

1           **Antioch University New England**  
2           **Grants & Contracts Handbook**  
3           **Policies and Procedures**  
4           **2008 – 2009 Academic Year**  
5  
6           **Grants Office**  
7           **603 283 2101**  
8

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## 16 INTRODUCTION

17           This handbook is designed to help faculty, staff and students of Antioch  
18 University New England obtain external funding for research, equipment, faculty  
19 projects, program development, conferences, and other projects. The policies and  
20 procedures provide general guidance about applying for and managing grant funds. The  
21 handbook is a work in progress and will change as rules and regulations which govern  
22 grant funds change. Comments and suggestions to improve its content and clarity are  
23 always welcome.

24           The Grants Office Director is available to answer questions and help anyone  
25 interested in seeking external funding; for assistance with any aspect of grant funding,  
26 contact:

**Don Woodhouse**

**603-283-2101**

**dwoodhouse@antiochne.edu**

## 29 WHAT IS A SPONSORED PROGRAM?

30           “Sponsored Programs” are projects or programs conducted by faculty, staff or  
31 students that are supported in whole or in part by externally restricted funds awarded to  
32 the University through a **contract**, a **grant**, or a **cooperative agreement** (see **Glossary**).  
33 Sponsored programs may support research, instruction, or service. By the very nature of

1 sponsored programs, Antioch has obligations to the funding agency, typically spelled out  
2 in the program announcement, the grant proposal or bid, and/or the award letter. While  
3 awards are usually made based on a proposal prepared by an individual or a team of  
4 faculty members, the University, as the formal grant recipient, has ultimate programmatic  
5 and fiscal responsibility and accountability for the project. For this reason, internal  
6 review and approval are essential before proposals are submitted to outside agencies.

7 **Only the President (or the formally designated representative) has authority to sign**  
8 **a grant proposal or a contract bid on behalf of Antioch University New England.**

9 All faculty and student grants and sponsored programs are processed through the  
10 Grants Office. The Business Office assigns cost centers and deposits awarded funds in  
11 restricted accounts for post-award administration. The Business Office and the Grants  
12 Office help faculty investigators and project directors monitor grant-related expenditures  
13 and comply with reporting requirements, but it is up to each project director to insure that  
14 the project is carried out in accordance with university and funding agency guidelines.

## 15 **RELATED POLICIES**

16 The following policies may affect the conduct of sponsored activities. Complete  
17 copies of the policies are available from the Grants Office:

18 Protection of Human Subjects/IRB

19 Conflict of Interest

20 Copyrights and Inventions

## 21 **THE GRANTS OFFICE**

22 The Grants Office Director reports to the Vice President for Academic Affairs.  
23 The Grants website provides links to federal, state, and private funding opportunities and  
24 information about how to search and apply for grants. Services provided by the grants  
25 office include:  
26

- 27 ✓ Monitoring and disseminating information about funding opportunities.
- 28 ✓ Researching potential funding sources upon request from faculty or staff.
- 29 ✓ Providing proposal writing resources.
- 30 ✓ Presenting workshops on proposal writing and related topics.

- 1 ✓ Working with the Business Office and other University entities to finalize grant
- 2 award contracts, agreements, and memoranda of understanding.
- 3 ✓ Contacting funding agencies about proposed projects.
- 4 ✓ Working with Project Directors/Principal Investigators to develop proposals.
- 5 ✓ Helping complete federal and state forms.
- 6 ✓ Providing information about applicable policies, procedures, and agreements with
- 7 federal agencies.
- 8 ✓ Help with preparing, and reviewing, draft proposals and budgets.
- 9 ✓ Verifying all matching or cost-sharing agreements.
- 10 ✓ Coordinating the internal review and approval process.
- 11 ✓ Providing supporting documents (e.g. financial statements, proof of non-profit
- 12 status, list of Board Members, and the like), insuring that all required forms and
- 13 information are present, and mailing proposals to funding agencies.
- 14 ✓ Assisting with proposal revisions and budget negotiations, if necessary.
- 15 ✓ Requesting reviewers' comments and reasons for non-funding.
- 16 ✓ Assisting with the preparation and submission of final reports.
- 17 ✓ Facilitating access to *FastLane*, *Grants.gov*, *NIH eRA Commons*, and other
- 18 electronic grant application portals

19

## 20 GRANT DEVELOPMENT, PREPARATION, AND SUBMISSION

21 Anyone with concepts or ideas that may have potential for grant funding is encouraged  
22 to contact the Grants Office to discuss their projects and research potential funding  
23 agencies. The decision whether to pursue external funding in the form of grants or  
24 contracts for research or academic programs begins at the department level. Faculty  
25 members first present proposed project ideas to their departmental colleagues for  
26 consideration. The factors or criteria to be considered at the department level are:

27

- 28 ○ Is the proposed project consistent with, and will it support or advance the mission,  
29 values and core beliefs of
  - 30 ○ Antioch New England? **and**
  - 31 ○ the mission, direction, and goals of the respective department?



- 1           ◇ Copyrights, patents, royalties
- 2           ◇ Property rights
- 3           ◇ Use of hazardous materials
- 4           ◇ Matching funds or cost-sharing

## 5    **Initial Contact with Funding Agencies**

6           Faculty and staff are encouraged to make preliminary contact with potential  
7 grantors in order to verify congruence with the funder’s granting priorities, to obtain  
8 grant guidelines or to discuss possible projects by telephone, e-mail, office visit, letter of  
9 inquiry, or by a preliminary proposal. Please send informational copies of any letters of  
10 intent or preliminary proposals to the Grants Office. *Please note, however, that you may*  
11 *not commit or bind Antioch University New England in any way, or enter into any*  
12 *formal agreement without the express authorization of the President or his designated*  
13 *representative.*

## 14   **PROPOSAL FORMAT**

15           The format of your proposal is usually specified in the sponsor’s guidelines.  
16 Request a copy of the application kit or grant guidelines and the most recent annual  
17 report from the sponsor if they are not available on-line. If no guidelines or application  
18 forms are provided by the funding agency, there are common formats available from the  
19 Grants Office.

20           Many grant proposals are evaluated according to a rating system that assigns  
21 points to specified review criteria, and applications must score a certain number of points  
22 to be eligible or recommended for funding. Guidelines provided by the funding agency  
23 generally correspond with the review criteria, and the specific instructions provided by  
24 the funder should be followed **exactly**. If the guidelines specify the font size or margin  
25 size required by the funder, make sure your proposal adheres to the requirements. Some  
26 funding agencies want proposals bound; others will reject any proposal that arrives with  
27 binding: the Grants Office can help you be sure that you’ve got the details right.

28           Accurate and timely data to describe the institution and to document the need for  
29 the proposed research project or program are essential elements of competitive proposals;

1 University resources that can help you obtain these data include the Grants Office and the  
2 Public Relations Office. Factual information and data that describe the organization,  
3 mission and characteristics of Antioch New England and its students are available from  
4 the Grants Office, as are copies of other proposals.

5 Allow ample time to complete your proposal and to submit it to the Grants Office  
6 for internal review (said another way: **DON'T WAIT UNTIL THE LAST MINUTE!**).  
7 If at all possible, please submit proposals that have been approved by the Chair of your  
8 Department to the Grants Office Director and to the Vice President for Academic Affairs  
9 in both written and electronic form **at least seven business days prior to the deadline** to  
10 allow enough time for internal review and to obtain the required signatures. The earlier  
11 your proposal is submitted, the better.

12 Public and private funders increasingly require electronic applications, and will  
13 not accept paper applications. The National Science Foundation requires **all** letters of  
14 intent and applications be submitted electronically, as do a growing number of other  
15 federal agencies. Given the proclivity of computers (despite the diligent efforts of our  
16 ISAT team) to fail at the worst possible time, it is imperative not to wait until the last  
17 possible minute to submit grants through the National Science Foundation's FastLane  
18 system or Grants.gov. Note, too, that Fastlane, Grants.gov, eRA Commons and other  
19 electronic portals require advance registration. The Grants Office Director serves as the  
20 institutional administrator for FastLane and will register prospective applicants, assign  
21 passwords, add individuals to NSF's Principal Investigator database, and help with  
22 electronic access to grant announcements and applications, and describe the electronic  
23 submission and signature process.

24 **All proposals, whether on old-fashioned paper or in digital form, must be**  
25 **submitted through the Grants Office and follow the internal routing and review**  
26 **procedures described in this handbook.**

### 27 28 **Budget Development**

29 Research and program budgets typically include several categories of expenses;  
30 these are *direct costs*, such as personnel, equipment, travel, supplies, and the like which  
31 are needed to carry out the project, and *indirect costs* which reflect very real but less

1 visible overhead costs to the institution of supporting research and grant sponsored  
2 programs, such as building maintenance, utilities, telephone and computer services,  
3 administrative support, accounting, and the like. Some grant funding agencies do not  
4 award indirect costs, or limit the amount of indirect costs. Except in cases where indirect  
5 costs are not accepted by the funding agency, **all funding requests should include both**  
6 **direct and indirect costs. Proposals which do not request indirect costs, when**  
7 **available, require a Waiver of Indirect Costs, approved by the President.** A copy of  
8 the request for Waiver of Indirect Costs is available on-line and attached to this manual in  
9 the Appendices.

## 10 11 DIRECT COSTS

12 Direct costs typically include the following categories:

13  
14 **Salaries and Wages:** List all the people who will work on this project, starting with the  
15 project director/principal investigator; staff, students, and part-time workers respectively.  
16 In all cases, estimate how much time will be needed to carry out the project successfully  
17 and how much time each person will actually commit to the project. Feel free to contact  
18 the Grants Office Director for assistance. If the proposed project is for more than one  
19 year, likely salary increases should be reflected in the budget. The Human Resources  
20 Office can help calculate the appropriate salary or wages to request in the proposal.

21  
22 **Fringe Benefits:** include health insurance, retirement, social security and Medicare and  
23 other benefits that are part of an individual's compensation package, and should be  
24 requested from the grant funder in addition to salary. The Human Resources Office can  
25 determine the amount of fringe benefits that correspond with the requested salaries.

26  
27 **Consultants:** A consultant is an expert who is not an ANE employee and is hired at an  
28 hourly (or per diem) rate, generally without benefits, to provide some service related to  
29 the grant project. When hiring a consultant, there needs to be a written agreement  
30 specifying the number of hours the person will work, the rate of pay, and the length of the  
31 contract. Costs may include fees, travel, accommodations, and other related expenses.

32 **All contracts, letters of agreement, or memoranda of understanding with**



1 **consultants or other outside vendors must be reviewed by the business office before**  
2 **they are signed.** Sample memoranda of agreement are available from the Grants Office.

3  
4 **Supplies:** Supplies include any items costing less than \$5,000 that are needed to carry  
5 out the project. Individual grants may specify a different dollar cut-off to distinguish  
6 consumable supplies from equipment.

7  
8 **Equipment:** Many funding agencies will not fund capital equipment. Some funders that  
9 do not permit the purchase of equipment *will* permit the lease of equipment. Be sure to  
10 read the funding guidelines carefully. ANE will obtain competitive quotations where  
11 proposed expenditures exceed a designated amount, to obtain the best price for products  
12 and services that are within stated specifications. The Finance Office is the only  
13 department authorized to issue an invitation for bids or quotes. **Equipment and durable**  
14 **supplies purchased with grant funds are the property of ANE, and must be**  
15 **inventoried and labeled as such, and returned to the department or ANE when**  
16 **grant activities are completed. Note that major items of equipment purchased with**  
17 **federal contracts may remain the property of the federal government and must be**  
18 **inventoried and accounted for as such.**

19  
20 **Travel:** Identify travel for ANE personnel only. Indicate the travelers, destination,  
21 duration, and purpose of the trip. Include transportation, registration fees (if appropriate),  
22 lodging, meals, car rental, parking, and other related fees. If a personal automobile is to  
23 be used for travel, indicate the number of miles that will be traveled and calculate the  
24 anticipated cost using the current mileage reimbursement rate. Call the Grants or the  
25 Finance Office for the current rate.

26  
27 **Subcontracts:** If any of the work is to be completed by another institution or company,  
28 identify the organization by name and indicate the total anticipated cost. The  
29 subcontractor must provide a letter of intent indicating the willingness of the organization  
30 to enter into a subcontract with the University. If the grant is awarded, all subcontracts

1 and memoranda of understanding must be reviewed by the Finance Office and signed by  
2 the President.

3  
4 **Other:** This category covers any other expenses necessary for the completion of the  
5 project, such as tuition for graduate assistants, telephone charges, copying charges,  
6 postage, publication costs, animal care costs, or equipment maintenance.

## 8 **INDIRECT COSTS**

9 **Indirect Cost** are expenses incurred in conducting or supporting research or other  
10 externally funded activities that are not directly attributable to a specific project. Indirect  
11 costs include general administration (accounting, payroll, purchasing, human resources),  
12 sponsored project administration, facility operation and maintenance, library expenses,  
13 technology costs, departmental administration expenses, depreciation or use allowance  
14 for buildings and equipment, and student administration and services.

15  
16 Indirect costs are calculated at the Antioch University-approved rate (federally  
17 negotiated), unless restricted by the funding agency guidelines. **Indirect costs may not**  
18 **be waived without the express approval of the President.** To determine the  
19 appropriate indirect costs to be budgeted, multiply the current indirect cost rate by the  
20 total direct costs included in the Antioch University cost base.

21  
22 Unless otherwise negotiated with the President before the proposal is submitted, indirect  
23 costs that are included in a grant award to ANE will be distributed as follows:

24                   50% to the ANE General Fund

25                   50% to the Department from which the proposal originated; the

26 Department will make 50% of that amount available to the PI for project related  
27 purposes. Indirect Costs will be allocated upon receipt of funds from the grantor.

## 28 29 **COST SHARING/MATCHING FUNDS/IN-KIND**

1 Some agencies and foundations require the institution to demonstrate its commitment to a  
2 project by sharing in the total cost of the project. Two kinds of matching funds exist –  
3 “hard” matching funds and “soft” matching funds. A hard match is an actual cash match  
4 from ANE’s own general operating funds. A soft match, also known as an *in-kind*  
5 contribution, refers to services, supplies, office or classroom space, computer services,  
6 personnel, equipment, and the like that may be furnished by ANE specifically to support  
7 the grant project. **The Department Chair, the Vice President for Academic Affairs,**  
8 **and the Vice President for Finance and Administration must all approve matching**  
9 **funds and designate whether these funds are budgeted or how they will be raised.**

10 The Grants Office can help assign a dollar value, if necessary, to these in-kind services  
11 (but note that in-kind services committed to a specific grant project must be accounted for  
12 as such).

#### 14 **INTERNAL REVIEW**

15 Few grant funders make awards to individuals. Although grants are awarded on the basis  
16 of proposals written by individual faculty members, staff or students, Antioch University  
17 New England is the formal recipient of all grants, and assumes programmatic and fiscal  
18 accountability for all projects. **Only the President, therefore, has authority to sign a**  
19 **grant proposal on behalf of the University.** For this reason, internal review and  
20 approval are required before any proposal is submitted.

22 A **grant routing form** is provided in the appendices to serve both as a checklist to help  
23 you consider key elements of a proposal, and as a means to document the approval of key  
24 ANE personnel. Proposals should be approved first by the Department Chair, then  
25 submitted to the Grants Office Director who will route them to the Vice President for  
26 Academic Affairs, the Vice President for Finance and Administration, the Vice President  
27 for Institutional Advancement, and ultimately to the President for signature. **The**  
28 **President will not sign proposals that have not first been reviewed first by these**  
29 **people.**

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“Internal Review” can take as many as 5 business days. To expedite the process, keep the Grants Office Director informed of the status of your proposal throughout the development process.

**STUDENT PROPOSALS**

Students are encouraged to apply for grant funding to support dissertation research and projects related to their education or degree requirements, and the Grants Office will help research funders and review proposals. For Antioch New England to serve as the applying entity, students must be enrolled, and must identify a faculty advisor who endorses and oversees the proposal and project. Student grant applications must follow the same internal review and authorization procedure as faculty proposals. Equipment purchased with grants to Antioch New England are the property of the University, and must be returned to the department or school on completion of grant activities..

**FISCAL MANAGEMENT OF BUDGET AWARDS**

It is essential for Project Directors and Principal Investigators to thoroughly understand the fiscal terms and conditions of their grants, and the reporting requirements. The Grants Accountant and Business Office will help decipher these terms and conditions and explain the procedures for submitting requests for payment. When scheduled fiscal reports are required by the funding agency, they must be validated by and submitted through the Grants Accountant.

Once a proposal has been funded, the following steps must be followed in order to disburse the funds:

- ✓ Each funded grant/contract will be assigned a unique cost center by the Grants Accountant.
- ✓ Expenditure requests are prepared by the Project Director/Principal Investigator and are sent to the Grants Accountant for approval. The Expenditures of budget line items must conform to the original intent of the grant/contract award and must be fully documented by the Grants Accountant for auditing purposes.

- 1 ✓ All expenditures must occur during the project dates approved by the funding  
2 agency according to the approved budget line items and the schedule of activities  
3 outlined in the proposal narrative.
- 4 ✓ All expenditures must be in accordance with Antioch University, ANE, state, and  
5 federal guidelines in effect during the granting/contracting period and with any  
6 special terms and conditions imposed by the funding agency.
- 7 ✓ Any change to the distribution of awarded funds must conform to the policies of  
8 the funding agency and ANE. Budget revisions must be approved and processed  
9 through the Grants Office and the Business Office and approved by the funding  
10 agency.
- 11 ✓ Equipment purchases, rentals, and maintenance agreements under  
12 grants/contracts must be coordinated through the Business Office. Ample time  
13 must be allowed for any bid requirements. It must be clearly written in the  
14 contract or grant proposal as to whether any equipment purchased through a  
15 grant/contract is to be retained by the University or returned to the  
16 grantor/contractor at the end of the funding period. Arrangements for  
17 maintenance agreements should also be considered as part of the budget when  
18 grant funds are to be used for equipment purchases or rentals.
- 19 ✓ Under certain conditions, funding agencies allow a project extension beyond the  
20 approved project period if no additional funds are required. Most funding  
21 agencies require a request for extension 45 days prior to the termination date of  
22 the grant. Unless an extension is authorized, the grant will be closed on the date  
23 specified in the grant contract and the Grants Accountant will refund any balances  
24 of unobligated funds to the funding agency.
- 25 ✓ Whenever budgets are over-spent, deficits will be deducted from the indirect  
26 funds allocated to the project director and/or the division.

27

## 28 **ROLE OF THE GRANTS ACCOUNTANT/BUSINESS OFFICE**

29 In accordance with the requirements of the funding agency, the Grants Accountant will:

- 30 ✓ Prepare required financial reports.
- 31 ✓ Invoice the funding agency.

32

- 1 ✓ Coordinate the close out process.
- 2 ✓ Coordinate any financial audits required by the funding agency.
- 3 ✓ Monitor expenditures for compliance.

#### 4 WHO SHOULD I CALL...

5

6 If I plan to include **human subjects** in my research?

7 Dr. Kevin Lyness  
8 Chair, Institutional Review Board, Extension  
9 283-2149

10

11 If my grant includes a temporary **grant-funded employee**?

12 Kathy Curtiss, Human Resources Director

13

14 If I need the current reimbursement rates for mileage, lodging, meals, or other **travel**  
15 **related expenses**?

16 Don Woodhouse, 283-2101 dwoodhouse@antiochne.edu

17

18 If I need information about the management of my **grant budget**?

19 Billie Stark, 283-2117

20

21

#### 22 GLOSSARY

23 The following list of terms and their meanings is provided as a quick reference guide.  
24 While many of these terms are not used in this Handbook, they are used by some  
25 sponsors, or are used in federal grant application packets.

26 **Audit:** A formal examination of an organization's or individual's accounts or financial  
27 situation. An audit may also include examination of compliance with applicable terms,  
28 laws, and regulations.

29 **Broad Agency Announcement (BAA):** An announcement of a federal agency's general  
30 research interests that invites proposals and specifies the general terms and conditions  
31 under which an award may be made.

32 **Budget Period:** The interval of time—usually twelve months—into which the project  
33 period is divided for budgetary and funding purposes. (Also see Project Period.)

1 **Continuation Project (Non-Competing):** A project approved for multiple-year funding,  
2 although funds are typically committed only one year at a time. At the end of the initial  
3 budget period, progress on the project is assessed. If satisfactory, an award is made for  
4 the next budget period, subject to the availability of funds. Continuation projects do not  
5 compete with new project proposals and are not subjected to peer review beyond the  
6 initial project approval.

7 **Contract:** The procurement of a product or service. Typically, the sponsor specifies a  
8 research topic and the methods for conducting the research in detail, although some  
9 sponsors award contracts in response to unsolicited proposals.

10 **Cooperative Agreement:** An award to an organization in the name of a Principal  
11 Investigator to conduct research in cooperation with the sponsor's personnel (usually a  
12 federal agency). Sponsor staff are actively involved in both proposal preparation and  
13 research activities once the award has been made.

14 **Cost-Reimbursement Type Contract/Grant:** A contract/grant for which one party pays  
15 the other party for the full costs incurred in the conduct of the work.

16 **Cost-Sharing:** A general term—used as a noun or adjective—that can describe virtually  
17 any type of arrangement in which more than one party supports research, equipment  
18 acquisition, demonstration projects, programs, institutions. Example: A university  
19 receives a grant for a project estimated to have a total cost of \$100,000. The sponsor  
20 agrees to pay 75% (\$75,000) and the university agrees to pay 25% (\$25,000). The  
21 \$25,000 is the cost-sharing component.

22 **Direct Costs:** Clearly identifiable costs related to a specific project. General categories of  
23 direct costs include but are not limited to salaries and wages, fringe benefits, supplies,  
24 contractual services, travel and communication, equipment, and computer use.

25 **Donation:** Transfer of equipment, money, goods, services, and property with or without  
26 specifications as to its use. Sometimes donation is used to designate contributions that are  
27 made with more specific intent than is usually the case with a gift, but the two terms are  
28 often used interchangeably. **BEFORE APPROACHING INDIVIDUAL DONORS**  
29 **ABOUT GIFTS OR DONATIONS, IT IS IMPERATIVE TO CONTACT AND**  
30 **COORDINATE WITH THE OFFICE OF INSTITUTIONAL ADVANCMENT.**

31 **Endowment:** A fund usually in the form of an income-generating investment, established  
32 to provide long-term support for faculty/research positions (endowed chair).

33 **Expiration Date:** The date signifies the end of the performance period, as indicated on  
34 the Notice of Grant Award.

35 **Extension:** An additional period of time given by the sponsor to an organization for the  
36 completion of work on an approved grants or contract. An extension allows previously  
37 allocated funds to be spent after the original expiration date.

1 **Fiscal Year (FY):** Any twelve-month period for which annual accounts are kept (at  
2 Antioch University New England, June 1 through May 31).

3 **Fixed-Price Contract/Grant:** A contract/grant for which one party pays the other party a  
4 predetermined price, regardless of actual costs, for services rendered.

5 **Funding Cycle:** Range of time during which proposals are accepted, reviewed, and funds  
6 are awarded. If a sponsor has standing proposal review committees (or boards) that meet  
7 at specified times during the year, application deadlines are set to correspond with those  
8 meetings. For some sponsors, if proposals are received too late to be considered in the  
9 current funding cycle, they may be held over for the next review meeting (i.e., National  
10 Science Foundation's Target Dates).

11 **Gift:** Gifts and bequests are awards given with few or no conditions specified. Gifts may  
12 be provided to establish an endowment or to provide direct support for existing programs.  
13 Frequently, gifts are used to support developing programs for which other funding is not  
14 available. The unique flexibility, or lack of restrictions, makes gifts attractive sources of  
15 support. (Also see Donation.) **BEFORE APPROACHING INDIVIDUAL DONORS**  
16 **ABOUT GIFTS OR DONATIONS, IT IS IMPERATIVE TO CONTACT AND**  
17 **COORDINATE WITH THE OFFICE OF INSTITUTIONAL ADVANCMENT.**

18 **Grant:** A financial assistance award to an organization in the name of a Principal  
19 Investigator or Project Director to assist the organization in the conduct of research or  
20 other activities as specified in an approved proposal. A grant—as opposed to a  
21 cooperative agreement—is used whenever the awarding office anticipates no substantial  
22 programmatic involvement with the recipient during the performance of the activities.

23 **In-Kind:** Consisting of other than money. Equipment, materials, or services of  
24 recognized values that are offered in lieu of cash, and dedicated to the particular project  
25 that is described in the proposal.

26 **Indirect Cost Rate:** The rate, expressed as a percentage of a base amount established by  
27 negotiation with the cognizant federal agency on the basis of the institution's projected  
28 costs for the year and distributed as prescribed in OMB Circular A-21. The indirect cost  
29 rate is charged on a set of direct costs known as an indirect cost base. (Also see Modified  
30 Total Direct Costs.) Antioch University New England's current negotiated indirect cost  
31 rate is: 43.0% of direct salaries and wages including vacation, holiday, sick pay and  
32 other paid absences but excluding all other fringe benefits..

33 **Indirect Costs:** Costs related to expenses incurred in conducting or supporting research  
34 or other externally funded activities but not directly attributable to a specific project.  
35 General categories of indirect costs include general administration (accounting, payroll,  
36 purchasing, etc.), sponsored project administration, plant operation and maintenance,  
37 library expenses, departmental administration expenses, depreciation or use allowance for  
38 buildings and equipment, and student administration and services. Also referred to as  
39 overhead or facilities and administration [F&A].



- 1 **Investigator-Initiated Proposal:** A proposal submitted to a sponsor that is not in  
2 response to an RFP, RFA, or a specific program announcement.
- 3 **Matching Grant:** A grant that requires a specified portion of the cost of a supported item  
4 of equipment or project be obtained from other sources. The required match may be more  
5 or less than the amount of the grant. Some matching grants require that the additional  
6 funds be obtained from sources outside the recipient organization. Many matching grants  
7 are paid in installments, the payments coinciding with the attainment of pre-specified  
8 levels of additional funding. (Also see Challenge Grant.) Matching grants are very  
9 common in the sciences, especially for equipment. They are standard practice in some  
10 government agencies.
- 11 **Mission:** A sponsor's stated purpose, which is designed to address a specified set of  
12 problems. Almost all federal research agencies are designated as mission agencies.
- 13 **New and Competing Proposals:** Proposals that are submitted for the first time or  
14 unfunded proposals that are resubmitted; either must compete for research funds.  
15 Ongoing projects must compete again if the term of the original award has expired.
- 16 **Notice of Grant Award:** The legally binding document that serves as a notification to  
17 the recipient and others that a grant or cooperative agreement has been made; contains or  
18 references all terms of the award; and documents the obligation of funds.
- 19 **Pre-Proposal:** A brief description—usually 2-10 pages—of research plans and estimated  
20 budget that is sometimes submitted to determine the interest of a particular sponsor prior  
21 to submission of a formal proposal. Also termed Preliminary Proposal.
- 22 **Principal Investigator/Project Director:** The individual responsible for the conduct of  
23 research or other activity described in a proposal for an award.
- 24 **Program/Project Officer:** A sponsor's designated individual officially responsible for  
25 the technical, scientific, or programmatic aspects of a particular grant, cooperative  
26 agreement, or contract. Serving as the counterpart to the Principal Investigator/project  
27 director of the grantee/contractor organization, the program/project officer deals with the  
28 grantee/contractor organization staff to assure programmatic progress. (Also see  
29 Grant/Contract Officer.)
- 30 **Project Period:** The total time for which support of a project has been programmatically  
31 approved. A project period may consist of one or more budget periods. (Also see Budget  
32 Period.)
- 33 **Proposal:** A complete proposal that contains all information necessary to describe project  
34 plans, staff capabilities, and funds requested. Formal proposals are officially approved  
35 and submitted by an organization in the name of a Principal Investigator.

1 **RFA:** Abbreviation for Request for Applications. RFAs are announcements which  
2 indicate the availability of funds for a topic of specific interest to a sponsor. Proposals  
3 submitted in response to RFAs generally result in the award of a grant. Specific grant  
4 announcements may be published in the Federal Register and/or specific sponsor  
5 publications. (Also see Broad Agency Announcements.)

6 **RFP:** Abbreviation for Request for Proposal. RFPs are announcements that specify a  
7 topic of research, methods to be used, product to be delivered, and appropriate applicants  
8 sought. Proposals submitted in response to RFPs generally result in the award of a  
9 contract. Notices of federal RFPs are published in the Commerce Business Daily.

10 **Stipend:** A payment made to an individual under a fellowship or training grant in  
11 accordance with pre-established levels to provide for the individual's living expenses  
12 during the period of training.

13 **Subcontract, Subgrant, or Subagreement:** A document written under the authority of,  
14 and consistent with the terms and conditions of a prime award (a grant, contract or  
15 cooperative agreement), that transfers a portion of the research or substantive effort of the  
16 prime award to another institution or organization. Antioch may receive a grant and  
17 subcontract with outside entities to perform part of the work, or another grantee may  
18 subcontract with Antioch to perform services specified in the grant.

19 **Terms of Award:** All legal requirements imposed on an agreement by the sponsor,  
20 whether by statute, regulation(s), or terms in the award document. The terms of an  
21 agreement may include both standard and special provisions that are considered  
22 necessary to protect the sponsor's interests.

23 **Total Project costs:** The total allowable direct and indirect costs incurred by the  
24 institution to carry out an approved project or activity.

25 **Unrestricted funds:** Funds having no requirements or restrictions as to use or  
26 disposition. Grants, contracts, and cooperative agreements are considered to be restricted  
27 funds.

28 **Unsolicited Proposal:** Proposals submitted to a sponsor that are not in response to an  
29 RFP, RFA, or program announcement. (See also Investigator-Initiated Proposal.)

30 **501(c)(3) not for profit organization:** IRS designation of a not-for-profit organization;  
31 charitable contributions to such organizations are deductible by the donor. Antioch  
32 University is a private, not-for-profit institution of higher education. IRS certification of  
33 Antioch's not-for-profit status (often required by grant funders) is available in the Grants  
34 Office.

35

1 **CURRENT RATES**

2 **as of October 2007**

3

4 The following are some of the rates that are in effect for the 2007-2008 academic  
5 year:

6

- 7 • Federally negotiated rate for **indirects** : 43.0% of wages and salaries, excluding  
8 benefits
- 9 • Reimbursement **per mile** for use of personal automobile - \$.4055

10 **PROPOSAL ACCEPTANCE AND IMPLEMENTATION**

11 **The Negotiation Process:**

12 The University may be notified that your grant has been recommended for funding, but  
13 be asked to negotiate or defend your budget and possibly other aspects of your plan  
14 before your award is finalized. A budget that has unnecessarily broad categories without  
15 sufficient budget detail will invite further scrutiny and clarification. Keep in mind that it  
16 may be necessary to prioritize or find alternatives for the items in your budget if, for  
17 instance, the full amount of requested funding is not approved. Questions may be raised  
18 about your objectives, proposed activities, your timeline, or your evaluation plan. At this  
19 stage the funding agency wants to be assured that your grant has realistic goals and  
20 objectives and a sound budget before an award letter is issued. You will need to work  
21 closely with Grants and Business Offices during this process to ensure a successful result.

22 **The Award Letter:**

23 Read your award letter carefully. Make sure the amount is correct, the dates are correct,  
24 and that it does not contain any unanticipated obligations. (Example: the award letter  
25 states that you must attend two grantee meetings and that funds to pay for your travel will  
26 come out of your travel budget.) Does it state whether or not you will be able to carry  
27 forward funds from one year to the next? Is there any fine print? Does it contain special

1 provisions that might affect your project? (Example: “Materials produced with...funds  
2 must include a disclaimer...and cite the funding source...and are in the public domain.”)

3 Make copies of the award letter and any attached forms and send it to the Grants Office.

4 The sponsor and the University assume that the project director/principal investigator,  
5 operating within both the policies of the University and sponsor, is responsible for the  
6 programmatic and financial integrity of the project.

7 **The Grants Office Director and Business Office staff will meet with the principal**  
8 **investigator/project director upon the funding of a project to review award terms**  
9 **and conditions. Such items as project reporting, budget limitations and University**  
10 **policy will be discussed. A unique account/cost center will be established for each**  
11 **project and funding period.**

12 You must document all expenditures (with bills, invoices, receipts, etc.) and have a clear  
13 audit trail. If you have to show a match or in-kind contribution as a condition of your  
14 grant, you must also have documentation to back it up.

15 All expenditures should be in line with your approved budget categories.

16 Federal funds must be separated from other sources of funding, so that expenditures and  
17 costs can be clearly tracked. Financial Status Reports must be based on actual  
18 expenditures at the end of the reporting period and cannot be based on estimates or other  
19 methods of projection.

20 You must keep time and effort records for anyone paid out of grant funds; if an  
21 employee's salary is partially paid from the grant, and the employee divides his or her  
22 time between the grant and other duties, then records need to clearly show that  
23 distribution of time.

#### 24 **Program and Budget Modifications**

25 Sponsoring agencies have varying restrictions upon deviations from approved tasks and  
26 budgets. However, reasonable requests for change may be considered as the sponsor is

1 just as concerned with a successful outcome as you are. The Grants Office should be  
2 consulted prior to any requests for a change to the sponsor and should be provided with  
3 copies of any correspondence. The dean should also be consulted and kept abreast of any  
4 such changes.

5 **Reporting**

6 The project director/principal investigator is primarily responsible for complying with all  
7 reporting requirements. Failure to do so can jeopardize future awards to the University.

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Proposal Title \_\_\_\_\_

Date \_\_\_\_\_

## AUTHORIZATION FORM: INSTRUCTIONS

The Authorization Form for Proposals must be completed by the Principal Investigator/Project Director for all proposals or applications submitted to outside organizations for support of research, scholarly activities or other projects which may result in a contract, grant, or other agreement with ANE. A new transmittal form is required each time a proposal is submitted to a potential sponsor (for multi-year projects, this means each year if the sponsor requires an application each year.) The form is used to obtain appropriate internal academic and administrative approvals and provide budget information. For additional information, contact Don Woodhouse, Grants Office Director, at 603-283-2101 or dwoodhouse@antiochne.edu

**A: PROJECT DIRECTOR/CO-DIRECTOR Name:** Enter the name of the person(s) to act in the capacity of Project Director/Co -Director. **Department:** List the academic department or center where the Project Director/Co -Director works. **Phone:** List the Project Director/Co-Director's phone number. **Email Address:** List the Project Director/Co-Director's email address. If a student is the principal investigator, list the faculty advisor as CO-Director.

**B: PROPOSAL TITLE/PROPOSAL DESCRIPTION Proposal Title:** The title of the project as provided in the proposal. **Proposal Description:** Provide a brief description of what the proposal will encompass.

### C: PROPOSAL STATUS/DATES

Check "New" if the proposal is the initial submission. Check "Continuation" for subsequent years of multi-year projects. Check "Supplement" if requesting additional funds for current project. Check "Revision" if you are resubmitting the proposal. **Proposal Project Dates:** List the period of time for the proposal/project.

**D: SPONSOR INFORMATION: Originating Source of Funds:** Indicate the name of the original source of funds, **not necessarily the same as who the proposal is going to.** **Pass Through Entity-** The Corporation, Foundation, or other organization from whom you are requesting the funds when the original funds are from a source outside grantor entity. **Funding Agency:** Indicate the name of the funding agency (normally governmental grants). **Funding Agency Program:** Name the identified program from which the funds are coming. (normally governmental grants)

**Sponsor Type:** List federal, state, county, local government/school district, private (non-profit & individual) or for-profit. CFDA Number required for ALL Federally funded proposals. **Sponsor Deadline:** Date of sponsor's deadline for the proposal. **Electronic/Postmark/Receipt:** Indicate if the deadline is an electronic, postmark or receipt deadline.

### E: ADMINISTRATIVE COMPONENT

**Project Includes/Project Requires/Project Involves:** Check all items included in the proposed project.

### F: PROJECT TYPE

Check type of project proposed. Examples of each are provided below: **Research:** Basic or applied research **Public Service:** Community/public service, continuing education **Academic Support:** Course and curriculum development, teacher training **Student Services:** Counseling and career guidance, social and cultural development, student recruitment **Scholarships/Fellowships:** Scholarships/fellowships

### AWARD TYPE

Indicate type of anticipated award. A brief description of each follows: **Grant:** Typically awarded for projects initiated by the project director, supported by the sponsor and requiring little direct involvement of the sponsor. **Contract:** Typically used for procurement of services and goods. **Sub-Contract:** ANE is the recipient of funding from a sponsor whose prime funding comes from another agency. **Non-Monetary:** Includes donation of services, software and equipment **Fee for Services:** Income for project depends on services provided.

### H: PRINCIPAL INVESTIGATOR(S)/PROJECT DIRECTOR(S) DISCLOSURES AND ASSURANCES

**Project Director/Co-Director Signatures:** All directors involved in this project certify by signing this form. **Department Chair/ Vice President:** All must indicate review and commitment to the requirements of the proposal by signature.

**ANE Approval:** Signatures need to be obtained by the PI.

A signed Proposal Transmittal Form accompanied by a signed Budget Summary Form **must** be provided 5 days prior to the application deadline to allow for the thorough review and submission of the proposal. Contact Grants Office Director for guidance and assistance.

Proposal Title \_\_\_\_\_

Date \_\_\_\_\_

<b>ANTIOCH UNIVERSITY NEW ENGLAND</b>	
<b>AUTHORIZATION TO SEEK EXTERNAL FUNDING AND TRACKING DOCUMENT</b>	
<b>PROJECT DIRECTOR/PRINCIPAL INVESTIGATOR</b>	<b>CO-DIRECTOR/CO-PI /Faculty Advisor</b>
Name: _____	Name: _____
Department: _____	Department: _____
Phone: <b>FAX</b> _____	Phone: _____
Email : _____	Email: _____
<b>PROPOSAL TITLE</b> (Complete Title) _____	
<b>PROPOSAL DESCRIPTION:</b> _____	
<b>PROPOSAL STATUS</b>	
<input type="checkbox"/> New <input type="checkbox"/> Continuation <input type="checkbox"/> Supplement <input type="checkbox"/> Revision   Grantor Ref/Contr.# _____	
<b>PROJECT PERIOD:</b> Start Date ___/___/___      End Date ___/___/___	
<b>SPONSOR INFORMATION</b> <b>Funding Source Contact</b> _____ <b>Phone</b> _____	
<b>Originating Source of funds:</b> _____	
<b>Pass through Entity:</b> _____	
<b>Funding Agency:</b> _____	
<b>Funding Agency Program:</b> _____ <b>CFDA No.:</b> _____ <b>Federal Only</b>	
<b>Sponsor Type:</b> <input type="checkbox"/> Federal <input type="checkbox"/> State <input type="checkbox"/> Local Government <input type="checkbox"/> Foundation	
<input type="checkbox"/> Other _____	
<b>Deadline for Submitting Proposal:</b> <u>N/A</u> ___/___/___ <input type="checkbox"/> Postmark <input type="checkbox"/> Receipt <input type="checkbox"/> Electronic	
<b>Date Submitted</b> ___/___/___ <b>Date Awarded</b> ___/___/___ <b>Date Rejected</b> ___/___/___	
<b>PROJECT TYPE</b>	
<input type="checkbox"/> Research <input type="checkbox"/> Student Service <input type="checkbox"/> Public Service <input type="checkbox"/> Scholarships/Fellowships <input type="checkbox"/> Instruction	
<input type="checkbox"/> Academic Support <input type="checkbox"/> Other _____	
<b>AWARD TYPE</b>	
<input type="checkbox"/> Grant <input type="checkbox"/> Contract <input type="checkbox"/> Cooperative Agreement	
<b>ADMINISTRATIVE COMPONENT</b> <b>AMOUNT PROPOSED</b> _____	
<b>PLEASE CHECK EACH ITEM THAT APPLIES BELOW</b>	
<input type="checkbox"/> Use of biohazards or radioactive materials <input type="checkbox"/> Use of human subjects <input type="checkbox"/> Use of vertebrate Animals	
<input type="checkbox"/> Subcontracts <input type="checkbox"/> Other _____	
<b>SUPPORT OF OTHER DEPARTMENTS (include anything shown as match or in-kind)</b>	
<b>Facilities:</b> <input type="checkbox"/> Additional space on or off campus <input type="checkbox"/> Facility alterations or renovations	
<b>Human Resources:</b> <input type="checkbox"/> Graduate Assistantships <input type="checkbox"/> New Hire of Faculty/Staff <input type="checkbox"/> Overload/Overtime	
Supplemental pay type: <input type="checkbox"/> Released time <input type="checkbox"/> Summer School Pay <input type="checkbox"/> Stipend or Dual Compensation	
<b>(Important: Must complete "Personnel Request Form" if any boxes are checked in HR Section)</b>	
<b>Business Office/Finance:</b> <input type="checkbox"/> Subcontracts	
<input type="checkbox"/> Unusual technological demands <input type="checkbox"/> Tuition/Fee Waivers (Requires completed waiver request form)	
<input type="checkbox"/> Indirect Requested %/\$ _____      Maximum Indirect permitted by grantor: _____	
<input type="checkbox"/> Indirect cost waiver or reduction   (Requires completed waiver request form)	
<input type="checkbox"/> In-kind Match (List&Amt) <input type="checkbox"/> External Matches: <input type="checkbox"/> ANE Matching Funds	
<b>(If ANY type of match is to be provided, complete "Matching Funds Form")</b>	

Proposal Title \_\_\_\_\_

Date \_\_\_\_\_

**PRINCIPAL INVESTIGATOR(S) DISCLOSURES AND ASSURANCES**

By signing below, I certify that:

1) The attached proposal (i) is complete in its technical content, (ii) adheres to the rules of proper scholarship, including specifically the proper attribution and citation for all text and graphics, (iii) is in accordance with specifications established by the sponsoring agency.

2) If the attached proposal is funded by the Sponsor and accepted by Antioch University New England, I will be fully responsible for meeting the requirements of the award, including providing the proper stewardship of sponsored funds and submitting all required technical reports and deliverables on a timely basis, in accordance with Federal policy or contractual terms.

3) If the proposed activity involves the use of human subjects, human materials, vertebrate animals, biohazards, or radioactive materials, I understand it will be necessary to obtain appropriate review and approval before initiating the project.

4) Financial Integrity:

I disclose "significant financial interest" related to this grant application. A letter explaining the relationship of the interest(s) to the grant application are contained in the attached sealed envelope.

I have "no significant financial interest(s)" to disclose in relation to this grant application. It is my understanding that a current disclosure form with all required financial interest(s) reported must be on file with Antioch University New England. If a current Form is not on file with ANE at the time of proposal submission, I agree to submit the form immediately upon notification of the award.

5) I am not delinquent on any federal debt; I am not presently debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded from current transactions by any federal department agency; I have not and will not lobby any federal agency on behalf of this award; I am aware of and agree to abide by the following University policies: Drug Free Work Place Policy, Conflict of Interest Policy and the Research Integrity Policy.

6) I acknowledge the Antioch University policy regarding intellectual property and sponsored research.

These statements are accurate, complete, and truthful to the best of my knowledge and belief.

PROJECT DIRECTOR      DATE

CO-DIRECTOR/FACULTY ADVISOR      DATE

DEPARTMENT CHAIR      DATE

Signature indicates general approval of technical merit, allocation of space/resources, instructional reassignments, salary arrangements, fiscal budgeting, administrative obligations, and cognizance of any risks. Signature also verifies that all costs, including employee benefits and indirect costs are provided for and that proposed matching funds are available and can be satisfactorily documented.

**APPROVALS**

GRANTS OFFICE DIRECTOR      DATE

VICE PRESIDENT FOR ACADEMIC AFFAIRS      DATE

VICE PRESIDENT FOR FINANCE AND ADMINISTRATION      DATE

VICE PRESIDENT FOR INSTITUTIONAL ADVANCEMENT      DATE

PRESIDENT      DATE



Proposal Title \_\_\_\_\_

Date \_\_\_\_\_

### Personnel Request Form

Costs Include:

Set Amount	Credit Hours	% of time	Type of Pay	Dates of Service	Funding Source for Benefits	Employee Name (if known) And/Or Position

(Pay Types: \_\_\_\_\_)

If a grant requires personnel costs to be calculated at replacement cost at a lower level, it should be so noted.

### MATCHING FUNDS FORM

Required by Grantor Agency % or \$	ANE In-Kind	ANE Cash Outlay	ANE Funding Source Dept //Cost Center	List Other Outside Sources
	\$	\$		

Funding Source Approved by: \_\_\_\_\_

### INDIRECT WAIVER/REDUCTION REQUEST FORM

Reduction of Indirect Cost       Reduction of Tuition and/or Fees

Amount and Reason for request: \_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

Vice President for Finance and Administration: \_\_\_\_\_

Vice President of Academic Affairs: \_\_\_\_\_

President: \_\_\_\_\_