INTRODUCTION

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

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

603-283-2101
dwoodhouse@antiochne.edu

WHAT IS A SPONSORED PROGRAM?

“Sponsored Programs” are projects or programs conducted by faculty, staff or students that are supported in whole or in part by externally restricted funds awarded to the University through a contract, a grant, or a cooperative agreement (see Glossary). Sponsored programs may support research, instruction, or service. By the very nature of
sponsored programs, Antioch has obligations to the funding agency, typically spelled out in the program announcement, the grant proposal or bid, and/or the award letter. While awards are usually made based on a proposal prepared by an individual or a team of faculty members, the University, as the formal grant recipient, has ultimate programmatic and fiscal responsibility and accountability for the project. For this reason, internal review and approval are essential before proposals are submitted to outside agencies. Only the President (or the formally designated representative) has authority to sign a grant proposal or a contract bid on behalf of Antioch University New England.

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

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

- Protection of Human Subjects/IRB
- Conflict of Interest
- Copyrights and Inventions

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

- Monitoring and disseminating information about funding opportunities.
- Researching potential funding sources upon request from faculty or staff.
- Providing proposal writing resources.
- Presenting workshops on proposal writing and related topics.
Working with the Business Office and other University entities to finalize grant award contracts, agreements, and memoranda of understanding.

- Contacting funding agencies about proposed projects.
- Working with Project Directors/Principal Investigators to develop proposals.
- Helping complete federal and state forms.
- Providing information about applicable policies, procedures, and agreements with federal agencies.
- Help with preparing, and reviewing, draft proposals and budgets.
- Verifying all matching or cost-sharing agreements.
- Coordinating the internal review and approval process.
- Providing supporting documents (e.g. financial statements, proof of non-profit status, list of Board Members, and the like), insuring that all required forms and information are present, and mailing proposals to funding agencies.
- Assisting with proposal revisions and budget negotiations, if necessary.
- Requesting reviewers’ comments and reasons for non-funding.
- Assisting with the preparation and submission of final reports.
- Facilitating access to FastLane, Grants.gov, NIH eRA Commons, and other electronic grant application portals

GRANT DEVELOPMENT, PREPARATION, AND SUBMISSION

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

- Is the proposed project consistent with, and will it support or advance the mission, values and core beliefs of Antioch New England? and:
  - the mission, direction, and goals of the respective department?
Does the proposed project provide opportunities for student learning and participation?

Projects that meet each of these criteria are then considered in terms of their effects on day to day operations and the extent of activities that may be displaced or re-assigned. It is recognized and accepted that grant funded projects, like other scholarly or research activities, may require reassignment or replacement of individual faculty members for the duration of the grant. The precise mechanism for replacing faculty members’ time or department responsibilities will be determined on a case by case basis within the department. Similarly, mechanisms for compensating faculty for work on grant funded activities will be determined on a case by case.

After a faculty member receives endorsement and approval to proceed with a grant application at the department level, the institutional review process requires that completed grant proposals also be reviewed and endorsed by the department chair and each of the campus vice presidents to insure that it is both programmatically and financially consistent with ANE’s goals.

Proposed projects should:

- Be consistent with the Department’s and ANE’s mission, values and strategic plan.
- Support the institution’s goals of excellent teaching, research, and public service.
- Contribute to scholarship and knowledge.
- Provide opportunities for student learning and involvement.
- Comply with all Antioch University, ANE, federal, state, local government, and granting agency regulations, policies, and directives that pertain to, among other things:
  - Affirmative action and equal opportunity
  - Civil rights compliance
  - Protection of human subjects
  - Protection of animal welfare
Faculty and staff are encouraged to make preliminary contact with potential grantsors in order to verify congruence with the funder’s granting priorities, to obtain grant guidelines or to discuss possible projects by telephone, e-mail, office visit, letter of inquiry, or by a preliminary proposal. Please send informational copies of any letters of intent or preliminary proposals to the Grants Office. *Please note, however, that you may not commit or bind Antioch University New England in any way, or enter into any formal agreement without the express authorization of the President or his designated representative.*

**PROPOSAL FORMAT**

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

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

Accurate and timely data to describe the institution and to document the need for the proposed research project or program are essential elements of competitive proposals;
University resources that can help you obtain these data include the Grants Office and the Public Relations Office. Factual information and data that describe the organization, mission and characteristics of Antioch New England and its students are available from the Grants Office, as are copies of other proposals.

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

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

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

**Budget Development**

Research and program budgets typically include several categories of expenses; these are direct costs, such as personnel, equipment, travel, supplies, and the like which are needed to carry out the project, and indirect costs which reflect very real but less
visible overhead costs to the institution of supporting research and grant sponsored
programs, such as building maintenance, utilities, telephone and computer services,
administrative support, accounting, and the like. Some grant funding agencies do not
award indirect costs, or limit the amount of indirect costs. Except in cases where indirect
costs are not accepted by the funding agency, all funding requests should include both
direct and indirect costs. Proposals which do not request indirect costs, when
available, require a Waiver of Indirect Costs, approved by the President. A copy of
the request for Waiver of Indirect Costs is available on-line and attached to this manual in
the Appendices.

DIRECT COSTS

Direct costs typically include the following categories:

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

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

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

All contracts, letters of agreement, or memoranda of understanding with
consultants or other outside vendors must be reviewed by the business office before they are signed. Sample memoranda of agreement are available from the Grants Office.

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

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

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

Subcontracts: If any of the work is to be completed by another institution or company, identify the organization by name and indicate the total anticipated cost. The subcontractor must provide a letter of intent indicating the willingness of the organization to enter into a subcontract with the University. If the grant is awarded, all subcontracts
and memoranda of understanding must be reviewed by the Finance Office and signed by
the President.

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

**INDIRECT COSTS**

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

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

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

- **50%** to the ANE General Fund
- **50%** to the Department from which the proposal originated; the

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

**COST SHARING/MATCHING FUNDS/IN-KIND**
Some agencies and foundations require the institution to demonstrate its commitment to a project by sharing in the total cost of the project. Two kinds of matching funds exist—“hard” matching funds and “soft” matching funds. A hard match is an actual cash match from ANE’s own general operating funds. A soft match, also known as an *in-kind* contribution, refers to services, supplies, office or classroom space, computer services, personnel, equipment, and the like that may be furnished by ANE *specifically to support* the grant project. The Department Chair, the Vice President for Academic Affairs, and the Vice President for Finance and Administration must all approve matching funds and designate whether these funds are budgeted or how they will be raised. The Grants Office can help assign a dollar value, if necessary, to these in-kind services (but note that in-kind services committed to a specific grant project must be accounted for as such).

**INTERNAL REVIEW**

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

A *grant routing form* is provided in the appendices to serve both as a checklist to help you consider key elements of a proposal, and as a means to document the approval of key ANE personnel. Proposals should be approved first by the Department Chair, then submitted to the Grants Office Director who will route them to the Vice President for Academic Affairs, the Vice President for Finance and Administration, the Vice President for Institutional Advancement, and ultimately to the President for signature. *The President will not sign proposals that have not first been reviewed first by these people.*
“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.
All expenditures must occur during the project dates approved by the funding agency according to the approved budget line items and the schedule of activities outlined in the proposal narrative.

All expenditures must be in accordance with Antioch University, ANE, state, and federal guidelines in effect during the granting/contracting period and with any special terms and conditions imposed by the funding agency.

Any change to the distribution of awarded funds must conform to the policies of the funding agency and ANE. Budget revisions must be approved and processed through the Grants Office and the Business Office and approved by the funding agency.

Equipment purchases, rentals, and maintenance agreements under grants/contracts must be coordinated through the Business Office. Ample time must be allowed for any bid requirements. It must be clearly written in the contract or grant proposal as to whether any equipment purchased through a grant/contract is to be retained by the University or returned to the grantor/contractor at the end of the funding period. Arrangements for maintenance agreements should also be considered as part of the budget when grant funds are to be used for equipment purchases or rentals.

Under certain conditions, funding agencies allow a project extension beyond the approved project period if no additional funds are required. Most funding agencies require a request for extension 45 days prior to the termination date of the grant. Unless an extension is authorized, the grant will be closed on the date specified in the grant contract and the Grants Accountant will refund any balances of unobligated funds to the funding agency.

Whenever budgets are over-spent, deficits will be deducted from the indirect funds allocated to the project director and/or the division.

ROLE OF THE GRANTS ACCOUNTANT/BUSINESS OFFICE
In accordance with the requirements of the funding agency, the Grants Accountant will:

- Prepare required financial reports.
- Invoice the funding agency.
Coordinate the close out process.
Coordinate any financial audits required by the funding agency.
Monitor expenditures for compliance.

WHO SHOULD I CALL...

If I plan to include human subjects in my research?
    Dr. Kevin Lyness
    Chair, Institutional Review Board, Extension
    283-2149

If my grant includes a temporary grant-funded employee?
    Kathy Curtiss, Human Resources Director

If I need the current reimbursement rates for mileage, lodging, meals, or other travel related expenses?
    Don Woodhouse, 283-2101  dwoodhouse@antiochne.edu

If I need information about the management of my grant budget?
    Billie Stark, 283-2117

GLOSSARY

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

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

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

Budget Period: The interval of time—usually twelve months—into which the project period is divided for budgetary and funding purposes. (Also see Project Period.)
Continuation Project (Non-Competing): A project approved for multiple-year funding, although funds are typically committed only one year at a time. At the end of the initial budget period, progress on the project is assessed. If satisfactory, an award is made for the next budget period, subject to the availability of funds. Continuation projects do not compete with new project proposals and are not subjected to peer review beyond the initial project approval.

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

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

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

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

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

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

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

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

Extension: An additional period of time given by the sponsor to an organization for the completion of work on an approved grants or contract. An extension allows previously allocated funds to be spent after the original expiration date.
**Fiscal Year (FY)**: Any twelve-month period for which annual accounts are kept (at Antioch University New England, June 1 through May 31).

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

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

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

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

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

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

**Indirect Costs**: Costs related to expenses incurred in conducting or supporting research or other externally funded activities but not directly attributable to a specific project. General categories of indirect costs include general administration (accounting, payroll, purchasing, etc.), sponsored project administration, plant operation and maintenance, library expenses, departmental administration expenses, depreciation or use allowance for buildings and equipment, and student administration and services. Also referred to as overhead or facilities and administration [F&A].
**Investigator-Initiated Proposal**: A proposal submitted to a sponsor that is not in response to an RFP, RFA, or a specific program announcement.

**Matching Grant**: A grant that requires a specified portion of the cost of a supported item of equipment or project be obtained from other sources. The required match may be more or less than the amount of the grant. Some matching grants require that the additional funds be obtained from sources outside the recipient organization. Many matching grants are paid in installments, the payments coinciding with the attainment of pre-specified levels of additional funding. (Also see Challenge Grant.) Matching grants are very common in the sciences, especially for equipment. They are standard practice in some government agencies.

**Mission**: A sponsor’s stated purpose, which is designed to address a specified set of problems. Almost all federal research agencies are designated as mission agencies.

**New and Competing Proposals**: Proposals that are submitted for the first time or unfunded proposals that are resubmitted; either must compete for research funds. Ongoing projects must compete again if the term of the original award has expired.

**Notice of Grant Award**: The legally binding document that serves as a notification to the recipient and others that a grant or cooperative agreement has been made; contains or references all terms of the award; and documents the obligation of funds.

**Pre-Proposal**: A brief description—usually 2-10 pages—of research plans and estimated budget that is sometimes submitted to determine the interest of a particular sponsor prior to submission of a formal proposal. Also termed Preliminary Proposal.

**Principal Investigator/Project Director**: The individual responsible for the conduct of research or other activity described in a proposal for an award.

**Program/Project Officer**: A sponsor’s designated individual officially responsible for the technical, scientific, or programmatic aspects of a particular grant, cooperative agreement, or contract. Serving as the counterpart to the Principal Investigator/project director of the grantee/contractor organization, the program/project officer deals with the grantee/contractor organization staff to assure programmatic progress. (Also see Grant/Contract Officer.)

**Project Period**: The total time for which support of a project has been programmatically approved. A project period may consist of one or more budget periods. (Also see Budget Period.)

**Proposal**: A complete proposal that contains all information necessary to describe project plans, staff capabilities, and funds requested. Formal proposals are officially approved and submitted by an organization in the name of a Principal Investigator.
**RFA:** Abbreviation for Request for Applications. RFAs are announcements which indicate the availability of funds for a topic of specific interest to a sponsor. Proposals submitted in response to RFAs generally result in the award of a grant. Specific grant announcements may be published in the Federal Register and/or specific sponsor publications. (Also see Broad Agency Announcements.)

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

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

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

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

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

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

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

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

as of October 2007

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

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

PROPOSAL ACCEPTANCE AND IMPLEMENTATION

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

The Award Letter:
Read your award letter carefully. Make sure the amount is correct, the dates are correct, and that it does not contain any unanticipated obligations. (Example: the award letter states that you must attend two grantee meetings and that funds to pay for your travel will come out of your travel budget.) Does it state whether or not you will be able to carry forward funds from one year to the next? Is there any fine print? Does it contain special
provisions that might affect your project? (Example: “Materials produced with...funds must include a disclaimer...and cite the funding source...and are in the public domain.”)

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

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

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

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

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

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

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

Program and Budget Modifications

Sponsoring agencies have varying restrictions upon deviations from approved tasks and budgets. However, reasonable requests for change may be considered as the sponsor is
just as concerned with a successful outcome as you are. The Grants Office should be consulted prior to any requests for a change to the sponsor and should be provided with copies of any correspondence. The dean should also be consulted and kept abreast of any such changes.

**Reporting**

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

Form Revised 10-10-07
**ANTIOCH UNIVERSITY NEW ENGLAND**

**AUTHORIZATION TO SEEK EXTERNAL FUNDING AND TRACKING DOCUMENT**

<table>
<thead>
<tr>
<th>Project Director/Principal Investigator</th>
<th>Co-Director/Co-PI /Faculty Advisor</th>
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<tbody>
<tr>
<td>Name:</td>
<td>Name:</td>
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<td>Department:</td>
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<td>Phone:</td>
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<td>Email:</td>
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**PROPOSAL TITLE** (Complete Title)

______________________________

**PROPOSAL DESCRIPTION**

______________________________

**PROPOSAL STATUS**

- [ ] New
- [ ] Continuation
- [ ] Supplement
- [ ] Revision
- Grantor Ref/Contract.

**PROJECT PERIOD:**

Start Date: __/__/___
End Date: __/__/___

**SPONSOR INFORMATION**

- Funding Source Contact: ___________________________
- Phone: ___________

**Originating Source of Funds:**

______________________________

**Pass through Entity:**

______________________________

**Funding Agency:**

- Funding Agency Program: ____________________________
- CFDA No: __________
- Federal Only: [ ]

**Sponsor Type:**

- [ ] Federal
- [ ] State
- [ ] Local Government
- [ ] Foundation
- [ ] Other

**Deadline for Submitting Proposal:**

- [ ] N/A
- [ ] Postmark
- [ ] Receipt
- [ ] Electronic

Date Submitted: __/__/___
Date Awarded: __/__/___
Date Rejected: __/__/___

**PROJECT TYPE**

- [ ] Research
- [ ] Student Service
- [ ] Public Service
- [ ] Scholarships/Fellowships
- [ ] Instruction
- [ ] Academic Support
- [ ] Other

**AWARD TYPE**

- [ ] Grant
- [ ] Contract
- [ ] Cooperative Agreement

**ADMINISTRATIVE COMPONENT**

**AMOUNT PROPOSED**

______________________________

**PLEASE CHECK EACH ITEM THAT APPLIES BELOW**

- [ ] Use of biohazards or radioactive materials
- [ ] Use of human subjects
- [ ] Use of vertebrate Animals
- [ ] Subcontracts
- [ ] Other

**SUPPORT OF OTHER DEPARTMENTS** (include anything shown as match or in-kind)

**Facilities:**

- [ ] Additional space on or off campus
- [ ] Facility alterations or renovations

**Human Resources:**

- [ ] Graduate Assistantships
- [ ] New Hire of Faculty/Staff
- [ ] Overload/Overtime

Supplemental pay type:

- [ ] Released time
- [ ] Summer School Pay
- [ ] Stipend or Dual Compensation

(Important: Must complete “Personnel Request Form” if any boxes are checked in HR Section)

**Business Office/Finance:**

- [ ] Unusual technological demands
- [ ] Tuition/fee Waivers (Requires completed waiver request form)
- [ ] Indirect Requested %/$
- [ ] Maximum Indirect permitted by grantor:
- [ ] Indirect cost waiver or reduction (Requires completed waiver request form)
- [ ] In-kind Match (List & Amt)
- [ ] External Matches: ANE Matching Funds

(If ANY type of match is to be provided, complete “Matching Funds Form”)
**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.

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<th>PROJECT DIRECTOR</th>
<th>DATE</th>
<th>CO-DIRECTOR/FACULTY ADVISOR</th>
<th>DATE</th>
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<th>DEPARTMENT CHAIR</th>
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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**

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<th>GRANTS OFFICE DIRECTOR</th>
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<th>VICE PRESIDENT FOR ACADEMIC AFFAIRS</th>
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<th>VICE PRESIDENT FOR FINANCE AND ADMINISTRATION</th>
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Personnel Request Form

Costs Include:

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

<table>
<thead>
<tr>
<th>Required by Grantor Agency % or $</th>
<th>ANE In-Kind</th>
<th>ANE Cash Outlay</th>
<th>ANE Funding Source Dept //Cost Center</th>
<th>List Other Outside Sources</th>
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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: __________________________________________

Form Revised 10-10-07