

FUNDING SUCCESS HANDBOOK
Proposal Initiation, Development and Administration
at Wheaton College

(formerly GRANTS POLICY AND PROCEDURE MANUAL)

REVISED 04/02/08

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**WHEATON COLLEGE
GRANTS POLICY AND PROCEDURES MANUAL
STATEMENT OF PURPOSE**

Wheaton College encourages faculty to seek grants from federal, state and private agencies which support the research and educational objectives of the College. The grant policies and procedures outlined below have been developed to assist faculty in all phases of the grant process, to provide administrative support for the fiscal management of externally funded grants, and to ensure that use of external funds meets the requirements of the granting agencies.

FIRST STEPS

One of the keys to success is timely communication, which is especially important in developing and submitting a proposal. The following services and resources are available to members of the College community seeking outside grant support:

- information on potential sources of grant funds;
- application information and materials;
- resources on project development and proposal writing;
- technical assistance and advice on project budgets and proposal narratives;
- editing draft proposals;
- processing proposals through campus approvals and required institutional signatures;
- duplicating and transmitting final proposals via mail and electronic submission;
- serving as College's liaison to funding sources; and,
- coordinating compliance to research policies (e.g., protection of human subjects in research, etc.)

To get started, please contact

Frances Jeffries, Special Assistant to the Provost (jeffries_frances@wheatoncollege.edu, (508) 286-5834) for assistance with research grants and fellowships; and,

Wendy Faxon, Director, Corporate and Foundation Relations, (faxon_wendy@wheatoncollege.edu, 508.286.8239), Molly Deschenes, Assistant Director, Corporate and Foundation Relations (deschenes_molly@wheatoncollege.edu, 508.286.3458), or Diane Lanzlinger, Administrative Assistant, Corporate and Foundation Relations (lanzlinger_diane@wheatoncollege.edu, 508.286.3554) for assistance with funding for institutional projects.

This handbook and other useful information may also be found at <http://www.wheatoncollege.edu/Provost/Policies/FUNDINGSUCCESSHANDBOOK.pdf>

COMMON TERMS

The following are some terms that are commonly used in grants and contracts development and administration.

Contract: A legal agreement for procurement of a product or service. Typically, a research topic arises within the funding agency, the methods for conducting the research are specified by the sponsor, and the arrangement is designed to benefit the sponsor. Types of contracts: Sole source, open bid, fixed price, cost reimbursement and cost-sharing.

Grant: A type of financial assistance for conducting research or other programs as specified in an approved proposal. Typically, an awarding agency anticipates no substantial programmatic involvement with the recipient during the performance of the funded activities. Types of grants: Block grants, categorical grants, formula grants and discretionary.

Indirect Costs: Costs of doing business incurred by the grantee that are difficult or impractical to itemize for a particular grant or contract. The Wheaton's current federal negotiated indirect cost rate with the federal government is 49.3% on direct salaries and wages including fringe benefits. The rate for off-campus work is 28.4%.

Private Foundations: Organizations that have charitable, religious, educational, scientific or cultural purposes. When identified as philanthropic foundations, they are primarily in the business of funding causes, programs, organizations or individuals they consider worthwhile. Types of Foundations: Independent, community, family, company and operating.

PI: The Principal Investigator (**PI**) is the individual of record who is responsible for the overall operation and management of the project.

RFP: Request for Proposal details the guidelines, application process and criteria for selection for grant/contract programs.

RFR: Request for Response details the guidelines, application process and criteria for selection for grant/contract programs.

TYPICAL INFORMATION ABOUT WHEATON COLLEGE REQUIRED FOR GRANT APPLICATIONS

Legal Business Name: Wheaton College

Wheaton College Employer ID Number: 04-2103638

Wheaton College DUNS Number (or Contractor Establishment Code): 075723007

Wheaton College Congressional District and Representative: 4th - Barney Frank

County: Bristol

F&A Rate --

Cognizant Agency: United States Department of Health and Human Services

Date of Rate Agreement: March 22, 2005

Effective Dates of Rate Agreement: July 1, 2008 - June 30, 2011

Indirect Cost (or F&A) Rate

On-campus: 49.3% of direct salaries and wages, including fringe benefits

Off-campus: 28.4% of direct salaries and wages, including fringe benefits

NAICS Code: 611310

SIC Code: 8221

Commercial and Government Entity (CAGE) Number: 05YF1

Summer Salary Base -

Faculty: 3/9ths of annual contract salary

Undergraduate students: see Student Employment Office student wage scale

Fringe Benefits Rate: 31.3% of salary amount for faculty and regular staff .Rates for students and other employees vary and must be confirmed when preparing the budget.



Getting Started

Wheaton College Funding Sources

The College allocates funds each year to assist faculty members in their scholarship. These funds are intended to provide support for short-term, inexpensive scholarly projects, partial support of larger projects and support for attendance and participation in professional meetings. Faculty members are also encouraged to seek outside support for larger projects through the Provost's Office and/or with the assistance of the Special Assistant to the Provost (Faculty Grants Development).

Funding requests for Wheaton funds are addressed to the Faculty Scholarship Committee and are considered in two categories: active scholarship and attendance at professional meetings. In addition to traditional research leading to publication, active scholarship includes: delivering papers, speaking on panels and serving as chairs at professional meetings, professional engagements and presentations, such as plays, concerts, art shows, literary readings, meetings of editorial boards, etc.

The Committee reviews requests on a rolling basis throughout the academic year. To ensure reimbursement, faculty are strongly encouraged to submit requests for travel well in advance of the dates on which the travel is to occur. The Committee will review faculty reports of prior awards in considering all current applications. Details are available at <http://www.wheatonma.edu/Provost/scholarship.html>.

Identifying External Funding Opportunities

The Special Assistant to the Provost (for individual faculty grants and fellowships) and the staff of the Office of Corporate and Foundation Relations (for institutional projects) maintain a collection of reference materials about funding sources and proposal writing, as well as copies of the forms, directions and guidelines for many government agencies. Each also subscribes to newsletters, magazines, annual reports, government periodicals and web sites that describe current funding opportunities. Please contact us when you are seeking external funding prospects as some of these sources are password-protected. See <http://www.wheatoncollege.edu/Provost/.pdf> for resources for individual faculty grants and fellowships, and <http://www.wheatoncollege.edu/admin/Grants/Faculty/Resources.html> for additional details about institutional projects.

As you look for sponsors, consider joining other faculty or staff members to develop ideas, write proposals, and carry out the project. There are several advantages to working as a team. The work of checking out sponsors and keeping up with announced opportunities is easier if shared, and the team's wider range of talents enables you to handle more sponsors and more project ideas.

Finally, among the team members, the process of committing to each other and offering mutual encouragement will help to complete the work.

While some investigators are able to rely on one sponsor for several years, this is the exception rather than the rule. Most scholars find it necessary to learn about and apply to several possible sources of support. Sponsors differ not only in what topics they support but also in the size of grants they give, their geographical preferences, their schedules and other variables. Some sponsored programs are only for certain kinds of investigators - perhaps minorities, women, established senior investigators or faculty at certain kinds of institutions. Furthermore, a sponsor's interests and resources may change from time to time.

Once you have selected a few sponsors who seem likely to be interested in your work, it is usually helpful to call or write with a preliminary inquiry. (Your search for information should have provided the name of the proper contact person.) While some sponsors prefer a written inquiry, telephone calls are usually acceptable, even if they result in a request for a preliminary letter. You will want to present your project idea briefly and ask further questions about the sponsor's interests and policies. In most cases, you will get a response that indicates the sponsor's level of interest in your project and also some ideas about making it more attractive to them. Going through this process saves you and the sponsor the effort of submitting and reviewing a proposal that is not of interest to them. Proposals are much more likely to succeed after these preliminary discussions. The Special Assistant to the Provost (Faculty Grants Development) or the staff of the Office of Corporate and Foundation Relations can assist in holding initial discussions with potential sponsors. While you should lead the scholarly discussions with the sponsor's staff, the Special Assistant to the Provost (Faculty Grants Development) or the staff of the Office of Corporate and Foundation Relations can help by clarifying administrative issues with the sponsor, coordinating sponsor contacts with the other offices on campus or even setting up the initial contact.

Social networks and personal visits may also be valuable. If possible, get to know the sponsor's staff before you submit any proposal, perhaps through a conversation at a conference, a special visit or through a mutual acquaintance. Such contacts enable you to understand the sponsor better and increase your visibility. If you intend to approach a private foundation or corporation, always coordinate your approach with the Special Assistant to the Provost (Faculty Grants Development) or the staff of the Office of Corporate and Foundation Relations. .

The most important steps in getting started are:

1. Allow **sufficient lead-time**. Start early, usually six months to one year in advance.
2. **Formulate your ideas** first. Start looking for funding once you have your project design firmly in mind.

3. **Know your funding source.** Obtain annual reports, program guidelines and funding histories. Make personal contact at the funding source when appropriate. Also, ask others who have received funding from the various sources for advice.
4. **Know the differences** between federal government agencies and private foundations, and **respond accordingly.**

Roles and Responsibilities

The Principal Investigator (PI) is the individual who conceives the project and prepares the proposal, in consultation with the Provost's Office and with the assistance of the Special Assistant to the Provost (Faculty Grants Development) or the staff of the Office of Corporate and Foundation Relations staff. The PI is responsible for administration, financial management and periodic narrative reports for the sponsored project and assures that all sponsor (i.e. federal, state or foundation) and College policies and procedures are followed during all phases of the project.

Ordinarily, a PI must have a full-time, tenure-track faculty or permanent staff appointment at Wheaton during the period of the funded project. A faculty or staff member holding a temporary appointment may apply for a grant with the understanding that the College's commitment to administer the award is contingent on the PI's continued employment at the College and the College and funder's mutual decision of whether the grant shall be relinquished or transferred to the PI's new institution.

The Special Assistant to the Provost (Faculty Grants Development) works with faculty to develop proposals to support individual research, while the staff of the Office of Corporate and Foundation Relations work with faculty and staff to prepare proposals for institutional grants. Each: 1) meets with faculty to discuss academic and/or research projects with a view toward finding appropriate support; 2) assists with prospect identification and proposal and budget preparation, including approval of matching funds; 3) coordinates the internal grant approval process (*see details in next paragraph*); 4) coordinates the internal approval process; 5) transmits the proposal to the funding agency; and 5) oversees stewardship of interim and final reports by obtaining narrative and financial reports from the PI and Finance, respectively.

The Finance Office: 1) approves proposal budgets; 2) assigns a fund number upon receipt of an award notification; 3) orients, trains and supports the PI in using the College's financial system, including obtaining a signed Conflict of Interest form (see page 16); 4) issues contracts and subcontracts related to externally-funded projects, 5) authorizes payment to contractors and subcontractors, 6) authorizes payment of faculty stipends related to externally-funded projects, 7) oversees and tracks balances for sponsored projects; 8) requests payment from external funders; 9) assists in interpreting grant regulations; 10) regularly reviews expenditures with PI; and, 11) verifies all financial information and issues financial reports for interim and final fiscal reports.



Developing the Proposal

Preparing the Parts of a Proposal

Begin by writing a short concept paper. Many faculty develop several short concept papers, focusing on different ideas or different perspectives of the same idea, to share with funding sources and colleagues in the initial phases of developing a proposal. The reader often can offer valuable insight and will almost always prompt you to do further writing. Seek out advisors who are good writers, expert in your field, and/or experienced at getting grants. The Special Assistant to the Provost (for individual faculty grants and fellowships) and the staff of the Office of Corporate and Foundation Relations (for institutional proposals) are also available for this type of review.

The PI should contact the appropriate office in the early stages of development so the office is aware there is a proposal being developed. They are available for any assistance the PI may need during the entire process. Even if the PI is experienced, the Special Assistant to the Provost or the staff of the Office of Corporate and Foundation Relations should be made aware the proposal is forthcoming so it can prepare the internal routing form. Proposal documents assume a wide variety of forms--from simple letters to massive notebooks with several dividers. Some sponsors prefer a preliminary proposal or concept paper in order to determine if they wish to see a full proposal. As a general rule, corporate sponsors prefer letters or short proposals, and government agencies want longer, more detailed proposals. Various letters or telephone conversations may have preceded the proposal itself, and it may be followed by addenda, revisions or contract documents.

For any type of proposal, the writing requires serious attention. In most cases, the proposal document is the only way that the reviewers can understand your project. They usually do not know your particular circumstances, and you generally do not get a second chance to explain what you really mean. Be sure the proposal is complete, accurate, persuasive and professional. In all cases, follow the sponsor's guidelines. If your proposal fits into the sponsor's categories and expectations, it will be easier for the sponsor to understand and therefore more likely to win approval. Many rejections and delays occur because proposals do not conform to the sponsor's instructions.

Be sure to check with the sponsor regarding any proposal submission guidelines. The physical format of the proposal may be specified in detail by the sponsor, e.g., number of pages, margins, headings, binding, style of page numbering, etc. If so, follow the instructions **exactly**. Even if there are no specifications, some basic rules still apply. Use a clear, dark type or font of a standard size (usually 10 point or 12 point). Leave ample margins, typically a one-inch border. Avoid right-justification. Label all figures and graphs clearly, and be certain they are of "camera ready" quality. Proofread everything thoroughly – a careless proposal suggests to reviewers that the

proposed work will be done with similar carelessness. It is usually not appropriate to provide elaborate bindings, multi-color graphs, unusual paper stock, or other fancy trimmings – such elaborations suggest that your organization is not cost-conscious.

The style of writing should be straightforward, professional and positive. Highly technical writing is appropriate only for certain sponsors. Be sure you find out (or at least what kind of persons) at the sponsoring agency will do actual reading and reviewing; write for them. Whenever possible, specific terms used in their RFP.



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The Special Assistant to the Provost (Faculty Grants Development), and staff in the Office of Corporate & Foundation Relations and Finance Office can help with the preparation of an accurate budget. Projects lasting more than one year usually require a budget request for each year, in addition to a total for the entire project. Multi-year budgets should account for increased costs for personnel, supplies, equipment and so forth.

Specific Requirements and Guidelines

The following paragraphs, in the order most common for proposals, describe the parts of a "typical" proposal. Most of these parts are required in many proposals and usually in the order indicated. Consult with the Special Assistant to the Provost and the staff of the Office of Corporate and Foundation Relations if in doubt, and seek informal reviews by colleagues.

The Cover Letter is usually written in a standard form by the Special Assistant to the Provost and the Director of the Office of Corporate and Foundation Relations, conveying the proposal as a submission by the College. Special cover letters may be needed in some circumstances, especially for revisions of earlier proposals and for submission of subcontract proposals. The Special Assistant to the Provost and the staff of the Office of Corporate and Foundation Relations will prepare the standard cover letter and work with you in preparing letters for other cases.

A Cover Page is necessary for longer proposals. It conveys important formal information and facilitates rapid identification and sorting of your proposal arrives. Normally the cover page contains information necessary to identify the proposal--the title, period of time, and amount of money requested--and enough information to identify you--name, title, affiliation, address, and phone number. If the sponsor assigned a number or name to the funding program (Federal agencies usually do), that information should also be on the cover page, and it should include the name and usually the signature of an authorized official from Wheaton College. Most federal agencies and many private funding sources have standard forms for cover pages The Special Assistant to the Provost and the staff of the Office of Corporate and Foundation Relations will assist in completing the forms, facilitate signatures and have models to use in case no particular form is specified.

The Title should be straightforward, informative, and preferably short. Technical titles are appropriate only for some sponsors. A title that forms an acronym can help people remember the

project but can be distracting and damaging if done inappropriately. In general, vague and cute titles are rarely helpful. A useful guide is to think about the key words that you would want indexers to use in categorizing your proposal.

A Table of Contents may be needed. Sponsors will specify if one is desired, and one is always advisable for a lengthy proposal.

The Abstract is a summary, not an introduction. Include a sentence or two about each of the principal aspects of the project, e.g., the problem to be solved, objectives, methods, expected results, and major budget items. Sponsors may specify the length of the abstract; if so, follow the instructions. Typically, abstracts are expected to be from 100 to 300 words in length.

An Introduction is usually needed to give background information on the nature and importance of the problem to be solved. Why is the problem important and what is its history? The introduction is particularly important for non-specialist reviewers. It may require a paragraph or several pages, depending on the situation.

The Need or rationale for the project must be established. Explain what is wrong or missing in current theory or practice in your field in terms that match a particular sponsor's interests and that justify your choice of method or activity. For example, the problem to be addressed might be a logical gap in a prevailing theory, an important case not yet tested, a creative approach not yet tried, a population not yet served, or a source of valuable data not yet explored. Think about social or academic needs the sponsor is trying to address by offering grants, and direct your proposal to those needs. This section of text may be included in the introduction or it may be a separate section.

The Objectives of the project need to be stated clearly, whether in a separately labeled section or as part of a general narrative. What results do you intend to accomplish for your students, the community, your sponsor or the world? What logical problems in your discipline or specialization are you trying to solve? For a multi-year project, it may be appropriate to distinguish between broad long-term goals and specific objectives for the first year or two. Pay close attention to the sponsor's interests and goals, and express your objectives in terms and contexts that are appropriate to what the sponsor wants.

The Methods or **Activities** may be described in a separate section or as part of a broader descriptive section. A common reason given by reviewers for declining a proposal is that the author does not say with enough clarity what he or she will actually accomplish. The text should answer questions like: How many? How much? For how long? In what order? Where? When? or Whom? Sponsors sometimes request a separate section on methods (NSF and NIH almost always do). If so, describe the methods as fully as possible within the space limitations. Specify how concepts will be defined operationally, how variables will be measured, what tests or inquiries will be conducted, and what equipment will be used. Describe how the resulting information will be analyzed and interpreted. Standard accepted methods can be referred to by name, but unfamiliar or controversial methods should be explained and justified. Make clear that these methods are

appropriate to your stated objectives. Reviewers who are experts in your area of work will read this section closely, so be sure it is complete. Even for disciplines in the arts, humanities or social sciences with less stringent research methods, some description should be given of procedures to be used and steps to be followed. This information gives reviewers a better picture of how you will be spending your time (and their money) and what results you can expect. In this section, or perhaps in a separate section, you may need to describe the facilities that are available to you and their appropriateness to your project. If you will merely be using your office with some clerical assistance, not much description is needed, but for complex laboratory work or projects involving major campus facilities, several paragraphs may be required.

A Timeline or work schedule is generally advisable. By tying the steps in your intellectual method to a schedule, a timeline is a useful way for you to check your own planning and for proposal reviewers to picture your project development. A schedule that is implausible for the work being proposed will be seen as a serious flaw in the proposal. Including a timeline can preclude misunderstandings that might occur later in the course of the actual project. In some contracts, a precise schedule of "deliverables" is required. In setting the start date for the project, remember to allow ample time for the review process and for award negotiations (as much as nine months or more for some federal agencies). A one-page timeline will suffice for most projects, and the format is usually left up to you. Depending on the schedule for review and funding, you may wish to avoid using specific dates and express the schedule in terms of number of months or weeks after the start of the project.

Dissemination is the formal plan for "spreading the word". Depending on the requirements of the funding agency, dissemination may be conducted through web sites, publications or presentations. Typically, the process, the program and the results of the evaluation are among the information shared with peer groups and organizations.

Sustaining the program is a frequent concern of funders. For many projects, it is important to describe follow-up activities that will continue after the funded project period. If you are using funds to start a new program, how will it be supported in the future? If you are using funds to generate useful educational materials, how will they be disseminated? While you usually can't make guarantees about such things, show that you have thought it through and that appropriate continuing activity is very likely.

An Evaluation procedure is now requested by most sponsors, especially for projects in education or behavioral and social sciences. After the project is completed, how will you know what you have accomplished? Will the accomplishments and remaining problems be identified clearly enough for future workers in the same field to rely upon? Evaluations can range from descriptive observations to elaborate experimental designs. You may be asked to use an "external" evaluator, someone not in your institution and not already part of the project. Be sure you know what evaluation the sponsor expects, and consult with experts in evaluation design if the requirements are stringent. The evaluation should consist of information on how the proposal was conceived, what the expected outcome was, if the objectives accomplished, why or why not and a

financial analysis of funds allocated and spent. A listing of helpful evaluation resources is located on the <http://www.wheatoncollege.edu/Provost> .

A Bibliography is necessary for many academic proposals. Be certain your literature review is up to date and demonstrates that you are current with the research in your discipline. Be sure that the style and format of citations are conventional for your discipline and used consistently throughout and that references cited in the text are included in the bibliography.

Other Funding Support for the project should be specified in many cases. If the proposed work or related work is, or has been, supported from other sources, or if you have definite plans for seeking such support, find some way to communicate that information in the proposal. This information serves several purposes. First, it helps the sponsor understand the project in a larger administrative or intellectual context. Second, evidence of past support shows the sponsor that you have been considered worthy of funding by other sponsors. Third, sponsors may want reassurance that you are active in pursuing other means of support as well, so they will not be held responsible for all costs or be saddled with an incomplete project. Many sponsors provide separate forms for listing recent and planned support. If your sponsor does not, then you may create a special page or make appropriate references in the narrative text if specified by the funder.

Responsibilities of Project Personnel may have to be detailed if there are numerous investigators or managers in the project. It is advisable to outline what each person will do, their **unique** qualifications, and the synergies in the proposal team, to answer the question of why these are the best people for the job.

One or two sentences for each are usually enough, but include significant subcontractors as well. For very large projects, an organization chart may be appropriate. For projects that are small or in which the lead responsibilities are fairly obvious (e.g., a lab scientist and several technicians), this much detail is usually unnecessary. When two or more investigators will be sharing the work equally, it is customary to designate one person as the principal investigator for such purposes as signing the application form and approving financial transactions during the project. Similar to the timeline and the budget, this section gives reviewers another perspective on how well you have thought through the work you are proposing. If descriptions of non-faculty positions funded by the grant are required, please contact the Office of Human Resources. For faculty positions, please contact the Executive Assistant to the Provost.

A Budget is almost always necessary, and narrative explaining any special aspects of the budget often helps. (See section “Developing a Budget” for details.) Be sure the description of your activities and the budget remain consistent.

A Resume or Curriculum Vitae is almost always necessary for each senior investigator on the project. The precise format is not critical unless the sponsor has stipulated one. Some sponsors specify a maximum length for resume or curriculum vitae, and some ask for narrative biographical sketches. Be sure to include all personnel that are important to the proposed project. Depending

on the nature of the project, you might need to include information on special training, languages spoken, publications, business experience, courses taught, lectures given, foreign travel, previous grants, or administrative experience. It is important to tailor your CV for the task at hand, highlighting the most relevant accomplishments, experiences, and skills for the project.

Attachments of various kinds may prove useful in giving the proposal credibility; also, the sponsor may require specific documents.

- Letters of support showing that you have made the necessary contacts and that create a very positive tone.
- Letters of commitment by partners demonstrating a commitment of finances and/or resources.
- Technical appendices can satisfy interested expert reviewers without cluttering up the narrative for other reviewers.
- Copies of prior publications will demonstrate your ability to follow through on a project and can offer more information about the topic.
- Copies or photographs of creative works may reveal your talent better than any amount of explanatory text.
- Some sponsors, especially government agencies, require legal certifications and authorized signature forms. The certification pages must be signed by the authorized representative of the College (e.g., the President or his designee). The Special Assistant to the Provost or the staff of the Office of Corporate and Foundation Relations will obtain these signatures during the internal approval routing process.

Use caution and good judgment. Do not expect attachments to make the main points of the proposal; usually the narrative text must do that. Don't overload the proposal with attachments that are too numerous, too long, or oversized; an excessive load of attachments will only irritate the staff and reviewers who have to handle the proposal. Know what kinds of attachments the sponsor expects to receive and delete anything extraneous.

Compliance Requirements

Fiscal Issues. The management of grants and contracts at Wheaton College is guided by OMB Circulars A-21, A-110 and A-133. The Office of Management and Budget (OMB), working cooperatively with federal agencies and non-federal parties, establishes government-wide grants management policies and guidelines through circulars and common rules. These policies are adopted by each grantmaking agency and inserted into their federal regulations. Relevant circulars include:

- A-21, "Cost Principles for Educational Institutions" (Revised 05/10/04)
http://www.whitehouse.gov/omb/circulars/a021/a21_2004.html
- A-110, "Uniform Administrative Requirements for Grants and Agreements with Institutions of Higher Education, Hospitals, and Other Non-Profit Organizations" (dated 11/19/93, amended 9/30/99)
<http://www.whitehouse.gov/omb/circulars/a110/a110.html>
- A-133, "Audits of States, Local Governments, and Non-Profit Organizations" (dated 6/24/97)
<http://www.whitehouse.gov/omb/circulars/a133/a133.html>

Details may be found at <http://www.whitehouse.gov/omb/circulars/index.html>

Human Subjects in Research

The use of human subjects must be reviewed and approved by the Institutional Review Board (IRB). The IRB committee must review any proposal that involves human subjects and the PI is responsible for the proposal's submission the
<http://www.wheatoncollege.edu/Provost/Policies/IRB>.

Conflict of Interest Law and Financial Disclosure

All decisions and actions by College employees in the course of their professional responsibilities are to be made in a manner which promotes the best interests of the College. It is the College's intent to avoid conflicts between the personal interests of employees and the interests of the College. Conflict of interest includes any situation in which a person having work responsibilities for the College is empowered to make decisions on behalf of the College from which authority he or she can potentially benefit personally, directly or indirectly, from an entity or person conducting business with the College or the College itself. Therefore, in the event that a College employee may have a financial, personal or professional interest that could potentially create a conflict of interest (or the perception of one) in any decision and transaction involving the College, the employee must do the following:

1. Disclose clearly and fully in writing to his or her supervisor the nature of the decision or transaction and the potential conflict of interest.
2. Refrain from participation (acting individually or as a member of a group) in the College's consideration or processing of the transaction.

Examples of the potential for a conflict on interest include, but are not limited to, the following:

- An employee, a family member or friend has an existing or potential financial or other interest which impairs (or might appear to impair) independent, unbiased judgment in the discharge of responsibilities to the College.
- An employee is employed by both the College and an organization that supplies products or services to the College and that employee might influence the use or purchase of those products or services.

- A College employee, friend, or family member stands to benefit from a particular transaction or vendor relationship.
- College materials, supplies or services are used for anything other than College-related activities; or confidential or privileged information acquired at the College is used by an employee in an outside activity.

Any personal gifts from vendors with values exceeding \$100 must be approved by the Division Officer prior to acceptance. Also, 1) if an employee owns more than one percent of the stock of a publicly owned corporation, or if the stock is valued at more than \$5,000; and 2) if that corporation has a relationship with the College, the employee must disclose this ownership to the Division Officer for the College's consideration as to appropriate action.

Intellectual Property Rights and Copyright Ownership

Wheaton College respects the ownership of intellectual material governed by copyright laws. Community members are expected to comply with copyright laws and provisions of the licensing agreements that apply to software, printed and electronic materials. For specific guidelines, consult Wheaton College's Intellectual Property Policy (<http://www.wheatoncollege.edu/policies/IP.pdf>) and Copyright statement (<http://www.wheatoncollege.edu/Library/Copyright/home.html>).

Proposal Deadlines

Requests for proposals usually have definite deadlines for submission. Deadline information should be checked carefully. To ensure timely proposal submission, the PI should be aware of what type of deadline the funding agency has indicated.

- Receipt deadline is the date by which the agency must receive the proposal.
- Postmark deadline means that the proposal must be postmarked by that date, not necessarily received by the agency on that date.

You cannot assume that the proposal will be considered if delivered after the deadline. In most instances, a proposal will not be considered if it misses the agency deadline.

Collaboration with Colleagues at Other Institutions

Faculty who apply for funding with colleagues at other institutions will normally have to choose whether to submit the proposal through Wheaton or through their collaborator's institution, ordinarily on the basis of where the majority of the project will take place. Any faculty member planning to prepare a proposal with a colleague must consult with the Special Assistant to the Provost or the staff of the Office of Corporate & Foundation Relations as early as possible. The budget must be reviewed first by the Special Assistant to the Provost.

If the proposal is submitted by Wheaton College, the other PI's expenses may be included as line items on the proposal budget or may be included as a subcontract to the co-PI's institution. If the proposal is submitted by the other PI's institution, then Wheaton's PI's expenses may be treated in either of the two ways just described. Occasionally, a funding agency will suggest that co-PIs at different institutions submit separate proposals, with identical text but individual budgets, for separate grants to each individual institution.

Once the award has been received, then the subcontract is prepared and issued (see **Award Notification and Postaward Administration**, p. 28).

SOME SPECIAL HINTS FROM THE GRANT READERS

TITLE--Make it short, sweet and compelling.

ABSTRACT--Tell them everything they need to know. Summarize. Don't list.

TABLE OF CONTENTS--Make it very easy for them.

ATTACHMENTS/APPENDICES--Don't clutter up the body.

WRITING STYLE--Make it "skimmable." Don't hit them with jargon.

SELF-SUFFICIENT SECTIONS--Don't make them refer back.

GUIDELINES--Follow guidelines carefully.

POINT SYSTEM--Know the point system for scoring. Do a dry run.

ANTICIPATE reviewers' possible questions about your intended activities.

ACCESS to necessary equipment, facilities, records and persons must be verified.

Developing the Budget

The Special Assistant to the Provost (Faculty Grants Development) and the staff of the Office of Corporate and Foundation Relations encourages project directors to work closely with the respective staff in developing their proposal, especially in regards to budget development.



Preparing a proposal budget is a complicated job, because the College and most sponsors have a number of regulations and requirements to observe. These rules are important because they ensure the openness and financial soundness of the transaction or, in some cases, express the programmatic preferences of the sponsor. The rules also ensure uniformity of treatment among faculty members seeking external funds. However, faculty members cannot always take the time for these complications, so our staff is available to assist with budget preparation. Please consult with our office about your budget early in the proposal process.

Most government agencies have a prescribed budget format, as do some private foundations. Refer to guidelines from the funding sources for correct format. In most cases, the budget should be organized by type of cost (salaries, supplies, travel, etc.) rather than by type of work or stages in the project. Organization by type of cost is consistent with actual accounting practices and regulations in both sponsor and recipient organizations, so budgeting that way saves confusion and difficulty later.

In a few cases (most likely for contracts), the sponsor may wish to see cost figures attached to each major part of the work, in those cases it is usually wise to do both kinds of budgets. For complex budgets involving several years and/or several subcontractors, many pages may be needed to display the budget. Sponsors often have announced policies about the kinds of expenditures they will and won't support. Know these specifications for your intended sponsor and budget accordingly. Sponsors are normally familiar with what things cost in their field, so don't make your budget overly fat or lean.

Auditors for federal and state governments, as well as other sponsors monitor our adherence to rules and regulations. The sponsors will disallow (make Wheaton College return) funds that auditors determine have been spent improperly.

Budget Narrative

You should usually include in your proposal a brief page of budget explanation, in which you explain the items shown on the budget, why they are necessary, and how they are calculated. This information helps reviewers understand your project and simplifies later discussions with the sponsor's staff on why you requested certain amounts for various tasks. Large or unusual items (such as international travel, consultants, expensive equipment, subcontractors, or construction costs) should certainly be explained; routine or small items may not need explanations. For match

funding or cost sharing, indicate the source of the contribution. This text will usually be placed just before or just after the actual budget pages.

Common Budget Categories

The following offers guidance in developing proposal budgets. Additional detail about allowable costs is available at A-21, "Cost Principles for Educational Institutions" (Revised 5/10/04) http://www.whitehouse.gov/omb/circulars/a021/a21_2004.html



Direct Costs (Requested Funds)

Salaries: This category is for College personnel only. To determine salaries, indicate the percentage of effort that each person will work on the project and apply that percentage to their annual salary. For faculty, state whether the request is for academic year or summer salary. The Principal Investigator must contact the Special Assistant to the Provost (Faculty Grants Development) or the staff of the Office of Corporate and Foundation Relations in order to make arrangements with their Dean/Director if they are seeking release time for grant-related activities. Compensation for personnel is an area governed by regulations as there are potential problems with taxes, conflict of interest, and fringe benefits. The following sections cover only the most frequently encountered questions, so please check with the office in advance if you have particular questions about your own situation.

The following notes on personnel costs refer to people who will be paid as employees of the College. If a substantial portion of the work is to be done by employees of another organization (by faculty and staff at another university, for example), then that work might better be handled as a subcontract. See the sections below on consultants and subcontracts.

Faculty Assigned (Release) Time in the Academic Year: Determine the percentage of time needed to complete the project. Then contact the Special Assistant to the Provost (Faculty Grants Development) or the staff of the Office of Corporate and Foundation Relations for consultation on developing the budget for release time and/or additional compensation.

Faculty Salaries for Summer and Intersession: Monthly payments for work during summer or intersession will usually be made at the rate of 1/9 of the annual salary for a full month of such employment. Typically the amounts are 2/9 for summer salaries and 1/9 for intersession. (Remember that the monthly pay most faculty receives is based on a twelve-month distribution of a nine-month salary. Thus to figure the amount to charge for a month of your time, divide your academic year salary by nine, not by twelve.)

Faculty Salary Supplements During Sabbaticals: Faculty may, with the appropriate approvals, supplement their sabbatical pay through grant work up to their normal, full-time nine-month academic salary.

Faculty and Staff Overload Time: Faculty and staff members may, with the appropriate approvals, do contract or grant work as an overload in addition to their regular teaching duties. Be sure the

sponsor and your chair or direct supervisor know about the intended overload and are willing to approve it such Additional Duty Pay.

Student Assistants: The use of student assistants is strongly encouraged because it provides work experience and income for students. Student salaries during the academic year are not subject to fringe benefit charges, but students are not permitted to work more than 20 hours per week on campus during the academic year.

Salaries and Job Descriptions for Other Staff: Individuals hired for a project must be hired according to standard Wheaton College procedures and must be paid according to standard Wheaton College job title and description. These restrictions apply to full time employees for any length of time, but are also recommended for part-time employees. If none of the titles and job descriptions in the existing personnel system fits your needs, then you may identify an appropriate title, job description and salary range based on similar work required in the professional field. A brief documentation of such a "position survey" should be included in the budget explanation pages of your proposal. If no similar job description can be located, please contact the Special Assistant to the Provost (Faculty Grants Development) or the staff of the Office of Corporate and Foundation Relations to explore alternate procedures.

Salary Increases in Future Years: If the grant period extends over more than one fiscal year, or starts in a future fiscal year, remember to include salary increases for future pay periods. If the pay increase rate for a future period is unknown, use an estimate. For most employees, 5 percent is an appropriate figure.

Fringe Benefits: Fringe benefits for all project staff are calculated using the College's established rate of 31.3% (for AY/FY 2007-08). No fringe benefits are calculated for student employees *during the academic year*, or for consultants. During the summer, the 7.65% is applied to students' earnings.

Student employees who work during the summer have a fringe rate charged. *Fringe rates should be verified with the Special Assistant to the Provost (Faculty Grants Development) or the staff of the Office of Corporate and Foundation Relations on a case-by-case basis, as they do not remain constant.*

Consultants: Specific rules apply for determining whether someone should be treated as a consultant or employee. Please refer to <http://www.wheatoncollege.edu/Provost> for additional information.

If possible, list each consultant by name. Indicate the service to be performed and rate of compensation including travel, how the compensation for a consultant in terms of days or hours to be worked multiplied by the daily or hourly rate to be paid. Remember that fringe benefits should not be added to the consultant's payments. For that reason, consultant costs are usually listed separately or under "Other Costs" (see below) rather than under "Personnel".

Equipment: Identify separately each item of equipment with a useful life greater than one year and a unit cost of \$2500 or more. Explain exactly what equipment is being purchased and why it is necessary for the project. Be certain your price estimates are accurate and include such costs as tax (Wheaton may be tax exempt depending on the circumstance, contact Business Services for assistance), shipping (prefer F.O.B. destination/Free on Board, meaning delivery at seller's expense) and installation. For large or unusual purchases, you may be required to include a quote from a vendor. Some sponsors ask that you consider other ways of obtaining equipment other than purchasing it. Does a colleague on campus have equipment that you could share or would leasing be appropriate? The College's Business Services department supports these alternatives as a cost containment measure. Sponsors are usually not willing to pay for general-purpose equipment, such as desks, and filing cabinets, and requests for personal computer equipment should be justified carefully. Any equipment purchased with grant funds is the property of the College.

Materials and Supplies: These are consumable items such as office supplies, copy supplies, glassware, and chemicals. Virtually every project requires some expenditure on supplies. For large amounts of money, or for large portions of the total budget, the request for supplies should be explained. A brief list of the types of supplies needed is useful for your own planning, even if the sponsor does not require it.

Publication Costs: Publication costs include journal charges, costs of illustrations and costs of preparing and reproducing reports required by the agency. These should be itemized in the budget.



Travel: Identify travel for College personnel. Local travel (i.e., in Massachusetts, easily reached by car) should be estimated as the number of miles driven times the standard rate for private car usage (see <http://wheatoncollege.edu/Finance/travel.html> and <http://wheatoncollege.edu/Finance/Forms> for details). In some cases, you may also need to include estimates for parking fees. Travel to other cities should be estimated by adding the likely air fare to the likely per diem costs for hotel, meals and incidentals. In some cases you may need to include other items, such as registration fees, car rentals (car rental discounts and insurance information are available through Business Services, Supervisor approval may be required), and taxis. Per diem rates for hotels and other expenses may be limited, so be sure to check the sponsors guidelines.

How carefully travel costs need to be estimated depends on the nature of the proposal. In some instances, such as proposing a conference presentation trip as one part of a large research project, round numbers like \$1,000 or \$750 will suffice. In cases where travel is important to the nature of the project, or where a large portion of the budget is specified for travel (such as supporting the travel of conference participants or traveling to gather research data), a more careful breakdown of costs would be appropriate. In all cases, travel expenses should be estimated using standard Wheaton College travel policies. The Business Services Department can advise you on travel risks, insurance and Travel Assist services that may be available.

Subcontracts: If a portion of the work is to be completed by another institution, identify the organization by name and indicate the total anticipated cost. Additional details about subcontracts may be found in section “Award Notification and Postaward Administration.”

Other expenses: Identify any other expenses necessary for completion of the project, such as student tuition, publication costs, etc. Other allowable expenses include such items as postage, telephone, photocopying, animal care, equipment repair, and subscriptions to periodicals. These expenses should be itemized in the budget. If the grant allows for Facilities and Administrative (F&A or Indirect) Costs, then these items must be included (see OMB Circular A-21).

Cost Sharing and Matching Funds

Funding agencies sometimes require that the College contribute a portion of the total project’s costs. The PI must seek approval from the Provost when the proposal requires matching funds from the College. Please allow ample time for this approval. If the funding agency requires a cash match you should contact the Special Assistant to the Provost to confirm the availability and account number of the funds. In-kind contributions also need approval. The Department Chair should be aware if departmental supplies, travel budget, etc. will be used for the project.

If cost-sharing and matching funds are not required, they **may not** be included in the budget. There will be no advantage in the decision about the award, and there will be several complications in monitoring the application of these funds to the project.

Campus Services; Extraordinary use of the College Library, Central Computing Services and Public Safety as part of project activities may be included in the grant budget. Costs of the library utilization, for example, may represent up to 2 percent of a federal research grant. Normally, however, these are included in the indirect costs.

Facilities; Normally, the use of offices, classrooms and other facilities is included in the indirect costs. Under certain circumstances, these may be included as separate line items in the budget. The amount used for the grant budget is prorated by the number of days, weeks or months that the facility is to be used for the grant activities or based on the fee charged to rent the space. The Special Assistant to the Provost (Faculty Grants Development) and the staff of the Office of Corporate and Foundation Relations maintain a current listing of charges for most facilities on campus.

Indirect Costs

The indirect cost rate used by Wheaton College is negotiated periodically by the Vice President for Finance and Administration with the Department of Health and Human Services (DHHS) in accordance with federal regulations. The rate can be obtained from the Special Assistant to the Provost (Faculty Grants Development), the Finance Office or the Office of Corporate and Foundation Relations. It is applied in the budget to salaries, wages, and benefit

expenses of regular college employees and the summer earnings and benefit expenses of student employees.

It is the College's policy to recover the full amount of indirect costs allowable by a granting agency. Some funding agencies limit indirect costs or disallow them entirely. The program guidelines detail the applicable regulations. Except for the cases in which indirect costs are not acceptable, the budget should include the maximum amount of indirect costs allowable.

Unrecovered or unclaimed indirect costs are the difference in the amount charged to a project budget and what could have been charged at the full-negotiated rate. This amount may occasionally be used as institutional cost sharing, depending on the funding agency's policy. The indirect costs will be distributed to departments as noted above at the end of each fiscal year. The amount of indirect costs transferred will be in proportion to actual expenses.

The recovered indirect costs generated by a grant award are distributed as follows: 30% to the College, 30% to the Provost's Office, and 40 % to the awarded department.

Coordinating Approvals On Campus

External grants are binding contracts between the sponsoring agency and Wheaton College. The President, the Provost, the Vice President for College Advancement, and the Assistant Vice President for Finance will be apprised of projects and programs for which proposals are being developed at the periodically-occurring Grants Group Meetings. To ensure that all grants are properly reviewed and approved, proposals for external funding may not be submitted without the completion of the Proposal Summary sheet, which is available on the Wheaton website: <http://www.wheatoncollege.edu/Provost/ResearchandScholarship.html> .

Proposal Summary Sheet

This form provides summary information for the College reviewers on what facilities, services, and personnel are being proposed for the project and who will pay for them. After reviewing the routing sheet, campus reviewers can then investigate the details in the text and budget. If matching contributions from Wheaton College and/or other organizations are promised to the sponsor, the Special Assistant to the Provost (Faculty Grants Development) and/or the staff of the Office of Corporate and Foundation Relations will specify which unit or person is making the commitment and from which account (by number) the funds are promised. The reviewers need to have the final form of the budget and a "near-final" form of text. The text should be complete and readable except for detailed adjustments of format phrasing. These final polishing touches can be applied to it while the proposal is in circulation.

Proposals are not exempt from the approval process merely because the deadline is too close, or because the sponsor initiated the idea, or even because the funding has already arrived.

The signatures of approval become the College's expression of commitment to the project. The PI and the sponsor then have the assurance that the College approves of the submission and will honor its commitments. The College reserves the right to withdraw proposals that have not been properly approved, or to return funds granted for proposals that have not been properly approved.

< <http://www.wheatoncollege.edu/admin/grants/faculty/routingform.doc> > identifies the project, the principal investigator (PI), the budget, the expected sources of funding, the institutional resources required, and the approval signatures necessary for submittal.

The **PI** completes sections one and two of the Proposal Summary and then signs the sheet. The PI is then responsible for submitting the Proposal Summary sheet, along with a copy of the proposal, to the **Department Chair** for signature and then to the Director of Corporate & Foundation Relations, who will see it through the review and approval process.

Please note: Proposals that require the use of human or animal subjects, recombinant DNA, radiation, and/or produce toxic wastes, must be in compliance with federal safety regulations. Every proposal for research which will involve human subjects must be approved by Wheaton's Committee on the Ethical Use of Human Subjects. Department chairs in the science departments should be aware of College and federal policies when approving grant proposals that include these items.

The Proposal Summary is then routed to the ***Provost*** for signature. The signature indicates that the proposed project is appropriate for the academic and intellectual mission of the College and that approval of requests for release time have been made.

Next, the Proposal Summary is routed to the ***Finance Office***. The signature of the Finance Office is required on all grants and confirms the review of the budget for accuracy, and compliance with College policy and agency and federal requirements are met. The signature of the ***Vice President for Finance and Operations*** is required only if the grant requires Wheaton to match funds. (Matching Funds include cash, contribution of staff time/services or equipment).

Lastly, the Proposal Summary is routed to the ***Office of Corporate and Foundation Relations***. That signature confirms that the internal proposal review has been completed and all signatures have been obtained.

The completed Proposal Summary sheet, with all of the required signatures, authorizes the PI to submit the proposal, and ensures that the college resources required to complete the project have been acknowledged and will be made available when needed.

For private foundation and corporate proposals, the PI should work with Corporate and Foundation Relations staff to prepare an appropriate cover letter or letter of endorsement from the President or Provost.

Submitting the Proposal

Once the proposal has been approved, the Office of Corporate and Foundation Relations staff will prepare the proposal for mailing or electronic submission, according to the guidelines of the funding source. Applicants must forward the proposal to CFR at least five working days before the deadline, in order to allow adequate time for copying, entering the proposal into the electronic submission process and other "last-minute" details. CFR serves as the central repository for all final copies of proposals.

Faculty and staff projects usually involve a commitment on some part of the College (i.e., its facilities, staff time, accounting services, equipment, or funds). These commitments need to be coordinated with other College obligations. Therefore, before a proposal can be submitted, it must have the approval of those parts of the College that will be affected if the project is funded.

The College requires that applications for externally supported projects be processed through and submitted by the Special Assistant to the Provost (Faculty Grants Development) or the staff of the Office of Corporate and Foundation Relations. Proposals are reviewed by means of an internal routing process. The College may not submit proposals to an outside agency without formal approval. The President or his designee, who serves as the “Authorizing Institutional Signature”, will only approve applications when the internal routing process has been completed.

Proposals must be submitted for institutional signature at least one week prior to the funding agency’s deadline. You should allow at least five (5) working days for reviews and approvals on campus. Although the process can sometimes be accomplished more quickly, five days are needed to work around the availability of the involved individuals. Unusually large proposals or proposals with elaborate institutional commitments will necessitate more lead-time. The possibility of changes required by the on-campus signatories will add time to the process.

The proposal will move through the approval process more expeditiously if the following are as complete as possible:



- Discuss the proposal in advance with your chair, your dean, and any service centers (computer, extended education, etc.) that will be heavily involved. Be sure they are willing to make the commitments you want them to make. You will improve your proposal by getting their advice, and they will be able to review your proposal more quickly when it comes to them for approval.
- Be sure that the Special Assistant to the Provost (Faculty Grants Development) and/or the staff of the Office of Corporate and Foundation Relations has a copy of the sponsor's guidelines and forms well in advance of the deadline so they can fill out the forms and check the guidelines while you are still writing and editing. Be certain to tell the staff whether the deadline is for the sponsor's receipt of the proposal or for getting the proposal postmarked.
- Discuss the budget in advance with the Special Assistant to the Provost (Faculty Grants Development) and/or the staff of the Office of Corporate and Foundation Relations.
- Give the Special Assistant to the Provost (Faculty Grants Development) and/or the staff of the Office of Corporate and Foundation Relations your office and home phone numbers so you can be reached quickly if any questions or problems arise. This office will handle the logistics of carrying the proposal to the reviewing offices, and will assist, if possible, in helping all concerned parties on campus reach agreement on their commitments.

Award Notification and Postaward Administration

When notice of funding is received by anyone at the College, it should be referred immediately to the Office of Corporate and Foundation Relations, which, in turn, sends a summary of the terms of the grant and full budgetary information to the Finance Office, who is responsible for financial oversight of the sponsored projects. A restricted fund number in the College accounting system will be assigned to the award and the Provost and PI are notified of the number.

All charges made against a grant must be valid and accurate and processed in a timely manner. All expenditures against a grant account should be made before the ending date of the grant.

Often, a funding agency will notify an applicant that an award will be made at a reduced funding level. The PI may then be asked to submit a revised budget, which should be drawn up according to the same agency and College guidelines used to construct the original proposal budget. All revised budgets must be reviewed by the Finance Office prior to submission. If the revision requires the College to commit to an increase in institutional support, additional approvals (i.e., Provost and Vice President for Finance and Operations) will be necessary.

Use of the Wheaton College credit card/ProCard for grant-related expenditures must be clearly delineated and summarized on the credit card reconciliation form in a timely manner to ensure that charges are recorded by report deadlines. Faculty collecting any salary compensation from a federal grant must be sure that their time incurred on the sponsored project corresponds to salary being paid and will be required to provide confirmation to that effect (i.e. time and effort reporting).

The Office of Corporate and Foundation Relations prepares all interim and final stewardship narratives, in consultation with the PI and Provost and coordinates the financial reports on all grants, with the Finance Office.

Grants submitted by the Special Assistant to the Provost or by the Office of Corporate and Foundation Relations designate the College as the fiscal agent. As such, funds are awarded to the College and are to be spent only for the purpose and at the level awarded in the budget unless written approval is obtained from the granting agency. The PI is responsible for implementing the project within the agency guidelines. Please contact the Special Assistant to the Provost or the Director of the Office of Corporate and Foundation Relations if you have any questions or need guidance on management of the project.

PI and Project Director Orientation

Once the notice of award has been received, a restricted fund account will be established in BANNER. The Project Director or Principal Investigator will have “Read Only” access to her/his grant account.

The Budget Office will convene an orientation for the PI and other key personnel (i.e., project staff, representative from the Budget Office, etc.) to review the proposal, the timeline and project schedule, the budget, specific compliance requirements and any other specific considerations to ensure the optimal implementation and completion of the project.

Establishing a Sponsored Project Account

The Principal Investigator and the Special Assistant to the Provost (Faculty Grants Development) and/or the staff of the Office of Corporate and Foundation Relations will work together to create the internal budget for submission to the Budget Office. Two individuals will be authorized to expend funds from the grant budget, one of the signatures will be a representative from the Special Assistant to the Provost (Faculty Grants Development) and/or the staff of the Office of Corporate and Foundation Relations, and in most cases the other signature will be the PI. The process is as follows:

- The budget is approved by the Budget Office and signed by one of two authorized signatories.
- A fund number is assigned
- The PI is responsible for keeping track of the budget and the amount of funds to expend. He/she must apply for access to Banner and attend all necessary training.

On-line Purchase Orders: Purchases may be made using a purchase order and are encouraged for capital equipment purchases. The PI should complete a P.O. request form (on the web) and submit the request to Business Services. Business Services will convert the request to a P.O. on Banner. Information and training are available through the Business Services Office.

Use of ProCard: The PI may apply online for a ProCard for the grant fund. The Provost approves this request, and the card is issued by the Business Services Office. Purchasing card spending limits (per transaction and monthly) and merchandise commodity code restrictions may apply. The PI must abide by ProCard policies and practices, which will be provided during card issuance.

Subcontracts: A subcontract is a formal agreement with a second party (usually another educational institution or commercial entity) to have that party perform some portion of the approved research. Under a cost reimbursement agreement, subcontractors are reimbursed for allowable costs up to the support level agreed upon in advance. Under a fixed-price agreement, the subcontractor is reimbursed a fixed price regardless of total expenses. A PI should contact the Special Assistant to the Provost well in advance if considering entering into a subcontract agreement of any kind, as a legally binding contract must be negotiated and signed in all cases. This draft must include work scope, technical specifications, pricing and payment schedule, and

deadlines as they relate to service/product delivery of grant. All subcontract agreements must be reviewed by the Business Services Office and signed by the Vice President of Finance and by the Provost.

If the subcontractor will be doing a major portion of the project, it is usually best to include a letter of intent from the subcontractor with your proposal. Wheaton College faculty and staff cannot be used as subcontractors; they must be listed as salaried personnel. In addition, you may be required to go through competitive procedures to obtain a subcontract.

Contracts; A Wheaton College Contract and W-9 (from Payroll Office) must be submitted by any person being hired through a grant as a corporation or organization or as a professional who is not a College employee.

A sample contract can be obtained from Conference and Events Services.

- A consultant who is not a U.S. citizen must have a valid work visa and file an I-9 form with the government. Contact Human Resources for information.
- The contract can be signed by the consultant and the Special Assistant to the Provost (Faculty Grants Development) and/or the staff of the Office of Corporate and Foundation Relations when the amount is \$1000 or less. All contracts are subject to final review and authorization by Business Services prior to their issuance.
- The start date is not valid until the authorized College representative signs the contract.
- When appropriate, a purchase order or check request may be submitted, following standard College policy. After the work is completed, the consultant/contractor/ vendor must submit an invoice. The date of service must not be prior to the college representative signing the contract.
- On the invoice, the PI must write, "OK to pay," the purchase order number, if applicable, and sign and date the invoice. Remember that the Accounting Office will only accept an original signature.
- The invoice must be "received" on the Banner system (see on-line purchase order section above).
- Submit the signed original invoice to the Special Assistant to the Provost (Faculty Grants Development) or the staff of the Office of Corporate and Foundation Relations and it will be forwarded to Accounting for payment.

- Contracts and other pertinent forms are available on the Wheaton College web page under Finance.

Hiring Procedures

If the grant requires hiring additional staff, that process is initiated with a *Request for Hire* from the Human Resources Office. That Office will provide guidance throughout the screening and hiring process.

If the individual being hired will be a faculty member, the appropriate request form is available from the Provost's Office.

Additional Duty Pay: Occasionally, the project may require additional duties for which there is no course release or other adjustments in standard job duties. In those cases, Additional Duty Pay of approximately 5-10% of the person's annual salary may be approved (for staff by Human Resources and for faculty by the Provost).

Consultants: The terms and conditions for hiring consultants are determined by the regulations of the U.S. Internal Revenue Service. For non-U.S. citizens, visas and other clearances are also required. Please contact the Director of Human Resources for detailed guidelines.

Students: The Student Employment Office handles hiring students, including for grant-funded projects. Student Employment will set the rate of pay for each student based on the type of work to be performed. Please be sure that the Student Employment Office knows the grant fund number to which the student employee should be charged.

Students engaged in independent scholarly research may receive a stipend instead of being paid on an hourly basis. (Note: if a student is working on a faculty member's research project, then the hiring of the student will be arranged through Student Employment.)

The PI must notify the Special Assistant to the Provost (Faculty Grants Development) and the staff of the Office of Corporate and Foundation Relations of the students involved, dates the student researchers should be compensated, and the timeframe of the project.

Travel Guidelines for the College are found at <http://www.wheatoncollege.edu/finance/travel.html>

Institutional Events: The College's policies and procedures in regard to campus spaces are found at <http://www.wheatoncollege.edu/Conferences/> including an Event Form to reserve space and services on campus.

Time & Effort Reports: T & E Reports are required in all cases where faculty time has been committed to a project, regardless if the time is requested or in-kind. T & E Reports are signed documents verifying the time expended by PI's and CO-PI's on projects. T & E Reports are an audit requirement and are to be submitted to the Budget Office on a semi-annual basis. One will be sent to you electronically at the start of your project.

Transfer of Funds: If there is a need to obtain approval from the funding source for a budget transfer (i.e., a transfer of budgeted funding from one category of expenditures to another), the PI

should discuss this with the Special Assistant to the Provost (Faculty Grants Development) and/or the Director of the Office of Corporate and Foundation Relations. Only the PI, his/her designated assistant, or the Special Assistant to the Provost (Faculty Grants Development) and/or the Director of the Office of Corporate and Foundation Relations should contact the granting agency. If required by the terms of the grant, an approval must be received in writing from the granting agency (e-mail is acceptable) prior to budget changes being made.

RESEARCH COMPLIANCE

The PI is responsible for complying with all institutional policies and procedures related to research ethics (including the use of human participants in research, the care and use of animals in research and instruction, and misconduct in research and scholarship), conflict of interest, and intellectual property. These policies are on file in the Provost's Office.

SPECIAL CONSIDERATIONS

Changes in the Project

Events or problems may require changes in the project. Most of these changes will be minor (a transfer of funds among budget lines, different travel plans) and are easily accomplished. Major changes, such as a change in principal investigator or new objective or project scope, may also be made but usually require approval by the funding agency. A no-cost extension may be requested from the sponsor if more time is needed to complete the grant. The Office of Corporate & Foundation Relations and/or Special Assistant to the Provost (Faculty Grants Development) must be notified to coordinate any of these changes with the funding agency.

Risk Considerations

The Business Service Department provides consultative services to discuss risk exposures that may apply to the grant, its associated work and contract. Please contact the Department to review these considerations and applicable mitigation strategies.

Non-funded Proposals

Increased competitiveness and the decrease in available funding within funding agencies means that not all proposals will be funded. In the event a submitted proposal does not receive funding, the Principal Investigator should advise the Office of Corporate and Foundation Relations so that its records can be kept up to date. It is also prudent to request copies of the peer review. Many times the proposal can be amended to reflect the advice of the reviewers and then be resubmitted. Such amendment and resubmission will often result in funding for the project.

APPENDIX A

WHEATON COLLEGE FORMS
WHEATON COLLEGE PROPOSAL SUMMARY AND ROUTING FORM

Principal Investigator: _____	Department: _____	Ext: _____
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Project Title: _____	
Name of Funding Source: <i>Please note whether the funding source is a foundation, corporation, or government agency – include division.</i>	
Proposal Deadline: _____	New Project <input type="checkbox"/> or Renewal Request <input type="checkbox"/>
Project Dates (From – To): _____	Duration of Project (# of Months): _____

<u>BUDGET SUMMARY:</u> <i>The full budget must be attached for review by the Finance Office before submission.</i>
A) Total Salaries and Wages: _____
B) Other Direct Costs: _____
C) Total Direct Costs (sum of A and B): _____
D) Indirect Costs (% of): <i>Insert % and \$ amount of salaries and wages used to calculate indirect costs</i>
E) Funding requested from outside agency (sum of C and D): _____
F) Wheaton Funds Requested: _____
Total Dollar Amount of Project (sum of E and F): _____

<u>ACADEMIC AND FISCAL REVIEW AND REQUIRED SIGNATURES</u>	
Principal Investigator _____	Date _____
<i>PI certifies that projects involving human subjects, vertebrate animals, radioactive materials or biohazards have been approved (or submitted for approval) by the appropriate College Committee. PI is responsible for submitting proposal abstract and budget for approvals required below before mailing.</i>	
Department Chair _____	Date _____
<i>Department chair authorizes proposal submission, including release time and financial commitments.</i>	
Vice President, Advancement _____	Date _____
Provost _____	Date _____
<i>Provost authorizes proposal submission, including release time and financial commitments.</i>	
Vice President, Finance and Operations _____	Date _____

WHEATON COLLEGE PROPOSAL SUMMARY AND ROUTING FORM

INSTITUTIONAL IMPACT

How will this grant impact personnel? Will more than 10% of a person's time be committed to the project? Will new positions be created?

How will this grant impact college facilities? Does it require additional space (office space for new personnel, space for new equipment, significant storage space)?

How will this grant impact the educational program? Is course release time requested? Would any new courses be added? What will be the positive impact of this project on program?

APPENDIX B
Request for Matching Funds and Other Cost Sharing

Faculty or staff who request college resources, in-kind support, course release or matching funds related to a grant or sponsored project must complete this form at least **four-weeks prior to the proposal's deadline** and forward it to the Special Assistant to the Provost, or to the Office of Corporate and Foundation Relations.

Date of Request: _____
Principal Investigator(s): _____
Department/Office: _____
Telephone Extension: _____
E-Mail: _____
Project Title: _____
Brief Project Summary:

Please check the type of support requested:

- Matching Funds (Cash match) Amount _____ Acct# _____
- Course Release # _____ Semester _____ Acct # _____
- Other Cost Sharing (Use of Space, Equipment, Resources) ***Provide Details Below***
- Salary Supplement ***Provide Details Below***
Details and Justification for Support Requested

(Attach Additional Support Materials if needed)

I recommend/approve the use of college resources/matching funds for this project.

Special Assistant to the Provost _____
Provost _____

SOURCES OF USEFUL INFORMATION

Funding Sources and Guidelines

GrantSearch <http://www.aascu.org/gsmodule/> This database includes public and private funding sources and is regularly updated.

Chronicle of Higher Education, Grants and Fellowships Page
<http://chronicle.com/free/grants/>

Philanthropy News Letter, a service of The Foundation Center
<http://foundationcenter.org/pnd/rfp/>

IRIS - Illinois Researcher Information Service - is a searchable database of funding opportunities for faculty research and institutional projects.

GrantsNet is a joint venture between the Howard Hughes Medical Institute (HHMI) and the American Association for the Advancement of Science (AAAS). GrantsNet features federal and non-federal opportunities for support in the areas of biomedical sciences and undergraduate science education. GrantsNet is available to anyone for free.
<http://www.grantsnet.org/>

Grants.gov allows organizations to electronically find and apply for competitive grant opportunities from all Federal grant-making agencies. Grants.gov is THE single access point for over 900 grant programs offered by the 26 Federal grant-making agencies.
<http://www.grants.gov/Index>

Catalogue of Federal Domestic Assistance (CFDA) <http://www.cfda.gov>

Code of Federal Regulations (CFR) <http://www.cfr.gov>

National Aeronautics and Space Administration <http://www.nasa.gov>

National Endowment for the Arts <http://www.nea.gov>

National Endowment for the Humanities <http://www.neh.gov>

National Institutes of Health <http://www.nih.gov>

National Science Foundation <http://www.nsf.gov>

Office of Management and Budget (OMB) Circulars (e.g., A-21, A-110, etc.)
<http://www.omb.gov>

U.S. Department of Education <http://www.ed.gov>

Evaluation

American Evaluation Association <http://www.eval.org/>

Digital Resources for Evaluators <http://www.resources4evaluators.info/>

Online Evaluation Resources Library <http://oerl.sri.com/>

Penn State Program Evaluation Tips <http://www.extension.psu.edu/evaluation/>

Qualitative Research Resources on the Internet

<http://www.nova.edu/ssss/QR/qualres.html>

The Worldwide Evaluation Information Gateway

<http://www.community.net.nz/How-ToGuides/Community-Research/Websites/World-Wide-Evaluation-Gateway.htm>

Professional Organizations

Council of Undergraduate Research (CUR) <http://www.cur.org>

National College and University Research Administration (NCURA)

<http://www.ncura.edu>

Society of Research Administrators International (SRA)

<http://www.srainternational.org>

Proposal Development

- Office of Sponsored Programs at the University of Vermont.
<http://www.uvm.edu/~ospuvvm/>
- Grants Information Center at the University of Wisconsin, Madison:
<http://grants.library.wisc.edu/individuals/individuals.html>
- Office of Grants and Faculty Development at the University of Wisconsin, Oshkosh:
<http://www.uwosh.edu/grants/onlineresources/index.php>
- Office of Research at Columbia University, Faculty & Research: Writing a Grant Proposal, Writing Tips and Application Forms
<http://cpmcnet.columbia.edu/research/writing.htm>
- NSF Guide to Proposal Writing:
http://www.nsf.gov/pubsys/ods/getpub.cfm?ods_key=nsf04016
- Common Questions About Applying for an NEH Grant
<http://www.neh.gov/grants/commonquestions.html>
- Grant Processes, National Center for Complementary and Alternative Medicine, NIH
<http://www3.cancer.gov/admin/gab/2005GPB/GPB05-LowRes.pdf>
- Tips for New Grant Applicants, National Institute of General Medical Sciences (NIGMS), NIH <http://www.nigms.nih.gov/Research/Application/Tips.htm>
- Information for Preparing Grant Applications, National Cancer Institute (NCI), NIH
<http://grants.nih.gov/grants/funding/phs398/phs398.html>
- Grant Writing Tips Sheets http://grants1.nih.gov/grants/grant_tips.htm

- Grant Writing Resources <http://www.kn.pacbell.com/products/grants/write.html>
- The Art of Proposal Writing - SSRCs classic brochure on grantwriting
- Writing from the Winner's Circle: A Guide to Preparing Competitive Grant Proposals by David Stanley (Nebraska EPSCoR). An on-line grant-writing handbook, very easy to read and colorful.

Tutorials for On-line Submissions

[NSF Fastlane Demonstration](#) and [FAQs](#)

[Grants.gov Demonstration and FAQs](#)

[US Department of Energy Office of Science](#)

NEH has specific information for each application, which can be found through their

[Common Questions](#) page.