

EXTERNAL GRANT APPLICATION CHECKLIST

Applying for grants from federal and/or private sources, as well as administering those received, requires a significant time commitment by the faculty member(s) involved. Therefore, faculty are encouraged to think in advance about whether they have, or are willing to find, the time necessary to devote to the proposed project. **Faculty are advised to begin planning grant projects at least three to six months prior to the application deadline.** It is suggested that the following checklist be used as a guideline; each stage represents a valuable opportunity to gather information that will help us establish and reinforce a network of successful grant applicants across campus.

- Initial consultation with the Grants Program Administrator or Corporate, Foundation and Sponsored Research Staff.***

Faculty are encouraged to consult with the Grants Program Administrator and/or the staff of the Corporate, Foundation and Sponsored Research Office. The purpose of this step is to allow the potential grant applicant to discuss the broad outlines of his/her professional development project, to identify potential sources of funding, and to engage in preliminary discussions about any cost-sharing (*i.e.* institutional matching funds) that might be involved. By means of this consultation, the applicant and the administrator or development officer will be better able to develop a project plan and timetable and, perhaps most importantly, to anticipate agency deadlines. For the purposes of maintaining grants history on campus, the program administrator and office of development keep records of all initial consultations.
- Preparation of the Grant Application***

Applicants are encouraged to consult with other faculty members, and especially with their Department Chairs, as they prepare their grant applications. As with all stages of the process, the program administrator is available as a resource during grant preparation. In the case of federal grants, applicants are strongly encouraged to contact the appropriate program officer directly for suggestions and advice on the proposed project and to ensure a full understanding of the grant program guidelines. Because the requirements of private funders vary widely, applicants should contact the development office at the outset of a project to determine who will serve as the liaison with the funding organization.
- Budget Preparation & Approval***

All grant budgets should be prepared in consultation with the program administrator and development office. All federal applications—particularly those involving cost-sharing and indirect costs—should also involve the budget administrator. The program administrator must approve all external grant budgets; the budget administrator must review and approve all federal grant budgets.
- Completed Application and Approval***

As stated above, the Provost office must approve all grant applications prior to submission to external institutions; this includes explicit approval of proposal narrative as well as the budget. Faculty are advised that all external grant applications, regardless of their scope, reflect on the institution as a whole and affect the college's reputation among

its peers and among grantmakers. Thus, any application that the Provost office deems inappropriate or substandard in content or formatting will not be approved for submission. Approval is also contingent on the level of institutional commitment required for the project and whether the project comports with institutional priorities and needs. Faculty are further required to certify that their application is in compliance with the college's financial disclosure/conflict of interest policy and, if applicable, with the U.S. Public Health Service's standards for the protection, care, and welfare of human and animal research subjects.

- Submission of the grant application (see attached) with required university signatures.***
Please note that all grant applications to external institutions must be filed in duplicate, with one copy deposited in the Provost Office and one copy in the Office of Development. A copy of the grant budget must be provided to the budget administrator.

- Feedback and revisions (if necessary)***
Feedback from external institutions is obviously of specific value to the applicant, as it typically takes the form of approval or denial of an application, or of a request for revisions. To the extent that such feedback, whether positive or negative, helps us to understand the priorities and idiosyncrasies of a given grant-making institution, it can be valuable to the faculty and campus as a whole. For that reason, applicants are encouraged to keep records of their correspondence with external institutions, to file those records with their applications, and to discuss their correspondence with the program administrator and/or appropriate colleagues. In all cases, revisions to applications must be approved by the Provost Office prior to resubmission.

A note on electronic submissions: For many federal agencies and private foundations, electronic submission of proposals is preferred and in some cases (such as the NSF) it is now required. For NSF applications, the entire proposal must be prepared and reviewed electronically prior to submission using forms and directions provided by the NSF Fastlane website; at the time of submission an "electronic signature" from a designated institutional authority is added and transmission of the document to the NSF is effected immediately.

A note on the role of the development office: The corporate, foundation and sponsored research staff in the Office of Development is available to faculty who would like assistance in preparing grant applications to federal and private grantmakers. Typically, this assistance includes gathering application forms and grant guidelines via the Internet or US Mail; providing advice on the format and organization of the proposal narrative, in particular, assessing the responsiveness of the narrative to the specific program guidelines; proofreading and editing proposal narrative; and researching and compiling institutional data required in the application guidelines. Faculty should understand that the CFSR staff cannot be responsible for drafting core sections of a project narrative, nor can they be responsible for writing project reports after a grant is awarded. Exceptions to these general guidelines can and will be made based on the following criteria: 1) the grant experience of the faculty member applying, 2) the scope of the proposed project, 3) the existing workload of the CFSR staff, and 4) the potential funding source.

GRANT AWARD IMPLEMENTATION CHECKLIST

- Grant Implementation***
Once a grant application is funded, applicants are required to meet with Director of CFSR and the Grant Budget Administrator to set up a Lawrence account for grant budget tracking and to establish a timetable for interim and final reports. Oftentimes, report timetables are determined by the funder.

- Progress Reports***
Interim and final grant (and budget) reports should be submitted in a timely fashion according to the grant report deadlines. Copies of all reports should be submitted in duplicate—one to the Provost Office and the other to the Office of Development.

A note on post-grant follow up: Successful grant applicants will be requested periodically to take part in grants workshops on campus. It is the hope and expectation of the Provost's Office that, by relying on such individuals as faculty resources, we can establish a visible and beneficial network of successful applicants throughout the college.

GLOSSARY OF COMMON GRANT TERMINOLOGY

Direct Costs: Direct costs are those that can be identified specifically with a particular sponsored project, an instructional activity, or any other institutional activity, or that can be directly and clearly assigned to such activities. In short, they are clear, quantifiable costs associated with the project. Typical examples include salary and benefits of faculty members and other personnel associated directly with the project, essential equipment for the project, project supplies used solely for the project, consultant fees, travel, and maintenance agreements related to equipment.

Indirect Costs (Overhead): These are costs that are incurred for common or joint objectives and therefore cannot be readily identified with a specific project or activity of an organization. Typical examples of indirect cost items are the costs of operating and maintaining facilities, local telephone service, office supplies, and accounting and legal services. Indirect costs are computed by applying a federally negotiated indirect cost rate to a distribution base that includes the salaries and wages of the project. Lawrence's negotiated rate is 62 percent.

Institutional Background (a.k.a. "boilerplate"): A one-half to one page statement that outlines the college's history, recent awards, academic programs, demographic make-up of faculty and staff, and financial stability, it constitutes an introduction about the institution for most proposals. Most private organizations and many federal agencies request a brief statement of this sort and it is suggested that faculty use the text provided on the Provost and Dean of the Faculty website (updated annually) in full or abbreviated form in any grant application requesting background information about Lawrence.

Fringe Benefits: Fringe benefits may include contributions for Social Security, employee insurance, pension plans, etc. Only those benefits that are not included in an organization's indirect cost pool may be shown as direct costs. Also, fringe benefits for clerical, administrative, and part-time personnel may be calculated at different rates than for employees on academic year appointments. Lawrence uses a standard rate of 28% of annual salary to calculate benefits.

Unallowable Costs: Applies almost exclusively to federal grants and prohibits the use of funding for costs related to meals (if not part of a project-sponsored activity), entertainment, and alcoholic beverages.

Certification Regarding Conflict of Interest: For federal grant applications, the Principal Investigator (P.I.) is required to certify that the institution has implemented and is enforcing a written policy on conflicts of interest. Any conflicts of interests that do exist must be shown to be prior to the institution's expenditure of funds under the federal award or the conflict must be managed, reduced, or eliminated.

Certification Regarding Human or Animal Subjects: For any projects involving research on human or animal subjects, prior authorization must be obtained by the Institutional Review Board, managed by the Director of Research Administration (Bill Skinner).

RESOURCES

The Provost and Dean of the Faculty Office website, “Grant and Faculty Development Information” (http://www.lawrence.edu/dept/faculty_dean/dev/), includes Internet links to many websites that can assist you in your grantseeking efforts. The page includes links to federal grant agencies, grant writing resources and tips, and searchable grants databases.

Contact People

Grants Program Administrator:	Nancy Wall Associate Dean of the Faculty	x7360
Director of Corporate, Foundation and Sponsored Research Support	Beth Giese	x7486
Associate Director of Corporate, Foundation and Sponsored Research Support	Jenna Stone	x6819
Grants Budget Administrator	Lori Glynn Controller	x6543