers not involved in writing a proposal or who have a broader knowledge of University concerns, programs and policies can add to the quality of a proposal. A short amount of time to read and consider the narrative or budget reduces our ability to identify and make necessary changes in a proposal. Finally, last minute requests disrupt the reviewer's ability to responsibly attend to their other responsibilities and work demands which then causes problems in unrelated areas.

A proposal ready for final review has:

1. a Project Approval Sheet (see Appendix B) that has been signed by the applicant, their department/unit leadership, and the Director of Sponsored Programs,
2. a nearly final narrative,
3. a final budget, which probably includes both a summary and narrative description of expenses, and
4. any forms that require the signature of the Provost or President of the University.

The final review includes (a) review of the budget by the Controller and VP for Administration and Finance and then (b) review of the narrative and budget by the Associate Vice President and Dean for Graduate Studies and Research before the Provost reviews and signs

Additional time will be required if the President is required to sign the proposal or if other review is required (e.g. human subject research). Keep this in mind when planning your next proposal. Please contact the Office of Sponsored Programs as soon as you begin working on a proposal so that we can provided you with appropriate assistance as well as help get the proposal into the review process on time.

VI.   *Proposal Submission*

Finalizing a grant proposal for submission to a funding agency is the joint responsibility of the Principal Investigator/Project Director (PI/PD) and the OSP staff. The PI/PD must finalize the narrative/project description and all related substantive elements in accordance with the specific instructions for the grant program, including any documentation of commitment to participate from external parties or partners. Please note that this can take considerable time in certain cases, e.g. local school districts.

The OSP staff is responsible for the final packaging of the application, including photocopying, and its actual delivery to the funding agency. There are now two basic methods for submitting grant applications: electronic (i.e. via the Internet) and paper. The Federal government is phasing in electronic submission for all of its grant programs through *Grants.gov*, which requires registration and approval by a University official that can take up to a week. Several Federal and State agencies also have web-based grant management systems that require registration. For example, The National Science Foundation no longer accepts paper submissions, and has a system for grant report submission called *FastLane*. You need to be registered as a Principal Investigator on *FastLane* before you can even apply for an NSF grant. Please coordinate with the OSP staff (x2852) early regarding submission and registration requirements.

Most electronic systems allow you to upload *MSWord* ® and *MSExcel* ® files, so you can begin writing and calculating without worrying about submission. Some do require *Adobe* PDF ® files, and the OSP staff can assist you with the conversion process, if you need assistance.

Please note that submission deadlines are absolutely critical! Some funders use "target dates", but in almost every case, if you miss the deadline, you have missed that funding cycle. That usually means you must wait another year to submit, but some funders accept applications each quarter or twice yearly. Certain major Federal programs only accept applications every five years, however.

In most cases, the deadline date refers to the actual receipt of the complete application package at the funder's designated address. Some agencies and organizations still use "postmark deadlines" for paper submissions. Proposals are submitted via *ExpressMail* overnight carrier, by certified mail or by another process if needed.

Submitting a complete, fundable proposal is a team effort at WPUNJ. We can guarantee that your proposal will be submitted in compliance with the deadline requirement if:

1.   You coordinate with us early in your preparation process so we can schedule and plan for timely submission
2.   You comply with the required timelines for the University's approval process.
3.   You bring us everything needed for a complete application, as described in the grant solicitation document, in a timely manner.

VII.   *Post-Award Requirements*

Most funders notify the University administration (i.e. the President, Provost or OSP) regarding the results of grant competitions. Some agencies notify the applicant directly, however. The National Science Foundation, for example, will send you an e-mail advising you whether your application was successful or not. If you are notified that your quest for external funding has been successful, please advise the OSP as soon as possible. The OSP is responsible for coordinating execution of the formal contract or grant agreement, which will require the signature of the President or Provost.

In some cases, you could be advised that you have been selected for funding, but were not awarded the full amount requested. Again, please advise the OSP as soon as possible. The OSP is responsible for negotiating the terms of the formal contract or grant agreement, including the final budget, which will require your input. The OSP will then coordinate the approval of the revised budget and execution of the contract by the appropriate University officials.

Proper recordkeeping and reporting are extremely important regarding all grants. In most cases, public funds are involved, which must be administered in strict accordance with the funding government's policies and procedures. From a personal perspective, your professional reputation and future funding prospects will be directly impacted by any problems that arise in these two areas.

WPUNJ has developed and published a set of Grant Project Management Guidelines, and these are provided in Appendix C. As always, the OSP staff is available to assist you in interpreting and complying with these official University policies and procedures.

APPENDIX A: Rates Used in Budget Development

There are several rates that are standard for all proposals, at least when those expenses are allowed. These are the approved rates as of March, 2006, with an explanation of what they cover and what is included. **BE SURE TO CHECK FOR THE LATEST RATES** at: http://www.wpunj.edu/osp/Planning_Writing/Budget/rates.html

Type	Rate	Explanation	Effective Date
Fringe Benefits, Full Time		Contact the OSP for current rates	March 2006
Fringe Benefits, Part Time			March 2006
Fringe Benefits, Faculty Pre-session, and Summer			March 2006
Indirect Expenses	68.8% of total salary and wages	For costs associated with the use of WPUNJ facilities and administrative services. Rate set by US Department of Health and Human Services.	7/1/06 to 6/30/09
	67.6% of total salary and wages	For costs associated with the use of WPUNJ facilities and administrative services. Rate set by US Department of Health and Human Services.	7/1/03 to 6/30/06
	75% of total salary and wages	For costs associated with the use of WPUNJ facilities and administrative services. Rate set by US Department of Health and Human Services.	6/27/97 to 6/30/03
Mileage	.34/mile	For automobile mileage	
Per Diem	Varies depending on city	For hotels, taxi and related expenses when at a conference	7/1/98
Salaries, Full Time		Call the Human Resources Office @ext. 2605. Identify yourself, that you are working on a grant proposal, and provide the names of the people involved in the project. OSP staff can assist you with this, if necessary.	
Professor (Range 30) and Associate Professor (Range 26)		Contact the OSP or the AFT contract for current rates.	
Assistant Professor, Librarian and Professional (Range 22), Instructor			
Professional Staff			
Adjunct			

Summer Salary	2/10 of Contract Salary:Full Time 1/10 of Contract Salary: Part Time	For 2 months full time work on project or 1 month's time over summer
Salary Formula for Released Time	% of Time	Formula: (# of credits to be released from/credits during period) X annual salary
Undergraduate Student	$7.50 to $10.00/hr or more	Rate can vary and is chosen by the PI
Graduate Student, Academic Year	Stipend: $6,000/year as a personnel cost. Tuition: In-state tuition estimate for the year of the budget. Contact the OSP for estimate.	Set Rate.
Graduate Student, Session I, II and August	$15.00 or more/hr	Rate can vary and is chosen by the PI
Project Assistant, Any time of Year	$10.00 or more/hr	Rate can vary and is chosen by the PI.
Consultant	Varies	Rate can vary and is chosen by the PI in conversation with prospective consultant

APPENDIX B: Sample WPUNJ Forms

1.   Sample Institutional Review Board Forms:

   Appendix A: Protocol Face Sheet
   Appendix B: Continuing Review Face Sheet

2.   Sample Project Approval Sheet

SEE FORMS ON OSP WEBPAGE

APPENDIX C: Grant Project Management Guidelines

The *Grant Project Management Guidelines Memo* (October 1999) issued by the Associate Vice President and Dean for Graduate Studies and Research follows, which details procedures to be followed for post-award administration of all grants.

Please call the Office of Sponsored Programs at x 2852 to verify that this is the most current Memo and to clarify any of its provisions.