

**Mennonite College
Of
Nursing
At
Illinois State University**

**Grant Preparation,
Submission, &
Management
Manual**

Content compiled by Jennie Collings, MPH, Program Associate, Doctoral Program Grant

Created on 07/11/2007

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Mennonite College of Nursing
Office of Research and Scholarly Activities
(ORSA)

www.mcn.ilstu.edu/faculty_staff/research/index.shtml (6/25/07)

The purpose of the Office of Research and Scholarly Activities is to facilitate faculty/student research in the area of Health Decision-making in Health Promotion and Disease Prevention that will significantly improve the health of the public across health care settings.

ORSA works closely with the University Research and Sponsored Programs Office at Illinois State University during proposal preparation, managing grant funding and ensuring high standards are followed in all phases of the research process. Additionally, ORSA works closely with the University Institutional Review Board (IRB) and Mennonite College of Nursing Department IRB representatives to maintain a record of all research protocols to assure adherence to Federal Regulations and protection of human participants in research.

Interdisciplinary efforts in research and collaboration with community and service partners are supported by ORSA with the goal of improving the health of individuals, families and communities.

A semi-annual newsletter, *ORSA Info*, is distributed in August and January of each year. The newsletter contains information about research activities, upcoming opportunities and events, feedback on requests from faculty and staff and important dates to remember.

ORSA Staff

Director:

Dr. Brenda Recchia Jeffers, brjeffe@ilstu.edu , 438-2349

- Oversees all aspects of research and scholarly activities at Mennonite College of Nursing

Administration:

Jennie Collings, Program Associate, Collaborative Doctoral Program, jccolli@ilstu.edu , 438-7210

- Assists in identifying funding opportunities for faculty, staff and students, and coordinates research and scholarship training.

Michelle Hopkins, Secretary, Office of Research and Scholarly Activities, mlhopki@ilstu.edu 438-2463

- Assists with preparing documents & completing forms for proposal submission, develops bio-sketches from CVs

Other Research Related Assistance at MCN

Consultation:

Dr. Sara Campbell, Interim Dean, slcampb2@ilstu.edu , 438-2205

- Fellowships and space needs

Dr. Brenda Jeffers, Director, Graduate Program, Research & Scholarly Activities, brjeffe@ilstu.edu , 438-2349

- Research plans and funding needs

Financial Guidance:

Diane Folken, Associate Director, Business and Finance, dmfolke@ilstu.edu , 438-2247

- Assists with preparation of research project budgets, post-award budget management, & financial reporting.

Melissa Bevins, Staff Clerk, mabevin@ilstu.edu , 438-3143

- Coordinates process for new hires, reviews/processes payment documents, administers personnel recruitment process

Media/Public Relations:

Amy Irving, Associate Director, Public Relations, amirvin@ilstu.edu , 438-7418

- Assists in developing and distributing information about College achievements; can help create publications such as newsletter, brochures, & other documents

**Illinois State University
Research and Sponsored Programs Office
(RSP)**

<http://www.rsp.ilstu.edu/> (retrieved 07/01/07)

The mission of Research and Sponsored Programs is to support and facilitate faculty, staff, students, and the community in their instructional, creative, research, and public service efforts. This support includes technical assistance, oversight of sponsored programs, guidance, and assurance of institutional regulatory compliance.

RSP SERVICES FALL INTO THESE CATEGORIES:

Sponsored Project Development

RSP works closely with the college research coordinators to assist and support faculty and staff in identifying funding sources and facilitating proposal development. RSP is dedicated to building interdisciplinary, innovative faculty/staff research teams and linking faculty research agendas to the most appropriate funding sources.

Contact: Ed Mason, Associate Director, cemason@ilstu.edu

Grant Submissions/Grant Agreements/Contract

This department serves as the liaison with external funding sources. The staff oversees pre-and post-award processes including grant submissions, contract development, grant administration, data collection and reporting. Some of the pre-award functions of RSP include assistance with reviewing and approving proposals; copying, mailing, or electronically submitting proposals; and negotiating terms and conditions for contract and grants. RSP also logs and tracks all submissions and awards for the University. Some of the post-award, non-financial functions of this area involve monitoring progress and reporting requirements, handling intellectual property and patent requirements, re-budgeting approvals; preparing and monitoring consulting and subcontracting agreements; approving no-cost extensions and requests for increased and supplemental funding; and coordinating and monitoring closeout activities.

Contacts: Janet Goucher, Assistant Director of Research, jgouche@ilstu.edu , Cathy Kelly, Research Compliance Specialist, cakelly@ilstu.edu , Janis Swanton, Specialist in Grants and Contract Development, jswanton@ilstu.edu , and Kathleen Lacroix, Submissions and Data Clerk, kmlacro@ilstu.edu

Research Education and Compliance

RSP oversees the administration of and adherence to federal regulations for research involving human subjects and animals. All research involving human subjects must be reviewed and approved by the Institutional Review Board (IRB), and animal research must be reviewed and approved by the Institutional Animal Care and Use Committee (IACUC). RSP also facilitates other institutional compliance policies such as scientific misconduct. A variety of training and communication initiatives are sponsored by RSP each semester. These include IRB, IACUC, and sponsored projects training workshops; on-line training modules; a periodic newsletter; working with the college research coordinators on grant writing workshops; participating in new-faculty orientation activities.

Each College also has an IRB representative; Mary Dyck is the representative for MCN. PIs should direct questions to Mary first, and use her as a guide for ensuring the appropriate steps for approval are taken. Typically, IRB approval is not required until after funding has been awarded.

Contacts: Joe Casto, Assistant Director of Research, jmcasto@ilstu.edu , 438-2520, Mary Dyck, Assistant Professor, mjdyck@ilstu.edu , 438-2547

STEP #1: FIND A FUNDING OPPORTUNITY

The sample timeline at the following link gives you an idea of how much time is typically required for the entire process of finding an opportunity, planning, writing and submitting.

http://www.niaid.nih.gov/ncn/grants/charts/timeline_prep.htm (Retrieved 07/01/07)

You will find information about each stage of the process at MCN in steps #1, #2, #3, and #4 of this manual.

Types of Funding

External

Federal

National Institutes of Health (NIH)

The NIH, comprising 27 separate Institutes and Centers, is one of eight health agencies of the Public Health Service which, in turn, is part of the U.S. Department of Health and Human Services. The goal of NIH research is to acquire new knowledge to help prevent, detect, diagnose, and treat disease and disability, from the rarest genetic disorder to the common cold. (www.nih.gov/icdl/). (Retrieved 07/01/07)

National Institute of Nursing Research (NINR)

The mission of NINR is to promote and improve the health of individuals, families, communities, and populations. As part of NIH, NINR supports clinical and basic research and research training on health and illness across the lifespan. (www.ninr.nih.gov) (Retrieved 07/01/07)

U.S. Department of Education (DOE)

The Department of Education's mission is to ensure equal access to education and to promote educational excellence throughout the nation. This organization funds adult education, research and development, statistics gathering, and assessment. (www.ed.gov) (Retrieved 07/01/07)

Health Resources & Services Administration (HRSA)

The Health Resources and Services Administration (HRSA), an agency of the U.S. Department of Health and Human Services, is the primary Federal agency for improving access to health care services for people who are uninsured, isolated or medically vulnerable.

(<http://www.hrsa.gov/grants/default.htm>) (Retrieved 07/01/07)

The Agency for Health care Research and Quality (AHRQ)

The mission of this agency is to improve the quality, safety, efficiency, and effectiveness of health care for all Americans. (www.ahrq.gov) (Retrieved 07/01/07)

Centers for Disease Control and Prevention (CDC)

Research conducted and supported by CDC remains closely integrated with public health services, programs, and responses. (<http://www.cdc.gov/CDCForYou/researchers.html>) (Retrieved 07/01/07)

Foundation & Professional Organizations

Many professional organizations and foundations maintain a list of funding opportunities on their web sites, and some provide opportunities to subscribe to funding notices on these sites.

Examples:

- CRISP <http://crisp.cit.nih.gov/> (Retrieved 07/01/07)
- Sigma Theta Tau www.nursingsociety.org (Retrieved 07/01/07)
- Midwest Nursing Research Society www.mnrs.org (Retrieved 07/01/07)
- Gerontological Society of America www.geron.org (Retrieved 07/01/07)
- American Nurses Foundation www.nursingworld.org/anf/ (Retrieved 07/01/07)
- American Academy of Nursing www.aannet.org (Retrieved 07/01/07)

Internal

While external funding is the ultimate goal, the University and College provide many internal funding opportunities to help support faculty research interests. Details about University and College awards can be found on the faculty (V) shared drive in the University and College scholarships folder. In addition, ORSA maintains a reference table, MCN Faculty Research & Scholarship Award Opportunities, complete with all internal award opportunities for research, scholarship, and teaching. A copy of this table is located in **Appendix A**.

Reviewing the RSP web page on a regular basis will help keep you informed of award cycles and eligibility. (http://www.rsp.ilstu.edu/internal_grant/) (Retrieved 07/01/07)

Searching for Opportunities

The MCN (http://www.mcn.ilstu.edu/faculty_staff/research/get_funded.shtml) (07/01/07) and RSP (http://www.rsp.ilstu.edu/external_funding/) (07/01/07) web sites provide numerous links to funding agencies. You will find a list of the links provided on these web sites in **Appendix A**.

The following people at MCN can help you identify funding opportunities:

Name	Assistance Provided	Contact Information
Dr. Brenda Jeffers	<ul style="list-style-type: none">- Discuss your 5 year plan for research- Forward funding announcements as they become available- Share insight on the type of funding that will help you move forward with your program of research	309-438-2349 brjeffe@ilstu.edu
Jennie Collings	<ul style="list-style-type: none">- Meet with you to discuss your research plans- Actively search for opportunities that fit your interests- Forward announcements as they become available- Post announcements on the ORSA bulletin board	309-438-7210 jccolli@ilstu.edu

Researchers at ISU have access to **IRIS** and **infoED (SPIN)** to conduct individualized searches for funding opportunities. You can subscribe to these search engines on the RSP web page at: http://www.rsp.ilstu.edu/external_funding/ (07/01/07)

IRIS:

- Performs general or fine-tuned searches
- Searches by subject and keyword
- User may enter a profile tailored to their interests
- Search results e-mailed directly to you
- Search results posted on web with notice to researcher

infoED:

Combines the following:

- SPIN, a funding opportunity database
- GENIUS, a flexible CV/Bio-Sketch database
- SMARTS, an automated alerts system that matches investigators with grant and contract announcements based on their profile

Appendix A provides directions for using SPIN and GENIUS.

Finding an opportunity is one thing, evaluating whether or not it's the right one for you is another. The document *Analyzing Requests for Proposals (RFP)* in **Appendix A** provides information that will help you decipher funding announcements and determine whether or not it matches your research ideas.

Collaborating with Other Investigators

ISU Research/Creativity Profile System:

Illinois State University maintains a research collaboration database that identifies faculty on campus with similar research interests. The purpose of the ISU Research/Creativity Profile system is to facilitate inter-disciplinary collaborative research work among faculty and staff at ISU.

To participate in the collaboration, faculty enter information about their research/creativity interests by entering research/creativity keywords, representative publications or books or exhibitions or performances, representative grants received, projects they are currently working on, etc. This helps other faculty determine whether there is a possibility of collaborative research work.

Adding your profile to this system only takes a few minutes and could result in great opportunities. The link to creativity profile system is <http://research.uro.ilstu.edu/research/register/register.html> (07/01/07)

After You Find a Funding Opportunity:

- Meet with the Dean or Associate Dean
 - Discuss the substance and merit of the grant
 - Discuss potential workload release (see release time form in Appendix D)
 - Talk about how the grant relates to the budget, the salaries and employment of present and proposed personnel
 - Identify any other aspect of the proposal that may affect the teaching, research, and use of space and facilities of the College and the University
- Meet with the Director of Research and Scholarly Activities and the College Research Coordinator (CRC).
 - Discuss the feasibility of applying for the grant selected
 - Review the funding agency guidelines/application process
 - Discuss budget allowances and limitations
 - Identify IRB requirements

STEP #2: CREATING YOUR PROPOSAL

Now that you have found the perfect funding opportunity, it's time to start pulling your proposal together. The following steps will help you prepare for writing your proposal

- Call the Grant Manager or Program Officer identified on the funding announcement to talk about your idea and whether or not it is a good fit with the opportunity. Funding organizations want to award their money and are typically very helpful in assisting you through the development of your proposal. RSP offers funding to meet with project managers through the Travel Award Program. You can view the details at (http://www.rsp.ilstu.edu/internal_grant/travel_award_program/travel_guidelines.shtml). (07/01/07)
- Use other faculty member experiences. ORSA keeps copies of all grant applications submitted by faculty at MCN. It will be helpful for you to review applications that were submitted to the agency from which you are seeking funding. Contact Michelle Hopkins for assistance in locating appropriate documents, and the PI for permission to review the documents.
- Review suggestions from funding agencies such as **How to Write a Grant Application** <http://www.niaid.nih.gov/ncn/grants/write/index.htm> (07/01/07)
- Keep in mind the role of the Principal Investigator at ISU which can be found at http://www.rsp.ilstu.edu/grant_writing/pi_policy.shtml (07/01/07)

Grant Writing Tips and Training

There are numerous opportunities within ISU and MCN designed to assist you in developing your grant.

Editor

Dr. Zarina Hock is currently serving as an editor for faculty and graduate students at MCN. She is on campus the last Tuesday of every month from noon – 3:00 p.m. for consulting purposes. Please contact Michelle Hopkins, 438-2463 or mlhopki@ilstu.edu, to schedule an appointment with Dr. Hock.

ORSA Resources

ORSA houses resource materials to aid investigators in grant writing and research development, including statistics software and manuals. All faculty, staff and students are welcome to use the resources on a check-out basis. A complete list of the resources in ORSA is in **Appendix B** and on the research (T) shared drive in the resources folder.

An updated and complete hard copy of the SFR electronic application guide instructions is available in ORSA. Please use this guide to avoid printing the guide multiple times.

Grant Writing Assistance

A grant writing seminar, sponsored by ISU college research coordinators, is conducted every year. Notice of this grant writing seminar, and others hosted by MCN, ISU or other institutions, is posted on the ORSA bulletin board, sent via e-mail, included in the semi-annual ORSA newsletter, and posted on flyers throughout Edwards Hall.

The following links also provide excellent resources:

- Milner Library at ISU www.mlb.ilstu.edu/ressubj/subject/grant.htm (07/01/07)
- RSP Grant-writing Resources www.rsp.ilstu.edu/grant_writing/ (07/01/07)
- University of Wisconsin Grants Information Collection <http://grants.library.wisc.edu/organizations/proposalwebsites.html> (07/01/07)
- *Fundamentals of Grantsmanship* <http://healthlinks.washington.edu/rfs/gw/fundamentals.html> (07/01/07)
- NIH Grant –writing tip sheets http://grants2.nih.gov/grants/grant_tips.htm (07/01/07)
- NIH Regional Seminars on Program Funding and Grant Administration <http://grants2.nih.gov/grants/seminars.htm> (07/01/07)

- Gerontological Nursing Interventions Research Center (GNIRC)
http://www.nursing.uiowa.edu/about_us/nursing_interventions/index.htm (07/01/07)

Other Resources

Brown Bag Lunch

ORSA hosts monthly scholarship brown bag lunches. These events are scheduled from noon – 1:00 p.m. on the fourth Tuesday of every month. This time can be used for mock review of grant proposals and/or publications or to host speakers that address your research needs. Please contact Jennie Collings, 438-7210 or jccolli@ilstu.edu, if you would like to reserve a date and time for your work to be reviewed or if you would like to request a topic.

Literature Searches

A graduate assistant in ORSA is frequently available to assist faculty with literature searches to support their grant writing. Please contact Jennie Collings to schedule time for a graduate assistant to help.

Additionally, Dr. Susan Kossman has created a PubMed search training manual to assist faculty and staff with their work. This manual can be found on the T: (research) drive in the resources folder.

Diane Mather is the Nursing Librarian at Milner Library. She can be contacted at 438-8336 or dmathe@ilstu.edu for assistance with your literature search.

ISU Statistics Services

Project design is a crucial element to ensuring you are collecting the appropriate information, in the correct way, to answer the questions you have identified. Meeting with a statistician during the grant writing phase can help strengthen your program design.

Statistical Consulting Center (SCC) on ISU campus is a service and research unit administratively located in the Milner Library. Its staff provides statistical service to faculty, primary researchers, graduate students and staff of the University. This SCC is the result of a grass roots effort by faculty across the University to work together in an interdisciplinary fashion toward greater statistical support of overall University research efforts, and provide a mechanism to share statistical expertise, software, and reference materials. This service is free to the Illinois State Community. You can contact SCC staff members at www.statscenter.ilstu.edu (07/01/07), 438-2864, or statscenter@ilstu.edu.

ORSA has also developed a relationship with the SIU School of Medicine Statistics Department. If you cannot find the services you need at ISU, contact Jennie Collings to discuss your needs and she will connect you with potential consultants.

University Research Policy and Compliance Information

Information related to the university IRB policy and procedure, required forms, conflict of interest, and research integrity can be found at <http://www.rsp.ilstu.edu/policy/> (07/01/07).

IRB approval is typically **not** required until after funding has been awarded, however, you should review the funding announcement and application directions to confirm the timeline for approval.

MCN Resources and Boiler Plate Information

You can find MCN general resources documents and boiler plate information on the T: (research) shared drive in the resources folder, and in both the ISU and MCN resources folder. General data for use in proposal preparation is located in **Appendix B**.

This information can be added to grant application packages by Michelle Hopkins, 438-2463 or mlhopki@ilstu.edu

Step #3: Budget Planning

ALL grants/contracts awarded to the University MUST follow University regulations, no matter how large or small the award. It is important to start planning your budget by learning the requirements of the agency from which you are seeking funding. Some agencies have different groupings for expenses, limits on indirect costs, and differences in allowable expenses. Because some do not allow budget transfers, it is important to estimate expenses accurately. Keep in mind that other people on campus will need to review your budget so plan accordingly so you can submit your proposal on time.

General Outline for Developing a Budget

- Solidify the aims and objectives for your grant
- List the materials, personnel and percent of time devoted to the grant, services, etc., that will be needed to carry out your plans **see resources below*
- Meet with MCN Associate Director of Technology to discuss technology needs for your grant

Enter information into the budget worksheet supplied by the funding organization. If the agency does not require a specific form you can use the one on the RSP web site at <http://www.rsp.ilstu.edu/forms/> (07/01/07)

- Schedule a meeting with Diane Folken, 438-2247, dmfolke@ilstu.edu , to discuss your budget plan
 - Diane will help you:
 - complete the budget worksheet
 - negotiate terms and conditions for contracts
 - identify effort requirements for personnel
 - calculate indirect cost rates
 - identify allowable expenses
 - address any additional budget needs
 - if applicable, develop a plan to make sure participants are paid in a fair and timely manner, and that you avoid any coercive actions (*this information must be included on IRB and informed consent forms)

NOTE: Please allow at least one week for Diane to review your information

- Schedule another meeting with Diane to discuss her review of your budget

The budget development checklist in **Appendix C** should help you create a comprehensive budget.

Budget Development Resources

The following resources will help you estimate costs for your budget:

- Administrative/Profession (A/P) Salaries:
www.hr.ilstu.edu/hiring_manager/recruitment/ap_title_description_grant.shtml (07/01/07)
NOTE: To hire a grant funded A/P employee, you should be familiar with the titles, levels, and corresponding salary ranges so that appropriate salary considerations can be incorporated into grant proposals and related budgets. Guidelines for externally funded positions and responsibilities are located in **Appendix C**.
- Civil Service (CS) Salaries:
www.hr.ilstu.edu/hiring_manager/classification_compensation/cs_class_comp.shtml (07/01/07)
- Graduate Assistants: http://www.hr.ilstu.edu/managers_toolkit/hiring/ga/ (07/01/07)
- Supplies: on-line search
- Equipment: on-line search
- Travel Rates: http://www.comptroller.ilstu.edu/forms/travel_forms.shtml (07/01/07)
- Computer Services/Purchases: contact MCN technology department staff @438-2637 or jdgrabb@ilstu.edu
- Office Services: estimate from current grants or contact Diane Folken for assistance

- Subcontracts: <http://www.comptroller.ilstu.edu/faculty/grants/Subcontracts.shtml> (07/01/07), secure payment amounts from those who will receive the contract
- Two-party agreements: <http://www.comptroller.ilstu.edu/faculty/grants/TwoPartyAgreements.shtml> (07/01/07), secure payment amounts from those who will receive the contract

ISU Resources and Information to Help You Complete Your Budget

The Grants Accounting area of the Comptroller's Office should also be consulted during the budget development process. Their early involvement in the process will facilitate the final proposal review and can be beneficial in preparing an accurate and competitive budget.

A Grants Accounting staff member must review all proposal budgets prior to submission. A proposal submission form, commonly referred to as a "blue sheet," (**Appendix D**) is the instrument used to acquire this signature of review. The PI should also provide their proposal, budget and justification for review. Included in the review of the budget is a verification that all costs, including indirect costs, are included, that needs are realistically estimated and stated, that fringe benefits are reasonably estimated, and that the items included are not contrary to the policies of the University or the grantor.

The Grants Accounting web site (<http://www.comptroller.ilstu.edu/faculty/grants/index.shtml>) (07/01/07) provides an enormous amount of information that will help you create an accurate budget. Click on the topics on the left side to get additional information.

Grants Accounting: Who to call for....:

Lisa Haas: 438-2267, lahaas2@ilstu.edu

- reviews budgets; builds accounts; budget and expense transfers; monthly report distribution; approves requisitions and purchase orders

Kevin Kelley: 438-3291, kpkelle@ilstu.edu

- reviews budgets, payroll, salary & benefit issues; budget and expense transfers; two party agreements

Barb Rexroat: 438-5694, bjrexro@ilstu.edu

- reviews budgets financial reports; non-personal cost-sharing/matching; sub-contracts; invoices granting agencies; budget and expense transfers; builds and pools accounts

Carolyn Smith: 438-5674, casmith@ilstu.edu

- invoice vouchers

Michele Wilson: 438-5736, mrwilso@ilstu.edu

- reviews budgets; builds accounts; budget and expense transfers; time and effort reporting; IBHE financial reporting; monthly indirect cost entry; closes accounts

Mary Kentzler: 438-329, mekentz@ilstu.edu

- Grants Accounting Director

State Matching Grant (http://www.rsp.ilstu.edu/external_funding/state_match.shtml) (07/01/07)

The goal of this program is to promote submission of grant proposals for basic or applied research which require matching funds as an indication of institutional commitment or where a matching fund commitment will enhance the funding decision.

Criteria:

1. The grant must qualify as either basic or applied research.
2. The funding agency must be classified as federal, corporate, or other. State funding agencies are not allowed.
3. There should be matching funds from the department or college in addition to the funds from this program.
4. Matching funds must be itemized in the proposal submission form, Appendix C (www.rsp.ilstu.edu/forms/) (07/01/07), and referenced in either the proposal budget or narrative.

Guidelines:

(Must be completed PRIOR to proposal submission.)

Faculty should first approach their department or unit and then their dean for matching fund commitments. Faculty should then complete the Request for Matching Funds form (www.rsp.ilstu.edu/external_funding/) (07/01/07) & send or bring to Research and Sponsored Programs, Campus Box 3040, HOV 310 for approval from the Associate Vice President for Research. **After** approval from the AVP/Research, this commitment **must** be included in the budget and/or narrative and itemized on the submission proposal form.

Cost Sharing/Matching Information

<http://www.comptroller.ilstu.edu/faculty/grants/CostShareorMatchingFunds.shtml> (07/01/07)

Cost-Share and matching funds are contributions made to an award from other funds. The contributions must be for expenses that are necessary and reasonable to support the objectives of the award. It can only be from non-federal funds, must be allowable by federal regulations, cannot be used by more than one project, and must be auditable. This could include faculty effort, printing paid from departmental funds, etc.

Cost-share and matching expenses that are included in proposals become "required" cost-share/matching, even if the funding agency doesn't require it, and have to be tracked and verified. An approved Request for Matching Funds Form (RSP Appendix C) **MUST** be included with the RSP form when you submit your proposal.

Departments and Principal Investigators (PIs) must track all required cost-share and be able to document it, if requested by the awarding agency or auditors.

A periodic Cost Share Confirmation report will be sent to the PI per agency and federal requirements, to verify non-payroll expenses. Cost-share/matching that is payroll-related is completed via the [Time & Effort Report](#) (07/01/07).

Criteria for Allow ability

To be considered acceptable as Federal cost sharing or matching costs, contributions to a project:

- Must be verifiable from the University records. Customary documentation is required, i.e. cost sharing derived from contributed effort (salary and wages) must be documented by means of the Time & Effort Reporting system.
- Must not be included or otherwise counted as contributions toward any other Federally-assisted program.
- Must be necessary and reasonable for proper and efficient accomplishment of project objectives.
- Must be types of charges allowable under applicable cost principles.
- Must not be charged to the Federal government directly or indirectly under any other grant or contract.

Contributed Effort (payroll and benefits)

It is advantageous to select items for cost share that are relatively easy to document. One such cost is effort of employees who are supported by non-sponsored funds and will be contributing effort to the project. The appropriate chair, dean, or supervisor must authorize commitment of ISU employees' time to a project. Contributed effort is documented with Time and Effort Reporting. In addition to the individual's time, the University may usually also claim the fringe benefits that it would have earned had that time and effort been charged as a direct cost to the grant.

Other Direct Costs

Other types of cost share, such as matching funds for equipment or supplies, should be discussed with your chair and/or dean. Minimal systems exist to document non-personnel cost share and thus some costs can be burdensome to document (e.g. telephone and printing charges). Contributions towards these other direct costs of a sponsored program are verified through Cost-Sharing Confirmation Reports.

ISU Indirect Costs Policy

http://www.policy.ilstu.edu/fiscal/indirect_cost.html) (07/01/07)

Indirect costs (Facilities and Administration costs or F&A) are University overhead items, such as the maintenance of facilities and general administration. Indirect costs are incurred with every activity in which the University engages.

If the sponsor requires a lower rate or waiver of all indirect costs, the difference between the ISU negotiated rate and the sponsor's allowable rate should be shown as cost share unless the sponsor does not allow it.

Notation of the indirect cost limitation must be provided on the Proposal Submission Form, and documentation of the limitation must be appended to the form.

ISU Indirect Costs Calculations:

- 24.0% to Colleges
- 23.0% to Departments
- 32.2% to the University Research Office
- 9.7% to the Provost's Office
- 8.1% to Sponsored Research Support (Graduate School)
- 3.0% to Milner Library
-
- = 100.0%

Of the 23% allocated to departments, 3% is allocated (within the same RGF account) to the Principal Investigator of the research project. Each departmental Budget Officer receives an annual statement showing how much indirect cost each investigator generated and the 3% allocation that the investigator is entitled to spend from the department's RGF account for grant-related purposes.

STEP #4: SUBMITTING THE PROPOSAL

Applications for NIH, other federal and non-federal grants can vary greatly. Meet with ORSA staff to discuss the requirements and create a plan for submission.

The following steps outline the general process a PI follows to submit a grant application at MCN:

1. Install Pure Edge Viewer (If you are **not** applying electronically, go to step #3)
 - a. Instructions can be found at http://www.grants.gov/applicants/apply_for_grants.jsp (07/01/07)
 - b. You must do this in order to download the application
 - c. Internet Explorer must be the default browser
 - d. PI does NOT register with grants.gov
2. Download grant instructions, and grant application
 - a. Search for application packages at https://apply.grants.gov/forms_apps_idx.html (07/01/07)
 - b. You can search by CFDA number, funding opportunity number, or funding opportunity competition ID

**Note: Steps 1 and 2 are for federal grants that require electronic submission. Steps 3 thru 5 are for all grant applications

3. Schedule a meeting with Michelle Hopkins, 438-2463, mlhopki@ilstu.edu
 - a. Discuss the grant you are applying for and her role in assisting you
 - b. She typically downloads the application packet and instructions also
4. Gather Necessary Forms
 - a. Required forms vary by funding mechanism
 - b. If you are submitting electronically all the required forms will be included with the application package you downloaded in step #2
 - c. If you are not submitting electronically, read the full funding announcement to identify which forms are required
5. Schedule a meeting with Janet Goucher, jgouche@ilstu.edu or 438-7913, to share your plans and arrange for any special needs. You should supply a copy of the funding announcement requirements at this time.
6. As you complete required documents, forward them to Michelle and she will convert them to PDF format and upload them into the application package.
7. A **minimum of six weeks before the submission deadline**, arrange for an external review of your application by a peer.
8. A **minimum of four weeks before the submission deadline**, meet with Diane Folken again to finalize your budget.
9. Make an appointment with the Grant's Accounting office to review and sign-off on your budget. The Grants Accounting area verifies the budget and determines that all costs are included and in compliance with University policy.
10. A **minimum of 3 weeks before the submission deadline**, obtain necessary signatures on the RSP submission form that Michelle will complete. **(Appendix D)**
11. Continue to forward grant information to Michelle
12. Schedule an appointment with RSP to do a final check of the grant before submission.
 - a. Proposals will be processed as quickly as time and conditions permit. **Three to five days are normally required to secure signature authority, permit accurate review by RSP, and for packaging and mailing, so plan accordingly. Five to ten days are required for grants.gov applications.**
13. RSP will:
 - a. evaluate the proposal for conformity with agency guidelines and compliance with regulations

- b. assist faculty in making any necessary copies
- c. forward the application package to the sponsor electronically or my mail

Appendix B contains MCN Grant Submission Processing Checklist and an ISU Pre-award grant process flowchart to help you organize the grant submission process.

You will find a table with NIH Grant application deadlines in **Appendix B** or you can view them at <http://grants.nih.gov/grants/funding/submissionschedule.htm> (07/01/07). For non-NIH opportunities, review the announcement to confirm the application deadline.

Forms

Submission forms will vary depending on the funding mechanism and whether or not you are required to submit electronically or with hard copies. Read the full funding announcement carefully to clarify which forms to use.

- NIH forms and applications, in addition to resource links, can be found at <http://grants2.nih.gov/grants/forms.htm> (07/01/07)
- PHS 398 form can be found at <http://grants2.nih.gov/grants/funding/phs398/phs398.html> (07/01/07)
- SF424 form can be found at <http://grants2.nih.gov/grants/funding/424/index.htm> (07/01/07)

In addition to the funding agency application forms, there are University forms that must be completed for all external funding applications. This includes fellowships and other awards regardless of the amount of money sought.

- RSP forms are available at www.rsp.ilstu.edu (07/01/07), click forms on the left side.
- The first form is required for all submissions.
- Appendices required will vary depending on the nature of the grant.
- You can find samples of the RSP submission form and all of the appendices in **Appendix D**
- Be sure to look for the most recent version on the RSP web page.

Electronic Submission

Each funding announcement will give specific details on how to submit a proposal. For all federal grants that require electronic submission, the application process will go through Grants.gov www.grants.gov (07/01/07). This web site allows you to search for grant opportunities, apply for grants and track your application.

Applying for grants on grants.gov: www.grants.gov/applicants/apply_for_grants.jsp (07/01/07) takes you through the steps required to:

- Download an application
- Complete an application
- Submit an application
- Track the status of your grant application package.

Other federal agencies have additional requirements for registration. For example, HRSA requires applicants to register with HRSA Electronic Hand Books (<http://www.hrsa.gov/grants/default.htm>) (07/01/07).

The University registers as an institution on grants.gov, and submits applications - this process is complete. The PIs **MUST** register on the NIH eRA Commons **BEFORE** the electronic application can be submitted.

- eRA Commons registration can be done as soon as you make the decision to apply for a grant **BUT**
- No later than two weeks before the submission deadline
- To add your name to the list of current PIs from Illinois State University on the NIH Commons database
 - complete the NIH: New PI Registration Sheet (www.rsp.ilstu.edu/forms/NIH_registration.doc (07/01/07) and **Appendix D**)
 - return the completed form to RSP at campus box 3040 or by email as an attachment to jswanton@ilstu.edu .

Once you have completed your application, and all signatures and reviews have been obtained, schedule appointment with RSP to submit your proposal. **Bring the completed application with you on a flash drive.**

The electronic submission process then proceeds in the following way:

- RSP submits to Grants.gov.
 - The application is reviewed
 - If there are no errors on the application and the 424 form AND no viruses are found attached to any of the files it is sent on to the NIH.
 - If either errors or viruses are found it is rejected.
 - There are warnings and there are errors.
 - Errors must be remedied and the application resubmitted.
 - Warnings do not need to be corrected, no resubmission is required.
 - Submissions must be approved by Grants.gov by the deadline.
- NIH – eRA Commons then reviews the application for compliance with NIH business rules.
 - If there are errors they must be corrected and the application resubmitted through Grants.gov.
 - Currently, NIH is allowing 1 week to make corrections.
 - This is only for the transition period & probably won't be continued in subsequent years.
 - You may need to write a justification to receive this time extension.
- Once eRA Commons approves your application an image of the submission will appear on the commons.
 - The submission must be approved & validated by the PI and RSP within 2 days of the image appearing.
 - When you validate it is important to note that you are verifying that you are “intentionally submitting the proposal as is”.
 - No changes, additions, or corrections will be allowed after validation.

You can learn more about the eRA Commons at <http://era.nih.gov> (07/01/07) [/](#).

Electronic submission is still relatively new and consequently results in many challenges. Make sure you plan enough time for error messages/correcting errors when submitting electronically. In general, you should plan to have your proposal ready for submission by RSP a minimum of one week before the deadline.

Reading the funding notice carefully to clarify policies on what the agency considers “late”. “Late rules” are not uniform even within various federal agencies.

ORSA Assistance

Michelle Hopkins will assist you in completing required forms for your application. You must plan with Michelle how you want to coordinate access to the grant application forms.

For electronic submission it is possible for both of you to download the application forms to both of your computers so careful planning is necessary to avoid losing and/or duplicating work. Michelle can upload bio-sketches, any University information and information you forward to her. She also assists in making sure all documents are in the correct format. If you need documents converted to PDF format, please make an appointment with Michelle well in advance to allow sufficient time to complete your request.

STEP #5: NOTIFICATION OF FUNDING STATUS

Funded

Upon notification of funding, carefully review the terms of the award, take note of any restrictions regarding the use of grant funds or documents that you must submit and contact the program manager immediately if you have questions. **The PI is responsible for adhering to the terms of the award.**

Keep a copy of the notice for your records and provide a copy to ORSA. Michelle will file the copy and update your CV and the MCN web site.

The RSP post-award grant process can be found in **Appendix E**.

Ongoing Obligations to Keep in Mind as You Get Started

- Identify and become familiar with any new policy changes
- Understand what changes you can make in your project without approval. **Each funding agency will be different.** Some helpful NIH resources are:
 - [Grantees Can Take Many Actions Independently](http://www.niaid.nih.gov/ncn/grants/manage/manage_e3.htm)
(http://www.niaid.nih.gov/ncn/grants/manage/manage_e3.htm) (07/01/07)
 - [Some Actions Require Our Approval](http://www.niaid.nih.gov/ncn/grants/manage/manage_e4.htm)
(http://www.niaid.nih.gov/ncn/grants/manage/manage_e4.htm) (07/01/07)
 - [Expanded Authorities or Federal Demonstration Partnership SOP](http://www.niaid.nih.gov/ncn/sop/ea.htm)
(<http://www.niaid.nih.gov/ncn/sop/ea.htm>) (07/01/07)
- Obtain IRB approval and prepare for re-approval if necessary.
- Pay attention to how you spend grant funds - pace yourself.

If you received funding from NIH, the **Welcome Wagon Letter** to new investigators provides a wealth of information. <http://grants2.nih.gov/grants/funding/welcomewagon.htm> (07/01/07)

Not Funded

Stay positive! In 2006 only 20% of reviewed research grant applications were funded. But, success increases with attempts.

Spend some time reviewing the critique of your application to gain a good understanding of the strengths and weaknesses. You should gather feedback from the program officer or reviewers of your application, and then meet with Dr. Jeffers to discuss the critique of your application and plan the next course of action.

Liane Reif-Lehrer (Reif-Lehrer, Liane. (2005). *Grant Application Writer's Handbook*. Sudbury, MA: Jones and Bartlett Publishers.) outlines a process for evaluating summary statements from an application that wasn't funded. In addition, the author suggests appropriate steps to take for rebuttal and revisions of your application.

Summary statements ('Pink Sheets')

- Summary Statements combine:
 - The primary Reviewers' report
 - The Readers' comments
 - A summary of the Study Section members' discussion about the proposal
- Ask an experienced, successful grantee to read and "interpret" your Summary Statement
- Before blaming the Reviewers for negative comments about your proposal, ask yourself:
 - Was my choice of problem good – or does the problem per se lack merit?

- Was the significance of my project adequately and clearly explained?
- Did the project match the mandate of the funding agency?
- Was my writing sufficiently clear or did unclear writing mislead the Reviewers?
- Did I do enough homework?
- Should I have enlisted the help of a Collaborator?
- If the Summary Statement is not sufficiently explicit, contact the SRA or Institute program staff. **Never try to contact individual Study Section members!**

What to do if your Application is not funded:

- If your priority score is more than 50 points away from the “payline,” seriously consider:
 - Preparing a totally new proposal
 - Reworking the old proposal for submission to another funding agency
- If your priority score is less than 50 points away from the “payline,” and if you have funds to tide you over for another grant cycle or two, submit a **revised** Application at least once – even twice.

If you prepare a revised Application:

- Get help from the Institute program staff.
- Write an Introduction (not page maximum):
 - Summarize the changes you have made in the proposal.
 - Be responsive to the critique in the Summary Statement but do NOT “argue” with Reviewers.
 - Back up your statements/comments with sound data and references to published work.
 - Do not indulge in “sour grapes” rhetoric.
 - Do not excessively compliment/flatter Reviewers.
 - Do not “ARGUE” with Reviewers!
- Indicate changes in the body of the proposal by bracketing, indenting, or changing typography. *Do not use underlining or shading.*
- Incorporate into the Progress Report/Preliminary Studies, pertinent work done since the prior version of Application was submitted.
- Do **NOT** submit a revised Application unless you have made **substantive** changes.
- Be sure that you submit your revised Application in time for the deadline for submission of revised Applications.

Explore revising and submitting to another funding agency or resubmitting to the same agency. Keep in mind that NIH allows only two resubmissions of the same proposal.

Identify the next feasible application deadline so you can develop a new timeline.

What to Do if You Did Not Succeed: If Your Score Was Not Fundable or You Were Not Scored (http://www.niaid.nih.gov/ncn/grants/basics/basics_g6.htm) (07/01/07) provides additional ideas for moving forward with your plan of research.

STEP #6: HIRING GRANT STAFF

Melissa Bevins, staff clerk for MCN, coordinates advertising for positions, and completes the necessary paperwork once offers have been accepted. When you are ready to start the hiring process, make an appointment with her to insure the appropriate process is followed.

The ISU Office of Human Resources (www.hrilstu.edu) (07/01/07) provides comprehensive services that support the ability of the University to attract, hire, compensate, develop and retain a highly qualified and diverse workforce. The Office of Human Resources is in Room 101 of the Nelson Smith Building just west of Redbird Arena. Hours of operation are Monday-Friday 8:00 a.m. to 4:30 p.m.

Administrative/Professional

These staff members are hired for the purpose of mission support and include a wide range of responsibilities, for example: academic advisors, computer laboratory coordinators, etc. Managerial and executive positions including deans, directors and vice presidents are also in this category.

Prior to extending any offer of employment, the job class title and salary level for the position need to be determined. Minimum qualifications for the job class title must be met by the candidate and no amount less than the minimum salary may be offered.

- Externally funded A/P position job titles and corresponding salary ranges: http://www.hrilstu.edu/hiring_manager/recruitment/ap_title_description_grant.shtml (07/01/07)
- General A/P hiring information: http://www.hrilstu.edu/managers_toolkit/hiring/ (07/01/07)

Civil Service

Civil Service employees are governed by the State Universities Civil Service System. Candidates must demonstrate their ability to perform by passing a test specifically designed for the job. Areas of Civil Service employment are: Office Support, Paraprofessional & Building Service. A 6 month probation period is required.

- Civil Service Positions Forms: http://www.hrilstu.edu/managers_toolkit/hiring/cs/ (07/01/07)

Graduate Assistant Positions

For information on graduate assistant categories visit the graduate handbook:

<http://www.gradilstu.edu/downloads/gahandbook.pdf> (07/01/07) and the GA Appointment Process Manual: http://www.hrilstu.edu/downloads/GA_Appt_Process.pdf (07/01/07)

Each graduate assistant at MCN is required to attend an orientation session and to complete a scientific integrity and academic integrity learning module. This training is to be completed during scheduled work time, within two weeks of hire. Once you have hired a graduate assistant, notify ORSA and the staff will contact the student to schedule an orientation time.

You will be responsible for scheduling work hours with your graduate assistant. You can find a GA work schedule template in **Appendix D**. Melissa Bevins will need a record of that schedule each semester for auditing purposes.

Grant Staff Resources

The Office of Research and Scholarly Activities has developed a grant staff orientation handbook to guide newly hired grant staff through ISU & MCN policies and procedures.

This manual can be found in ORSA on the resource shelves and on the **V drive in the Doctoral Program Grant folder, Grant Staff Information folder**.

STEP #7: MANAGING THE BUDGET

Creating a Grant Account:

RSP is the University's official representative for all grants and contracts. The Comptroller's Office Grants Accounting area works closely with RSP to provide assistance to the University community on grant proposals and administration after awards are received. The Grants Accounting area maintains the financial records. The Grants Accounting area is also responsible for providing accounting information to the fiscal agent, as well as for the completion of all required financial reports.

Grants Accounting Procedures:

- An account number is established when a grant or contract is received by the University.
 - This account number begins with the digits 115xx (the payroll portion begins with 05 and Grants/Datatel uses 115xx).
 - Budgets are posted to this account
 - Expenditures are processed and posted
 - Monthly reports are mailed to the fiscal agent to keep him or her informed of the financial activity.
- For payroll purposes, another account number must be built.
 - Check with Grants Accounting for the number before sending forms to payroll.
- External financial reports are submitted to the various agencies as required. Some grantors require an independent audit.
- If the agency requires an invoice to make payment to the University, the Grants Accounting area completes the invoice.
 - Therefore, the Grants Accounting area collects monies due to the University for grants and contracts.

It is very important to review your budget on a regular basis – monthly is ideal. You will want to schedule time with Diane Folken so she can help you interpret the Datatel report.

Spending Approval

The fiscal agent for the grant must give approval for spending grant funds. The fiscal agent will be designated in the submission forms.

Examples of people who can act as the fiscal agent:

- The Principal Investigator
- Associate Dean
- Dean
- Director of Finance

Keep in mind that the fiscal agent can delegate, or request help for, the actual ordering, completion of paperwork, etc.

MCN Contacts for Purchasing:

- Diane Folken, Assistant Director, Finance, dmfolke@ilstu.edu , 438-2247: major purchases, budget monitoring, travel requests
- Melissa Bevin, mabevin@ilstu.edu , 438-3143: office supplies

Personnel

All grant positions, are paid through the University payroll system.

The federal Office of Management and Budget's Circular A-21

(<http://www.whitehouse.gov/omb/circulars/a021/a021.html>) (07/01/07)

- Requires the documentation of personal services charged to sponsored agreements. Circular A-21
- Requires after-the-fact reporting of the percentage of time each employee spent on all grants and contracts compared to total time (effort).

This reporting requires the signature of the employee, Principal Investigator, or responsible official(s) to confirm that the percentages allocated to each activity represent a reasonable estimate of the work performed. This process is commonly known as "Time and Effort Reporting." The report is prepared by the Comptroller's Office and sent to each department three times per year (fall, spring and summer semesters).

The Time and Effort Report:

- Requires one certification signature for each department – typically the Dean or Department Head signs the certification for the whole department.
- Should reflect how a person spent his or her total time (effort)
 - would not necessarily agree with how the person is paid
 - estimated percentage of time shown should be adjusted if it is significantly different from the actual time spent on a particular activity.

Travel

All travel requests must be approved through an immediate supervisor and the fiscal agent for the grant, and then submitted to Diane Folken. **The Travel/Budget Request Form can be found on the faculty V: drive in the forms folder and in Appendix D of this document.**

This form lets you estimate the expenses associated with your planned travel. You will notice specific rate allowances on this form. If you are attending a conference or meeting that provides set rates, please note that on the form. This form must be completed and approved before any travel arrangements are made.

Upon return from travel, completed travel vouchers with receipts must be submitted to Diane Folken, or Lissa Bevins. Instructions for completing the travel voucher can be found at http://www.comptroller.ilstu.edu/forms/travel_forms.shtml (07/01/07) and in **Appendix D** of this document.

If you would like assistance with completing your travel voucher, there is a form in the second floor workroom that you can complete and then submit to Melissa Bevins, along with receipts. With the information you provide she will fill out your travel voucher.

A completed travel voucher for reimbursement should be submitted within 60 days of returning from travel. If you fail to meet the 60 day timeline the reimbursement will be counted as income and you will be taxed on the reimbursement you are requesting.

You can find detailed information about planning, and reimbursement for, travel in the Grant Staff Handbook located on the V drive and in ORSA.

Budget Transfers

Many funding institutions allow budget transfers within limits. If you are unsure about the policies for transferring money within your budget, contact your grant manager. You must also notify RSP of any financial amendments for confirmation of appropriate steps to take. Once you confirm the transfer policy, you must work with the Grants Accounting staff to complete the transfer in the University system.

Guidelines for University Budget Transfers:

- Budget transfers can only be made by the Grants Accounting staff.

A Blank Budget Transfer Request form can be found in Appendix D or requested from either RSP or Grants Accounting. Instructions for completing a Budget Transfer Request form can be found at http://www.policy.ilstu.edu/fiscal/detailed_instructions_for_budget.htm (07/01/07).

- Budget transfers should be made prior to the expenditure of grant or contract funds.
- The fiscal agent should bring the request to the Grants Accounting area of the Comptroller's Office (Hovey 102, Mail Code 1200) or fax the request to the Comptroller's Office at 309-438-8245 where it is reviewed.
- If it is within the guidelines,
 - the transfer is made
 - the form is signed by the accountant
 - the signed form is forwarded to RSP for their approval.
- RSP gives their approval, if appropriate, and
 - returns the form to the Grants Accounting area,
 - Grants Accounting files the completed form
 - RSP will return a copy of the authorized Budget Transfer Request form to the Principal Investigator.
- Budget transfers will be executed in the accounting system upon authorization of the transfer request.
- Transfers into the equipment line are regulated by most agencies.
 - the purchase of equipment usually requires prior approval from the agency.
 - the equipment must be directly related to the completion of the grant or contract
 - the purchase should occur early in the contract because equipment purchases may be prohibited in the last six months of a grant or contract.
- Transfers into and out of personnel are restricted by most agencies.
- Transfers involving personnel may require prior approval from the agency.
- Sometimes the Grants Accounting area discovers the need for a transfer and asks the fiscal agent to request a transfer.

Step # 8: Reporting

Each funding agency will have specific reporting requirements. If you need assistance deciphering the reporting policy of your funding agency, contact MCN Director of Research and Scholarly Activities, Dr. Jeffers, or Assistant Director of University Research, Janet Goucher.

Examples of Reporting Requirements:

- NIH institutes require annual progress reports two months before the beginning date of the next budget period.
- AHRQ & HRSA require progress reports on specific calendar dates.
- Other agencies may vary greatly.

NIH continuation, reporting and closeout forms can be found at <http://grants2.nih.gov/grants/forms.htm> (07/01/07)

It is your responsibility as the PI to fulfill reporting requirements. For every report submitted, a copy should be sent to RSP and to ORSA and you should keep one for your records as well.

Reporting Resources

RSP Grant Reporting Assistance:

- Monitor grant progress
- Monitor reporting requirements,
- Monitor patent requirements
- Coordinate re-budgeting approvals
- Prepare and monitor consulting and subcontracting agreements
- Approve no-cost extensions
- Approve requests for increased funding
- Coordinate and monitor closeout activities.

MCN Grant Reporting Assistance:

- Diane Folken can help you with
 - No-cost extensions and requests
 - Closeout activities
 - Grants with expanded authority

Appendix A: Funding Information

- Funding Opportunity Links Located On MCN And/Or ISU Web Pages
- Research & Sponsored Programs: External Funding Search Information
- Funding Opportunities & Guidelines for Some Selected Types of NIH Grant Programs
- Major Grant Activities NIH Uses to Fund Extramural Research
- Funding Avenues, Instruments and Activities for Extramural Research
- NIH Standard Due Dates for Competing Applications
- Analyzing Grant Applications – RFPs
- MCN and ISU Faculty Research and Scholarship Award Opportunities
- Instructions for Using SPIN and GENIUS
- Four Simple Rules for Finding Funding
- NIH Definitions

FUNDING OPPORTUNITY LINKS LOCATED ON MCN AND/OR ISU WEBPAGES

National Institutes of Health (NIH) and Office of Extramural Research (OER)

- [NIH Home Page](#) (07/01/07)
- [NIH Guide for Grants and Contracts](#) (07/01/07)
- [NIH Grants Policy Statement](#) (07/01/07)
- [Request for Applications](#) (07/01/07)
- [Program Announcements](#) (07/01/07)
- [National Institute of Nursing Research](#) (07/01/07)
- [PHS 398](#) (07/01/07)
- [NIH Forms](#) (07/01/07)
- [NIH Phone Directory \(http://orf2.od.nih.gov/orfphones.asp?division=OD\)](http://orf2.od.nih.gov/orfphones.asp?division=OD) (07/01/07)
- [NIH Frequently Asked Questions \(http://www.nih.gov/about/Faqs.htm\)](http://www.nih.gov/about/Faqs.htm) (07/01/07)
- [Center for Scientific Review](#) (07/01/07)
- [NIH Award Data](#) (07/01/07)

Web Resources for National Institutes of Health (NIH) Grants

- [CRISP-NIH funded studies](#) (07/01/07)
- [NIH 5 review criteria](#) (07/01/07)
- [NIH Office of Extramural Research](#) (07/01/07)
- [Important NIH definitions](#) (07/01/07)
- [NIH policy regarding documentation of IRB approval](#) (07/01/07)

Milner Library Resource Links

- [Milner Library](#) (07/01/07)
- [Milner Library Nursing Resources \(http://www.library.ilstu.edu/page/619\)](http://www.library.ilstu.edu/page/619) (07/01/07)
- [Milner Library Research Grant Information](#) (07/01/07)

Internal Resources

- [University Research Grant Program \(URG\);](#)
http://www.rsp.ilstu.edu/internal_grant/urg_univ_guidelines.pdf (07/01/07)
 - [University Research Grant Guidelines;](#)
http://www.rsp.ilstu.edu/internal_grant/evaluation_criteria.shtml (07/01/07)
 - [University Research Grant Application Forms;](#)
http://www.rsp.ilstu.edu/internal_grant/ri_app_instruction&form.pdf (07/01/07)
 - [Calendar for Submission;](#) http://www.rsp.ilstu.edu/internal_grant/urg_timeline.shtml (07/01/07)
- [New Investigator Award](#) (07/10/07)
 - [New Investigator Award Cover Sheet](#) (07/10/07)
 - [New Investigator Award Professional Outcome Form](#) (07/10/07)
 - Calendar for submission follows that of URG
- [Research and Sponsored Programs](#) (07/01/07)
- [IRB Forms](#) (07/01/07)
- [General Data Used in Proposal Preparation](#) (07/01/07)

External Resources

- [Agency for Healthcare Research & Quality \(AHRQ\)](#) (07/01/07)
- [American Cancer Society \(ACS\)](#) (07/01/07)

- [American Nurses Foundation](#) (07/01/07)
- [Association for Gerontology in Higher Education](#) (07/10/07)
- [CancerNet](#) (07/01/07)
- [Cancer Research Foundation \(CRFA\)](#) (07/01/07)
- [Cancer Research Institute](#) (07/01/07)
- [Center for Disease Control \(CDC\)](#) (07/01/07)
- [The Commonwealth Fund](#) (07/01/07)
- [Community of Science\(COS\)](#) (07/01/07)
- [The Foundation Center](#) (07/01/07)
- [Helene Fuld Health Trust](#) (07/01/07)
- [Illinois Researcher Information Services \(IRIS\)](#) (07/01/07)
- [Jacobs Institute of Women's Health](#) (07/01/07)
- [Komen Breast Cancer Foundation](#) (07/01/07)
- [Midwest Nursing Research Society \(MNRS\)](#) (07/01/07)
- [National Center for Health Statistics \(NCHS\)](#) (07/01/07)
- [National Institutes of Health](#) (07/01/07)
- [National Institute of Nursing Research \(NINR\)](#) (07/01/07)
- [National Institute of Health/Office of Research on Women's Health](#) (07/01/07)
- [National Institute of Mental Health \(NIMH\)](#) (07/01/07)
- [Retirement Research Foundation](#) (07/01/07)
- [Robert Wood Johnson Foundation \(RWJ\)](#) (07/01/07)
- [Sigma Theta Tau International](#) (07/01/07)
- [U.S. Department of Health and Human Services \(DHHS\)](#) (07/01/07)
- [U.S. Health Resources and Services Administration \(HRSA\)](#) (07/01/07)
- [World Health Organization \(WHO\)](#) (07/01/07)

External Funding Search Information

Federal Funding Sources

- [Grants.Gov](#) (07/01/07) - developed in partnership with 11 agencies.
- [National Science Foundation](#) (07/01/07)
- [National Institute of Health](#) (07/01/07)
- [National Endowment for the Arts](#) (07/01/07)
- [National Endowment for the Humanities](#) (07/01/07)
- [National Register](#) (07/01/07)
- [Department of Education](#) (07/01/07)
- [GrantsNet](#) (07/01/07) (Department of Health and Human Services)
- [Government Nonprofit Gateway](#) (07/01/07)
- [United States Agency for International Development](#) (07/01/07)

State Funding Sources (Illinois)

- [Illinois Board of Higher Education](#) (07/01/07)
- [State Board of Education](#) (07/01/07)
- [Department of Agriculture](#) (07/01/07)
- [Department of Commerce and Community Affairs](#) (07/01/07)
- [Office of the Governor](#) (07/01/07)
- [Department of Human Services](#) (07/01/07)
- [Central Management Services](#) (07/01/07)
- [Department of Public Health](#) (07/01/07)

Private Funding Sources

- [Foundation Center](#) (07/01/07)
- [Council on Foundations](#) (07/01/07)
- [National Networks for Grant Makers](#) (07/01/07)
- [The Grantsmanship Center](#) (07/01/07)

Search Engines

- [AltaVista](#) (07/01/07)
- [Google](#) (07/01/07)
- [Excite](#) (07/01/07)
- [Infoseek](#) (07/01/07)
- [WebCrawler](#) (07/01/07)

E-Mail Subscriptions

- [Foundation Center](#) (07/01/07)

[Illinois Research Information Service](#) (07/01/07)

Funding Opportunities and Guidelines for Some Selected Types of NIH Grant Programs.

See the [Activity and Organization Codes and Program Definitions](#) (07/01/07) (PDF) for a brief definition of all NIH Grant Programs. Also see the [Funding Opportunities and Notices](#) (07/01/07) page for a comprehensive list of NIH funding opportunities & the [Advanced Search](#) (07/01/07) page to search funding opportunities for a specific grant type ["Activity Code(s)" drop-down box], as well as other selected criteria.

Research Grant Programs	
R01	NIH Research Project Grant Program (R01)
R03	NIH Small Grant Program (R03)
R13 & U13	NIH Support for Conferences and Scientific Meetings (R13 and U13)
R15	NIH Academic Research Enhancement Award (AREA) Grants - (R15)
R21	NIH Exploratory/Developmental Research Grant Award (R21)
R34	NIH Clinical Trial Planning Grant (R34) Program
R56	NIH High Priority, Short-Term Project Award (R56)
New Investigators Program	
K99/R00	NIH Pathway to Independence (PI) Award (K99/R00) Also see, New Investigators Program (07/01/07) web page.
Multiple Principal Investigators	
Multiple PIs	Multiple Principal Investigators web page with associated funding opportunities.
Modular Grant Applications	
Modular Applications	Modular Research Grant Applications
Research Supplemental Programs	
Diversity Supplements	Research Supplements to Promote Diversity in Health-Related Research
Ruth L. Kirschstein National Research Service Awards (NRSA)	
T32	Institutional Research Training Grants (T32)
T35	Short-Term Institutional Research Training Grants (T35)
F30	Individual Predoctoral Awards For M.D. /PH.D. Fellowships (F30)
F31	Individual Predoctoral Fellowship Minority Students (F31)
F31	Individual Predoctoral Fellowship Students w/Disabilities (F31)
F31	Individual Predoctoral Fellowship (F31)
F32	Individual Postdoctoral Fellowships (F32)
F33	Senior Fellowships (F33)

Research Ethics and Training Grant Programs	
T15	Short-Term Courses in Research Ethics (T15) (Note: Program Announcement expired March 13, 2004)
T90	Training for a New Interdisciplinary Research Workforce (T90) (Note: RFA application receipt date was March 10, 2004)
NIH Career Development (K) Awards	
K Kiosk	Information about NIH Career Development Awards
Small Business Awards	
SBIR/STTR	Small Business Funding Opportunities Web Page
Other Programs	
BECON	NIH Bioengineering Consortium (BECON)
BISTI	Biomedical Information Science and Technology Initiative (BISTI)
Ethical Issues in Human Studies	Research on Ethical Issues in Human Studies
IDeA	Institutional Development Awards (IDeA)
PECASE	Presidential Early Career Award for Scientists & Engineers (PECASE) Program with listing of NIH Recipients since 1996
Roadmap	NIH Roadmap Initiatives
Blueprint	NIH Blueprint for Neuroscience Research
S07	Human Subjects Research Enhancement Awards (HSREA)

Related Resources

- [Activity and Organization Codes and Program Definitions](#) (07/01/07) (PDF) - Definitions for all NIH Grant Programs
- [Glossary of NIH Terms](#) (07/01/07) - Definitions of NIH terms.
- [NIH Acronym List](#) (07/01/07) - Full Names of NIH acronyms and abbreviations.
- [Grants Policy and Guidance](#) (07/01/07) - NIH Grants Policy Statements, Policy Notices & Policy Guidance Documents.
- [Peer Review Policy and Issues](#) (07/01/07) - NIH Peer Review Practices, Guidelines and Related Policy Documents.

Table 1. Major Grant Activities NIH Uses to Fund Extramural Research

Activity	Description
Research Grants	
Traditional Research Project Grant (R01)	Research Project Grants are awarded to eligible institutions on behalf of a principal investigator to support a discrete project related to the investigator's area of interest and competence. These grants make up the largest category of NIH funding.
Small Research Grant (R03) http://grants.nih.gov/grants/funding/r03.htm	Small Research Grants support small research projects that can be carried out in a short period of time with limited resources for projects such as pilot or feasibility studies; secondary analysis of existing data; development of research methodology and/or technology. Not all ICs accept R03 applications.
Academic Research Enhancement Award (AREA) (R15) http://grants.nih.gov/grants/funding/area.htm	Academic Research Enhancement Awards provide support to scientists at eligible domestic institutions for small-scale health related research projects, such as pilot research projects and feasibility studies; development, testing, and refinement of research techniques; and similar discrete research projects that demonstrate research capability. Award is directed toward those smaller public and private colleges and universities that provide undergraduate training for a significant number of the U.S. research scientists.
Exploratory/Developmental Research Grant (R21/R33) http://grants.nih.gov/grants/funding/r21.htm	Exploratory/Development Research Grants seek to broaden the base of inquiry in fundamental biomedical research by encouraging applications for research projects that involve an especially high degree of innovations and novelty. NIH provides pilot-scale support for potentially ground-breaking ideas and methods that meet the following criteria: they lack sufficient preliminary data for feasibility to be established, their successful demonstration would have a major impact on biomedical research, and they fall within the areas supported by the awarding I/C. Not all ICs accept R21/R33 applications.
Small Business Innovation Research Grant (SBIR: R43/R44) Small Business Technology Transfer Grant (STTR: R41/R42) http://grants.nih.gov/grants/funding/sbir.htm	SBIR and STTR grants are made to be eligible domestic for-profit small business concerns conducting innovative research that has the potential for commercialization.
Program Project Grant (P01)	Program Project Grants are more complex in scope and budget than the individual basic research (R01) grant. While R01s are awarded to support the work of one principal investigator who, with supporting staff, is addressing a scientific problem, program project grants are available to a group of several investigators with differing areas of expertise who wish to collaborate in research by pooling their talents and resources. Program project grants represent synergistic research programs that are designed to achieve results not attainable by investigators working independently. Not all ICs accept P01 applications.
Research Center Grant (P50/P60)	Research Center Grants serve varying scientific and IC-specific purposes, but they have elements in common. The grants are multidisciplinary in scope and may focus more on an area or discipline of science than on a specific theme or goal. Independent investigators direct the projects and cores. Center grants offer a greater opportunity for scientific interactions and overall progress than with individually-funded projects. Not all ICs accept P50/P60 applications.
Scientific Meeting Support (R13) http://grants.nih.gov/grants/funding/r13/index.htm	NIH provides support for scientific meetings, conferences, and workshops that are relevant to its scientific mission. Any U.S. institution or organization, including an established scientific or professional society, is eligible to apply.

Standard Due Dates for Competing Applications

Note: The tables below only include the most commonly used mechanisms.

On This Page: [\[Notices\]](#) [\[Application Due Dates\]](#) [\[Review & Award Cycles\]](#) [\[Submission Policies\]](#)

Notices

- [Change in Standing Receipt Dates for AIDS and AIDS-related applications for NIH/AHRQ Beginning in May 2007](#) (07/01/07)
- [Transition Plans and Delay in Transition of K, F, T and Complex Grant Programs](#) (07/01/07)
- [Change in Standing Receipt Dates for NIH/AHRQ/NIOSH Beginning in January 2007](#) (07/01/07)
- [Parent Announcements](#) (07/01/07) - For applicants who wish to submit what were formerly termed "unsolicited" or "investigator-initiated" applications.
- [NIH Transition Plan](#) (07/01/07) (PDF - 44 KB) - complete listing of transition dates to electronic applications.
- **AIDS and AIDS-related** applications for all mechanisms are submitted on the [AIDS and AIDS-related dates](#) (07/01/07).
- **RFAs and some PARs** have special receipt dates indicated in the specific NIH Guide Announcement.
- **Change in Terminology:** The move to electronic applications has brought a change in terminology.

The new Grants.gov terminology (included in the table above) corresponds to the traditional NIH terms as follows:

New = New

Renewal = Competing Continuation

Resubmission = Revised or Amended

Revision = Competing Supplement

Application Due Dates

Mechanism(s)	Program Description	Application Form	Cycle I Due Date	Cycle II Due Date	Cycle III Due Date
P Series <i>All - new, renewal, resubmission, revision</i>	Program Project Grants and Center Grants NOTE: Applicants should check with the relevant Institute or Center (IC), since some do not accept P series applications three times a year. Transition to SF424 (R&R): On Hold	PHS 398	January 25	May 25	September 25
R18/U18 R25	Research Demonstration Education Projects	SF424 (R&R)	January 25	May 25	September 25

<i>All - new, renewal, resubmission, revision</i>					
T Series D Series <i>All - new, renewal, resubmission, revision</i>	Institutional National Research Service Awards Other Training Grants NOTE: Applicants should check with the relevant Institute or Center (IC), since some do not accept T series applications three times a year. Transition to SF424 (R&R): On Hold	PHS 398	January 25	May 25	September 25
C06/UC6 <i>All - new, renewal, resubmission, revision</i>	Construction Grants	SF424 (R&R)	January 25	May 25	September 25
G07, G08, G11, G13, G20, S11, S21, S22 <i>All - new, renewal, resubmission, revision</i>	Other Mechanisms Transition to SF424 (R&R): Scheduled for May 25, 2007 (PDF - 44 KB)	PHS 398	January 25	May 25	September 25
D71/UR2, G12, M01, R10/U10, R24/U24, S06, SC1, SC2, SC3, U19, U45, U54, U56 <i>All - new, renewal, resubmission, revision</i>	Other Mechanisms Transition to SF424 (R&R): On Hold	PHS 398	January 25	May 25	September 25
R01 new	Research Grants	SF424 (R&R)	February 5	June 5	October 5
U01 new	Research Grants - Cooperative Agreements Transition to SF424 (R&R): On Hold	PHS 398	February 5	June 5	October 5
K series new	Research Career Development	PHS 398	February 12	June 12	October 12

	Transition to SF424 (R&R): On Hold				
R03, R21, R33, R21/R33, R34, R36 <i>new</i>	Other Research Grants	SF424 (R&R)	February 16	June 16	October 16
R15 <i>All - new, renewal, resubmission, revision</i>	Academic Research Enhancement Award (AREA)	SF424 (R&R)	February 25	June 25	October 25
R01 <i>renewal, resubmission, revision</i>	Research Grants	SF424 (R&R)	March 5	July 5	November 5
U01 <i>renewal, resubmission, revision</i>	Research Grants - Cooperative Agreements Transition to SF424 (R&R): On Hold	PHS 398	March 5	July 5	November 5
K series <i>renewal, resubmission, revision</i>	Research Career Development Transition to SF424 (R&R): On Hold	PHS 398	March 12	July 12	November 12
R03, R21, R33, R21/R33, R34, R36 <i>renewal, resubmission, revision</i>	Other Research Grants	SF424 (R&R)	March 16	July 16	November 16
New Investigator - R01 <i>resubmission</i> (for those applications involved in pilot ONLY - See NOT-OD-07-034)	Research Grants for New Investigators	SF424 (R&R)	March 20	July 20	November 20
R41, R42 R43, R44, <i>All - new, renewal, resubmission, revision</i>	Small Business Technology Transfer (STTR) Small Business Innovation Research (SBIR)	SF424 (R&R)	April 5	August 5	December 5
F Series Fellowships <i>new, renewal, resubmission</i>	Individual National Research Service	PHS 416-1	April 8	August 8	December 8

	Awards (Standard) Transition to SF424 (R&R): On Hold				
R13, U13 All - new, renewal, resubmission, revision	Conference Grants and Conference Cooperative Agreements	SF424 (R&R)	April 12	August 12	December 12
F31 Diversity Fellowships new, renewal, resubmission	Individual Predoctoral Fellowships (F31) to Promote Diversity in Health-Related Research (see NRSA Training Page) Transition to SF424 (R&R): On Hold	PHS 416-1	April 13	August 13	December 13
All Mechanisms Cited Above new, renewal, resubmission, revision	AIDS and AIDS-Related Applications (See NOT-OD-07-053 for change in AIDS receipt dates)	Based on Mechanism	May 7 (old date May 1)	September 7 (old date September 1)	January 7 (old date January 2)

Review and Award Cycles

	Cycle I	Cycle II	Cycle III
Scientific Merit Review	June - July	October - November	February - March
Advisory Council Review	September - October	January - February	May - June
Earliest Project Start Date	December	April	July

NOTE: Awarding components may not always be able to honor the requested start date of an application; therefore, applicants should make no commitments or obligations until confirmation of the start date by the awarding component.

Analyzing Grant Applications - RFPs

Analyzing Grant Applications – RFPs Grant application guidelines are usually called Request for Proposals (RFPs), Request for Applications (RFAs), or Notice of Funding Activity (NOFA). Funding sources differ in their methods for soliciting grant-related information, and consequently, their application guidelines vary. Some request a simple one-page letter; others require the completion of a short application form; and larger funding sources may explain their application process within a complex, highly detailed RFP that is 30 to 50 pages long.

A comprehensive RFP reveals the “heart” or intention of the funding source. It typically describes the type of programs, populations, and/or problems that the funding source prefers to support. Therefore, analyzing and understanding the RFP is the key to beginning a successful grantwriting process.

Some RFPs are very clear, sufficiently detailed, and well organized. Unfortunately, however, others may appear to be written by one who has never read or developed a grant proposal or guidelines! Regardless of the format or content, the RFP must be adhered to as closely as possible. After reviewing thousands of grant guidelines and grant proposals, we have found that the most common errors made by grantwriters are their failure to examine and follow the application guidelines precisely. Successful grantwriters adopt and apply specific tactics to satisfy the requirements of RFPs. The steps below describe a model of methodology:

Obtain the RFP. To begin, always try to obtain the grant application and guidelines as early as possible in the grants development process. Obviously, the more time you are permitted to consider an application and develop your proposal, the more favorable your chances of success. Grant applications are sometimes released to a number of contact persons such as community leaders, universities, private nonprofits, government agencies, and school districts. Typically, the application is circulated among a variety of parties, which consumes valuable development time. It eventually lands on the grantwriter’s desk, shortly before the application deadline. Establishing a workable grant development process can minimize these unfortunate delays.

Safeguard the Original Grant Application. When you receive the grant application, make two clean copies of the RFP. Store the original in a manila file created for the grant. Use the other copy as a master for making additional copies to use or distribute as needed during the proposal’s development. As you review the copied RFP, make notes on it and highlight key points.

If you received the grant application electronically (e.g., downloaded from the funding agency’s website), save the file on your hard drive, zip disk, or CD. Place the zip disk, or CD containing the application and a printed version of the application in a manila folder. This step may seem inconsequential, but repeatedly, we have had to return to this file to retrieve a “clean” copy of a required form or find specific RFP information.

Decide if You Should Apply for the Grant. During the grant preparation process, you must thoroughly review every aspect of the RFP; however, initially, your foremost concern is whether or not you should apply for the grant. (You will not yet be concerned with details about formatting, layout, program content, or budget requirements). With a highlighting pen in hand, carefully review the RFP to determine the feasibility of your organization applying for the funding. Consider these issues as you read:

- **Eligibility:** Is your agency, or one of your partners, eligible to apply for this grant? Does the funding source provide grants in your geographical area? Will any of the application’s restrictions impact your decision to apply?
- **Time Frame:** When is the grant due? Do you have time to apply for this proposal considering your current and projected workloads and personal commitments?
- **Effort Required:** How much work is involved? Do you have the resources to develop the grant by the deadline? What is the grant’s maximum page length?
- **Appropriateness:** Does your organization’s mission, program activities, and financial needs correspond with the grant’s goals and requirements?
- **Return on Investment:** What is the maximum amount of grant funding allowed? Is that amount worth the amount of work required by the RFP’s guidelines?

- **Likelihood for Success:** How many grants will be awarded? How many organizations are likely to apply?

All of these issues must be analyzed carefully, since they will impact your potential for success. If the grant development team or key decision makers believe that the organization's chances of receiving the funding are less than 50 percent, you may decide to discontinue your pursuit of that grant. When this happens, consider forwarding the application to another agency partner or grantwriter who has more time available. Many grantwriters experience low success rates (and burn out) because they apply for every grant they can find. Some grant programs do not fit an organization's strategic plan or mission, or grant writers may not have sufficient time or resources to develop an appropriate proposal. A feasibility review will help the applying organization avoid this pitfall.

During the initial RFP review, also keep in mind that perception can be influenced by disposition, alertness, workloads, stress, and fluctuating energy levels. For this reason, plan to review the RFP several times on differing days and times. (It is surprising how differently an RFP is perceived each time it is examined.) Use multi-colored highlighting pens to emphasize different areas as you review the RFP. This will help you organize the information provided in the application. At Research Associates, we typically review an RFP numerous times before finally deciding to pursue a grant. This process helps us to understand every aspect of the application.

Determine What the Funding Source Wants. Many grant proposals fail because the mission and goals of the proposed program do not mirror the guidelines and intentions of the funding source. Most RFPs suggest specific program activities and services that they seek to fund (e.g., technology training for educators, students, and parents). RFPs often provide research and literature sources to consider when describing program components. Some funding sources post previously funded grants on their websites to provide applicants with sample programs and successful projects in the field.

Grantwriters should develop a one-page overview of the RFP that highlights its goals, the main purpose of the grant, acceptable budget expenses, and allowable program activities. Distribute the summary to all who are involved in the grants development process. It will facilitate decision-making by very busy key players (such as project managers, community partners, and grant team members) by providing a succinct outline of the program. We have found that it helps our customers understand the proposal and follow the funding source's guidelines. This overview is also helpful as an informative resource for collaborative community partners who will be writing a letter of support for your program.

Think of the RFP as an advertisement that tells what the funding source "wants to buy." As grantwriters, we must prepare an attractive, sellable product that satisfies the funding source, but also pleases our customers, clients, and colleagues. Ideally, before seeking available funding, an agency will conduct a needs assessment to uncover all issues that warrant attention and estimate the financial requirements needed to address these problems. Then, when an RFP is reviewed, the organization can compare its identified needs with the grant application's intentions to determine its potential for funding success. If the RFP is compatible with the organization's needs, the grant writer should then compile statistics about the local needs, research current literature on relevant topics, and examine pre-existing model programs that are already successfully working nationally (often called "best practices").

Format the Proposal as Described in the RFP. The RFP may provide required forms and specify certain formatting guidelines, such as these:

- **Pages:** Is the number of total pages or pages per section limited in the proposal? Do the page numbers need to be formatted a certain way (e.g., centered)?
- **Arrangement and Formatting of Sections:** Does the wording of the RFP suggest certain titles for section headings and subheadings (e.g., major areas to be addressed)? Is a grant review form included (which may be used in grading the proposal)? Does the RFP provide a specific outline that should be followed? The grantwriter should utilize these guidelines appropriately since reviewers will usually grade the proposal according to these same questions or subheadings, and often in the same order in which they are presented in the RFP.

- **Formatting Specifics:** Does the RFP provide formatting specifics, such as font size (e.g., 12 point), font type (e.g., Times New Roman), word limitations, spacing (e.g., single), and margin size (e.g., one inch)? *To minimize problems, distribute these details to all grants development team members so that everyone uses the same format while creating proposal components.*
- **Appendices:** Can appendices be included? Are there required items or exclusions from the appendices?

Submit Questions to the Funding Source. During your initial analysis of the RFP, you may think of questions that the RFP does not answer. These might include, for example, issues regarding your eligibility-to-apply status or the scope of allowable program activities. Most RFP's will include the name and contact information for the person who oversees the application process. Before you call them, we strongly recommend that you assemble a list of ALL of your questions so you can address these issues in one call (and avoiding being labeled as a problem or pesky applicant).

Attend the Bidders' Conference or Funding Source Application Workshop. As part of the grant application process, some funding sources sponsor a seminar about the grant program where an overview is presented and questions are addressed. If several sessions are held, we recommend that the grantwriter or team attend the last scheduled workshop. By that time, the funding source will have heard many questions during these sessions and will probably address more issues. At these workshops, you will hear questions or clarification to many topics that may not be covered in the RFP. This information gives the grantwriter an advantage and possible access to important material that would otherwise have remained inaccessible (e.g., learning about the latest research and model programs). Be sure to sign in and provide your e-mail and mailing address to the sponsor, since additional information may be mailed to attendees and the grant program could encounter a delay.

Review the RFP One More Time. When your draft is nearly finished, ask several different individuals with various backgrounds, expertise levels, and experience to read the RFP and your proposal one final time to ensure that you have covered all of the details. More than likely, they will find a few items that were omitted. These details may seem small, but they could make a difference in the points you receive, and this could affect your chances of success or failure.

Prepare Document for Submission. Develop a checklist that covers the specifics of delivering the grant proposal to the funding source. Details that should be addressed include:

- **Due Date:** When is the proposal due? Does it need to be physically delivered to the funding source by that date or will a postmark by the U.S. Postal Service suffice? Can you use commercial carriers such as UPS or Federal Express? Does the due date fall on a weekend or holiday, and if so, will the proposal be due the following workday?
- **Address:** Where should the document be sent? What is the mailing address? Are mailed documents and commercially delivered packages sent to the same or different addresses?
- **Number of Copies:** How many copies and originals must to be sent?
- **Final Product:** How should the proposal be prepared (i.e., clipped, stapled, etc.)? If stapling is preferred, should it be fastened in a specific location (e.g., the top, left corner)?
- **Packaging:** Do you have the supplies needed to send this package (e.g., the correct size of Federal Express shipping box)?
- **Identification:** Do you know the specific name of the grant program, so it can be written on the outside of the shipping box for identification by the funding source? What is the telephone number of the funding source (a requirement of commercial carriers)?

This article covers the steps in a model grant-writing process that address obtaining, analyzing, and applying grant application guidelines. Get ready for the \$450 billion in foundation, corporate, and government grants that will be awarded in FY 2007!

Dubose, Mike (April, 2007). Analyzing Grant Applications – RFPs. Research Associates.
<http://www.grantexperts.com/>

**Mennonite College of Nursing
Faculty Research and Scholarship Award Opportunities
2006-07 Academic Year**

Research Focused Awards						
Award	Purpose	Eligibility	Application Deadline	Location of Complete Award Information	Progress Report Deadline	Recipient (s)
MCN New Investigator Award (NIA)	To support new investigators in the establishment of a program of research	Non-tenure track, tenure track, tenured faculty	February 6, 2007	Faculty (V) drive; University & College Awards Folder	October 15, 2007	Wendy Woith
MCN Partnership for Vulnerable Populations: External Mentorship Program for Faculty (VP)	To encourage and foster research related to the nursing and health care needs of vulnerable and underserved populations	Full or part-time faculty member at MCN who has been employed by the College for at least one academic year. Preference given to full-time faculty. Tenured or tenure track faculty	November 30, 2006	Faculty (V) drive; University & College Awards Folder	November 8, 2006 preliminary progress report for FY#1 recipients October 15, 2007 final report for FY #1 & FY #2 recipients	FY #1: Sandi Burke Pam Lindsey Wendie Medina Wendy Woith
University Research Grant (URG)	To provide faculty with the funds to: 1. Develop significant research programs that have a high probability of acquiring external funding and/or to complement awards obtained from an external agency 2. Support quality scholarly undertakings of the faculty that are deemed important to the discipline, but not designed to directly pursue extramural support	Tenured or tenure track faculty	February 6, 2007	Research and Sponsored Programs Web page: http://www.rsp.ilstu.edu/internal_grant/ (07/01/07) - click on Internal Awards link	October 15, 2007	Susan Kossman Sandi Burke Pam Lindsey Wendie Medina Wendy Woith (VP FY#1)

						\$ combined w/URG)
Outstanding <u>College</u> Researcher Award	To recognize outstanding researchers in each college.	Discretion of college	September 29, 2006	Faculty (V) drive; University and College Awards Folder	NA	
Outstanding <u>University</u> Researcher Awards	To recognize faculty members who are acknowledged for : their research nationally or internationally, their quality of scholarly work, their contribution to profession/discipline	1. Tenured or probationary tenure faculty members currently conducting research 2. minimum of three academic years at ISU prior to nomination 3. Recipient of Outstanding College Researcher Award	September 29, 2006, submit materials to college offices; October 13, 2006, College Dean sends names to Associate VP for Research	Research and Sponsored Programs Web page: http://www.rsp.ilstu.edu/internal_grant/ (07/01/07) - click on Internal Awards link	NA	
Research Initiative Award	To recognize faculty members who have initiated a promising research agenda early in their careers	Tenure track faculty with 5 years or less in a tenure-track position at any institution of higher education	September 29, 2006	Research and Sponsored Programs Web page: http://www.rsp.ilstu.edu/internal_grant/ (07/01/07) - click on Internal Awards link	NA	
University Travel Award	To enhance competitive grant proposals, RSP will provide travel support funds to faculty or staff wishing to participate in grant- writing workshops, collaborate with experts, serve on review panels, or meet with agency program officers.	All faculty and staff	Applications can be submitted at any time	Research and Sponsored Programs Web page: http://www.rsp.ilstu.edu/internal_grant/ (07/01/07) - click on Internal Awards link	Brief follow-up survey required	

Grant Writing Initiative	To encourage the development of competitive external grant proposals, specifically those from newer and less experienced PIs	Priority is given to less experienced PIs regardless of their rank or years of service	Program announcements January 2007	Research and Sponsored Programs Web page: http://www.rsp.ilstu.edu/internal_grant/ (07/01/07) - click on Internal Awards link		
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Teaching Focused Awards						
Award	Purpose	Eligibility	Application Deadline	Location of Complete Award Information	Progress Report Deadline	Recipient (s)
Teaching-Learning Development Grants	Supports innovation in teaching and learning on the ISU campus	Tenured, tenure-track or non-tenure track faculty; teams can include graduate students	Friday, November 17 @ 4:00 p.m.	www.teachtech.ilstu.edu:16080/resources/# (07/01/07) - click on CTLT Grant Programs	Presentation @ January 2008 Teaching and Learning symposium & written summary for CTLT publications and/or CTLT web site	
Teaching Innovation Evaluation Grants	Supports faculty in evaluating the effectiveness of their teaching strategies. Designed to encourage & support teachers to follow up on their commendable efforts to improve their teaching with an effective evaluation of their efforts.	T, TT, NTT, Graduate Teaching Assistants & AP staff with teaching responsibilities	Friday, November 17 @ 4:00 p.m.	www.teachtech.ilstu.edu:16080/resources/# (07/01/07) - click on CTLT Grant Programs	Presentation @ January 2008 Teaching and Learning symposium & written summary for CTLT Publications and/or CTLT web site	

Teaching Development Travel Grants	Provides financial support for faculty to attend conferences and workshops that emphasize teaching & learning.	T, TT, NTT, Graduate Teaching Assistants and AP staff with teaching responsibilities	Friday, November 17 at 4:00 p.m.	www.teachtech.ilstu.edu:16080/resources/# (07/01/07) - click on CTLT Grant Programs	Written summary within 3 months of travel	
Teaching Community Enhancement Grants	Offers grants to ISU academic departments, campus units, or campus groups to support events and activities that strengthen the ISU community of teachers.	All ISU departments, units and campus groups that have a focus on teaching and learning	Ongoing	www.teachtech.ilstu.edu:16080/resources/# (07/01/07) - click on CTLT Grant Programs	See site for details	
Faculty-Student Connections Grants	Support for instructors meeting with undergraduate students at informal social events in out-of-class settings.	T, TT, NTT, Faculty Associates, AP staff w/teaching responsibilities and graduate assistants w/teaching responsibilities	Ongoing	www.teachtech.ilstu.edu:16080/resources/# (07/01/07) - click on CTLT Grant Programs	Receipts must be submitted by 6/1/07	
Instructional Podcasting Development Initiative	Support to ISU faculty interested in exploring the benefits and drawbacks of instructional podcasting.	All ISU faculty	July 28, 2006	www.teachtech.ilstu.edu:16080/resources/# (07/01/07) - click on CTLT Grant Programs	Present @ 2007 Teaching Learning Symposium	
Cross Chair in SoTL Grant; Scholarship of Teaching and Learning in Higher Education	The program provides funding for small grants, at Illinois State University, in the area of scholarship on teaching and learning (SoTL) as it relates to teaching and learning at the college level	All ISU T, TT, NTT, faculty associates, graduate teaching assistants, and AP staff with teaching or teaching support responsibilities EACH proposal, however, MUST be from a team of at least one faculty/staff member and at least one student (graduate or	Friday, April 28, 2006	www.teachtech.ilstu.edu:16080/resources/# (07/01/07) - click on CTLT Grant Programs	Funds must be spent by 6/15/07	

		undergraduate).				
Outstanding University Teacher Award (Category I)	This award is for tenured or tenure-track faculty whose teaching accomplishments are exceptionally significant and meritorious among their ISU colleagues. The award is designed to recognize persistent, focused, and purposeful dedication to striving for excellence over time	Full-time tenured or tenure track faculty member with at least three years of service at Illinois State University. *see web site for complete list of requirements	September 15, 2006 to college October 13, 2006 to Chair of University Teaching Committee	www.teachtech.ilstu.edu:16080/resources/# (07/01/07) - click on University Teaching Awards	NA	
Outstanding University Teacher Award (Category II)	This award is for non tenure-track faculty and staff whose teaching accomplishments are exceptionally significant and meritorious among their ISU colleagues.	Full or Part-time teachers with non-tenure track appointments and AP and Civil Service employees with University credit-generating teaching responsibilities	September 15, 2006 to college October 13, 2006 to Chair of University Teaching Committee	www.teachtech.ilstu.edu:16080/resources/# (07/01/07) - click on University Teaching Awards	NA	
Teaching Initiative Award	Recognizes assistant professors who have shown considerable promise in teaching early in their academic careers.	At least two years of full-time teaching on a tenure track at ISU, but not more than five years of full-time, tenure track university-level teaching experience at ISU and elsewhere, combined.	September 15, 2006 to college October 13, 2006 to Chair of University Teaching Committee	www.teachtech.ilstu.edu:16080/resources/# (07/01/07) - click on University Teaching Awards	NA	

<p>Outstanding University Graduate Student Teaching Awards</p>	<p>Recognizes outstanding contributions to teaching made by graduate students as part of their program and education experience at ISU</p>	<p>Graduate teaching assistants holding at least a .25 FTE appointment (6-10 hours per week) related to one of the award categories, or who have held such an appointment for at least one full term (fall, spring, or summer) of the current academic year, are eligible. *see web site for categories</p>	<p>September 15, 2006 to college October 13, 2006 to Chair of University Teaching Committee</p>	<p>www.teachtech.ilstu.edu:16080/resources/# (07/01/07) - click on University Teaching Awards</p>	<p>NA</p>	
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Instructions for Using SPIN and GENIUS

Accessing SPIN Plus:

1. Internet Users: From your browser go to www.infoed.org (07/01/07)
2. Click Access Info. Office
3. Click Info. Search
4. Click on GENIUS SMARTS or click on SPIN then jump to GENIUS

Creating Your GENIUS Profile:

1. Click Create a New Profile from the SMARTS/GENIUS main page.
2. Highlight Illinois State University and click Select. The new profile registration page will appear.
3. Enter your first and last name, email address, department affiliation, and a username and password.
4. Click Submit. The Profile Summary Page will appear.
5. Enter information into as many categories as needed to satisfy your personal requirements under GENIUS Categories on the Profile Summary Page.
6. Click Log Out to exit your profile.

Setting up SMARTS: Setting this up allows you to receive daily relevant funding opportunities via e-mail with SMARTS.

1. Click General from the Profile Summary Page, fill out your contact/institution information, and answer the five questions below.
 - Question 1 allows you to specify whether you would like prospective partners/collaborators, who find you on GENIUS searches, to contact you directly or make initial with your institutional administrator.
 - Question 2 allows you to specify whether you want to receive SMARTS matches. To receive SMARTS matches, make sure YES is selected.
 - Question 3 allows you to specify how you would like to receive your SMARTS matches.
 - Question 4 allows you to specify whether you want to receive SMARTS output of programs only from U.S. sponsors.
 - Question 5 allows you to specify the format in which you would like to receive your SMARTS output: Full Program or Summary Format.
1. Click Keywords to select keywords that most closely reflect your research interests.
2. Choose categories under Used in SMARTS matching (Applicant Types, Award Types, Geographical Restrictions, Sponsor Types, and Locations Tenable) to tailor search criteria for more targeted SMARTS matches.

If you have any questions or need assistance, please contact [Ed Mason](#) (438-8595) or [Cathy Kelly](#) (438-7128), or call Research and Sponsored Programs (438-2528)

Four Simple Rules for Finding Funding

By Ed Mason, Associate Director, Research and Sponsored Programs
Illinois State University
Normal, IL 61790

Make Friends!

- Visit with Program Officers
- Visit with leading researchers
- Visit with our peers
- Engage and learn from their successes

Play Well with Others!

- Identify organizations that you can work with (i.e. hospitals, nonprofit organizations or universities)
- Identify other individuals that have similar research interests and collaborate
- Take the time to develop true partnerships

Show & Tell – Share Your Story!

- Don't be afraid to tell how your programs help people
- Be able to tell your story on how your programs assist in solving problems and creating better solutions
- Develop a written story that you can incorporate in your grant application
- Develop an elevator story to tell

Visualize Success!

- Envision writing a successful grant application
- Envision who will be helped by receiving funding for the project
- Practice makes perfect
- Persons that resubmit grants have a 60% chance for success, compared to less than 20% for first time applicants

NIH Definitions

<http://grants1.nih.gov/grants/funding/ac.pdf>; (07/01/07)

AIDS Related. Includes: (1) projects relating to the etiology, epidemiology, natural history, diagnosis, treatment, or prevention of AIDS; (2) various sequelae specifically associated with the syndrome; and (3) preparation and screening of anti-AIDS agents as well as vaccine development, including both preclinical and clinical studies. Not all applications examining various influences on T-lymphocytes or retroviruses will be appropriate for the expedited AIDS review process. Applications only indirectly related to AIDS will be evaluated by established Scientific Review Groups (SRGs) appropriate to the scientific discipline during regular NIH review cycles and should not be submitted in response to the expedited AIDS receipt dates. Applicants are urged to take note of the yearly NIH Plan for HIV-Related Research and indicate how their application addresses the NIH priorities set forth in that Plan. The Plan can be found on the NIH Office of AIDS Research homepage.

Animal. Any live, vertebrate animal used or intended for use in research, research training, experimentation, or biological testing or for related purposes at the applicant organization or any collaborating site or other performance site.

Applicant Organization Types.

Federal: A cabinet-level department or independent agency of the Executive Branch of the Federal Government or any component part of such a department or agency that may be assigned the responsibility for carrying out a grant-supported program.

State: Any agency or instrumentality of a state government of any of the United States or its territories.

Local: Any agency or instrumentality of a political subdivision of government below the State level.

Nonprofit: An institution, corporation, or other legal entity no part of whose net earnings may lawfully inure to the benefit of any private shareholder or individual.

For Profit: An institution, corporation, or other legal entity, which is organized for the profit or benefit of its shareholders or other owners. A "for profit" organization is considered to be a small business if it is independently owned and operated, if it is not dominant in the field in which research is proposed, and if it employs no more than 500 persons. Also see definition for Small Business Concern.

Small Business Concern: A small business concern is one that, at the time of award of Phase I and Phase II, meets all of the following criteria:

1. Is independently owned and operated, is not dominant in the field of operation in which it is proposing, has its principal place of business located in the United States, and is organized for profit.
2. Is at least 51% owned, or in the case of a publicly owned business, at least 51% of its voting stock is owned by United States citizens or lawfully admitted permanent resident aliens.
3. Has, including its affiliates, a number of employees not exceeding 500, and meets the other regulatory requirements found in 13 CFR Part 121. Business concerns, other than investment companies licensed, or state development companies qualifying under the Small Business Investment Act of 1958, 15 U.S.C. 661, et seq., are affiliates of one another when either directly or indirectly, (a) one concern controls or has the power to control the other; or (b) a third-party/parties controls or has the power to control both.

Control can be exercised through common ownership, common management, and contractual relationships. The term "affiliates" is defined in greater detail in 13 CFR 121.3-2(a). The term "number of employees" is defined in 13 CFR 121.3-2(t).

Business concerns include, but are not limited to, any individual (sole proprietorship), partnership, corporation, joint venture, association, or cooperative. Further information may be obtained by contacting the Small Business Administration Size District Office at <http://www.sba.gov/size/> (07/01/07).

Socially and Economically Disadvantaged Small Business Concern: A socially and economically disadvantaged small business concern is one that is at least 51% owned by (a) an Indian tribe or a native Hawaiian organization, or (b) one or more socially and economically disadvantaged individuals; and whose management and daily business operations are controlled by one or more socially and economically disadvantaged individuals.

Women-Owned Small Business Concern: A small business concern that is at least 51% owned by a woman or women who also control and operate it. "Control" in this context means exercising the power to make policy decisions. "Operate" in this context means being actively involved in the day-to-day management.

Co-investigator. An individual involved with the principal investigator in the scientific development or execution of the project. The co-investigator (collaborator) may be employed by, or be affiliated with, the applicant/grantee organization or another organization participating in the project under a consortium agreement. This individual would typically devote a specific percent of effort to the project and would be identified as Key Personnel. The designation of a co-investigator, if applicable, does not affect the principal investigator's roles and responsibilities as specified in the [Grants Policy Statement](#) (07/01/07).

Commercialization. The process of developing markets and producing and delivering products for sale (whether by the originating party or by others). As used here, commercialization includes both government and private sector markets.

Consortium Agreement. A formalized agreement whereby a research project is carried out by the grantee and one or more other organizations that are separate legal entities. Under the agreement, the grantee must perform a substantive role in the conduct of the planned research and not merely serve as a conduit of funds to another party or parties. These agreements typically involve a specific percent of effort from the consortium organization's principal investigator and a categorical breakdown of costs, such as personnel, supplies, and other allowable expenses, including Facilities and Administrative costs.

Consultant. An individual who provides professional advice or services for a fee, but normally not as an employee of the engaging party. In unusual situations, an individual may be both a consultant and an employee of the same party, receiving compensation for some services as a consultant and for other work as a salaried employee. To prevent apparent or actual conflicts of interest, grantees and consultants must establish written guidelines indicating the conditions of payment of consulting fees. Consultants may also include firms that provide paid professional advice or services.

Consulting Fees. The fee paid by an institution to a salaried member of its faculty is allowable only in unusual cases and only if both of the following conditions exist: (1) the consultation crosses departmental lines or involves a separate operation; and (2) the work performed by the consultant is in addition to his or her regular workload.

In all other cases, consulting fees paid to employees of recipient or cost-type contractor organizations in addition to salary may be charged to PHS grant-supported projects only in unusual situations and when all of the following conditions exist: (1) the policies of the recipient or contractor permit such consulting fee payments to its own employees regardless of whether Federal grant funds are received; (2) the consulting services are clearly outside the scope of the individual's salaried employment; and (3) it would be inappropriate or not feasible to compensate the individual for these services through payment of additional salary.

For additional clarification on the allowance and appropriateness of consulting fees, refer to the [NIH Grants Policy Statement](#) (07/01/07).

Cooperative Agreement. A financial assistance mechanism that will have substantial Federal scientific and/or programmatic involvement. Substantial programmatic involvement means that after award, scientific or program staff will assist, guide, coordinate, or participate in programmatic activities beyond the normal

stewardship responsibility in the administration of grants. Proposed cooperative agreements will be published as policy announcements, Program Announcements, or Requests for Applications.

Equipment. An article of tangible nonexpendable personal property that has a useful life of more than one year and an acquisition cost per unit that equals or exceeds the lesser of the capitalization threshold established by the organization or \$5,000.

Essentially Equivalent Work. This term is meant to identify "scientific overlap," which occurs when (1) substantially the same research is proposed for funding in more than one contract proposal or grant application submitted to the same Federal agency; or (2) substantially the same research is submitted to two or more different Federal agencies for review and funding consideration; or (3) a specific research objective and the research design for accomplishing that objective are the same or closely related in two or more proposals or awards, regardless of the funding source.

Feasibility. The extent to which a study or project may be done practically and successfully.

Foreign Component. The performance of any significant scientific element or segment of a project outside of the United States, either by the grantee or by a researcher employed by a foreign organization, whether or not grant funds are expended. Activities that would meet this definition include, but are not limited to: (1) the involvement of human subjects or animals; (2) extensive foreign travel by grantee project staff for the purpose of data collection, surveying, sampling, and similar activities; or (3) any activity of the grantee that may have an impact on U.S. foreign policy through involvement in the affairs or environment of a foreign country. Foreign travel for consultation is not considered a foreign component.

Full-Time Appointment. The number of days per week and/or months per year representing full-time effort at the applicant/grantee organization, as specified in organizational policy. The organization's policy must be applied consistently regardless of the source of support.

Grant. A financial assistance mechanism providing money, property, or both to an eligible entity to carry out an approved project or activity. A grant is used whenever the NIH Institute or Center anticipates no substantial programmatic involvement with the recipient during performance of the financially assisted activities.

Innovation. Something new or improved, including research for (1) development of new technologies, (2) refinement of existing technologies, or (3) development of new applications for existing technologies. For the purposes of PHS programs, an example of "innovation" would be new medical or biological products for improved value, efficiency, or costs.

Institutional Base Salary. The annual compensation that the applicant organization pays for an employee's appointment, whether that individual's time is spent on research, teaching, patient care, or other activities. Base salary excludes any income that an individual may be permitted to earn outside of duties to the applicant organization. Base salary may not be increased as a result of replacing institutional salary funds with NIH grant funds.

Some PHS grant programs are currently subject to a legislatively imposed salary limitation. Any adjustment for salary limits will be made at time of award. Applicants are encouraged to contact their offices of sponsored programs or see the [NIH Guide for Grants and Contracts](#) (07/01/07) for current guidance on salary requirements.

Key Personnel. In addition to the principal investigator, Key Personnel are defined as individuals who contribute to the scientific development or execution of the project in a substantive, measurable way, whether or not salaries are requested.

Typically, these individuals have doctoral or other professional degrees, although individuals at the masters or baccalaureate level should be included if their involvement meets the definition of Key Personnel. Consultants should also be included if they meet the definition of Key Personnel. Key Personnel must devote measurable effort to the project whether or not salaries are requested--"zero percent" effort or "as needed" are not acceptable levels for those designated as Key Personnel.

Other Significant Contributors. This category identifies individuals who have committed to contribute to the scientific development or execution of the project, but are not committing any specified measurable effort to the

projects. These individuals are typically presented at "zero percent" effort or "as needed" (individuals with measurable effort cannot be listed as Other Significant Contributors). Consultants should be included if they meet this definition. This would also be an appropriate designation for mentors on Career awards.

Person Months. A metric for expressing the effort (amount of time) that PIs, faculty and other senior/key personnel devote to a specific project. Effort is expressed as a percentage of the total institutional appointment and is based on the organization's regular academic-year, summer or calendar-year.

Principal Investigator, Program Director, or Project Director. The individual(s) judged by the applicant organization to have the appropriate level of authority and responsibility to direct the project or program to be supported by the award. The applicant organization may designate multiple individuals as principal investigators (PDs/Pis) who share the authority and responsibility for leading and directing the project, intellectually and logistically. When multiple principal investigators are named, each is responsible and accountable to the applicant organization, or as appropriate, to a collaborating organization for the proper conduct of the project or program including the submission of all required reports. The presence of more than one PD/PI on an application or award diminishes neither the responsibility nor the accountability of any individual PD/PI.

Program Income. Gross income earned by the applicant organization that is directly generated by a supported activity or earned as a result of the award. The PHS Grants Policy Statement or [NIH Grants Policy Statement \(07/01/07\)](#) contains a detailed explanation of program income, the ways in which it may be generated and accounted for, and the various options for its use and disposition.

Examples of program income include:

- Fees earned from services performed under the grant, such as those resulting from laboratory drug testing;
- Rental or usage fees, such as those earned from fees charged for use of computer equipment purchased with grant funds;
- Third party patient reimbursement for hospital or other medical services, such as insurance payments for patients when such reimbursement occurs because of the grant-supported activity;
- Funds generated by the sale of commodities, such as tissue cultures, cell lines, or research animals;
- Patent or copyright royalties (exempt from reporting requirements); and
- Registration fees generated from grant-supported conference

Prototype. A model of something to be further developed and includes designs, protocols, questionnaires, software, and devices.

Research or Research and Development (R/R&D). Any activity that is:

- A systematic, intensive study directed toward greater knowledge or understanding of the subject studied;
- A systematic study directed specifically toward applying new knowledge to meet a recognized need;
- A systematic application of knowledge toward the production of useful materials, device, and systems or methods, including design, development, and improvement of prototypes and new processes to meet specific requirements.

Research Institution. A United States organization that is:

- A nonprofit college or University or
- A nonprofit research institution, including nonprofit medical and surgical hospitals. (A "nonprofit institution" is defined as an organization that is owned and operated exclusively for scientific or educational purposes, no part of the net earnings of which insures the benefit of any private shareholder or individual) or

- A contractor-operated, Federally funded research and developmental center, as identified by the National Science Foundation in accordance with the Government-wide Federal Acquisition Regulation issued in accordance with section 35(c)(1) of the Office of Federal Procurement Policy Act (or any successor legislation thereto).

(Laboratories staffed by Federal employees do not meet the definition of “research institution” for purposes of the STTR program)

Socially and Economically Disadvantaged Individual. A member of any of the following groups:

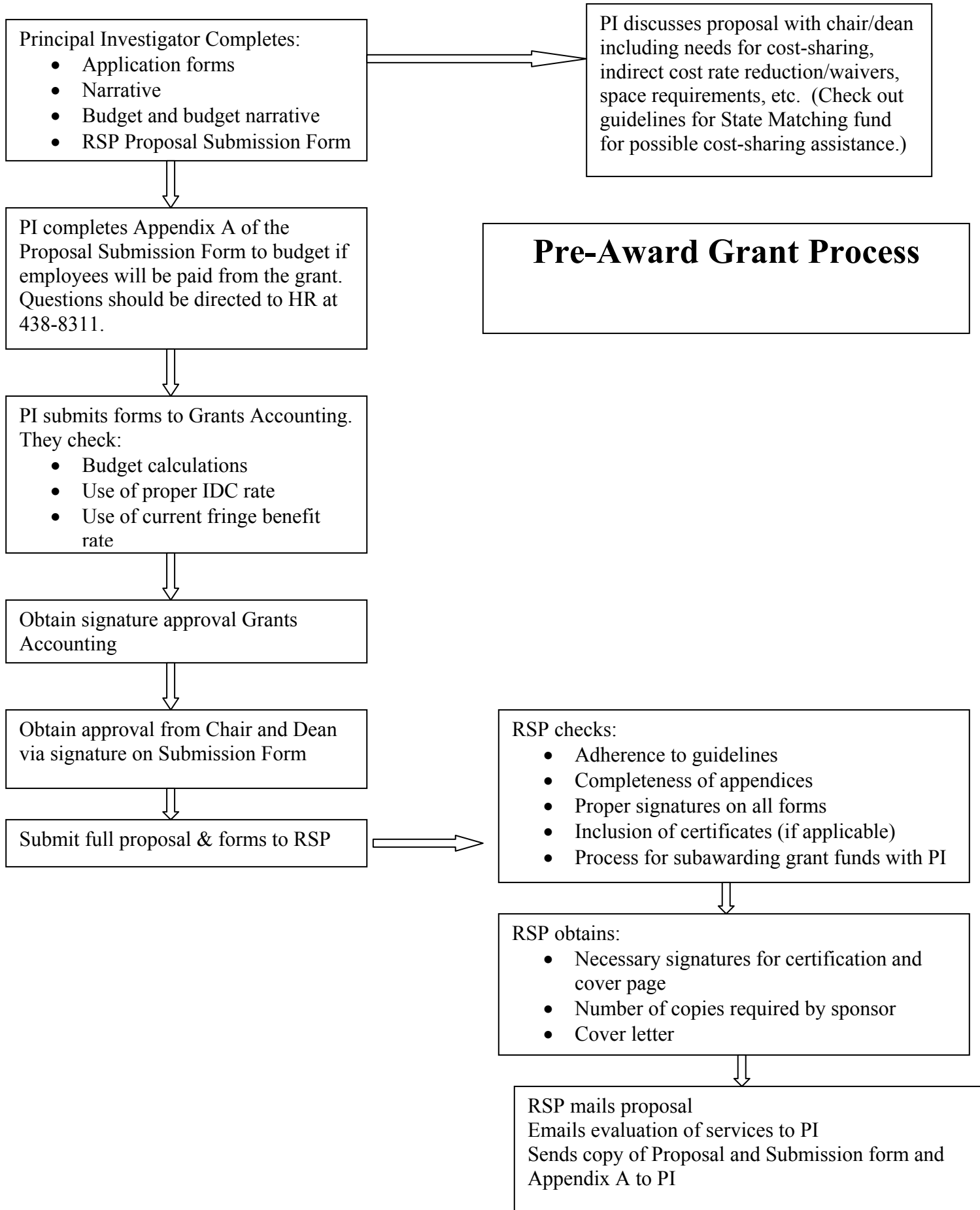
Black Americans; Hispanic Americans; Native Americans; Asian-Pacific Americans; Subcontinent Asian Americans; other groups designated from time to time by the Small Business Administration (SBA) to be socially disadvantaged; or any other individual found to be socially and economically disadvantaged by SBA pursuant to Section 8(a) of the Small Business Act, 15 U.S.C. 637(a).

Subcontract. Any agreement, other than one involving an employer-employee relationship, entered into by a Federal Government prime contractor calling for supplies or services required solely for the performance of the prime contract or another subcontract.

United States. The 50 states, territories and possessions of the U.S., Commonwealth of Puerto Rico, Trust Territory of the Pacific Islands, and District of Columbia.

APPENDIX B: Planning Tools

- RSP Pre-award Grant Process
- MCN Grant Submission Processing Checklist
- ISU General Data for Use in Proposal Preparation
- University Profile/Boilerplate
- Planning Your Grant Application Project
- Grant Reviewers Checklist
- What is a biosketch?
- How Do I Know if I am Doing Everything I Need?
- ORSA Resources Bibliography



General Data for Use in Proposal Preparation

http://www.rsp.ilstu.edu/grant_contract/genl_data_info.shtml (07/01/07)

The following most commonly requested information is provided for purposes of completing cover sheet applications and for budgeting. Contact the Research and Sponsored Programs Office (RSP) at 438-2528 for additional information.

Employer Identification Number (Federal Tax Number):	37-6014070
NIH Entity Number:	1-376014070-A1
NSF Submitting Institution Code:	001692300
DUNS Number:	001898142
ASAP Number:	1796670
ASAP Contact:	Kevin Kelley Grants Accounting Phone (309) 438-3291
U.S. Congressional District:	11th
Illinois Representative District:	88th
Illinois Senatorial District:	44th
Animal Welfare Assurance Number:	A3762-01 (effective 8/7/03, expires 7/31/08)
Federal-Wide Assurance (FWA) Number for Human Subjects	00000112
Illinois Department of Human Rights Number:	92400-00-0
Institutional Profile File (IPF) Misconduct in Science:	3565001
Applicant Name:	The Board of Trustees of Illinois State University
Applicant Address & Telephone Number:	Research and Sponsored Programs Campus Box 3040 Normal, IL 61790-3040 Phone (309) 438-2528, Fax (309) 438-7912 e-mail: rlcuster@ilstu.edu
Primary Contact/Grant Administrator	Janet L. Goucher, Assistant Director of Research
Business Office:	Illinois State University Comptrollers Office Campus Box 1200 Normal, IL 61790-1200
Fiscal Officers:	Greg Alt, Comptroller Mary Kentzler, Grants Accounting Director Phone (309) 438-3290, Fax (309) 438-2699
Authorized Institutional Representative to Sign Proposals, Certificates, and to accept Awards	Rodney L. Custer, Ph.D. Associate Vice President for Graduate Studies, Research, and International Education
Facilities & Administrative/Indirect Cost Information:	Federal Negotiated Indirect Cost Rates: 43% - on campus, 26% off campus Cognizant Federal Agency: DHSS, Region VI; Dallas, TX Date of Most Recent Federal Indirect Costs Rate Agreement: June 1, 2005

Federal Indirect Cost Agreement Effective Through: June 30, 2008

Type of Federal Indirect Cost Agreement: Modified Total Direct Costs, All Programs

Other Indirect Cost Rates: Contact RSP for rate information

Fringe Benefit Rates:

Because calculating Fringe Benefit Rates may be complex, please contact Kevin Kelley (438-3291) or Mary Kentzler (438-3290) for assistance in projection of such benefits. Each individual grant and/or contract must be reviewed.

Graduate Assistant Salary (minimum):	.25 FTE	.50 FTE
MA	\$350/mo.	\$700/mo.
PhD (first year)	\$425/mo.	\$850/mo.
PhD (second year)	\$550/mo.	\$1,100/mo.

University Profile

Illinois State University was founded in 1857 as the first public institution of higher education in the state. The documents establishing Illinois State as a teacher education institution were drafted by Abraham Lincoln. Today, Illinois State is, as its founders dreamed, a multipurpose institution with degree programs at the bachelor's, master's, and doctoral levels.

The University is one of 12 public universities in Illinois. On January 3, 1996, the inaugural meeting of the Board of Trustees of Illinois State University was convened as the governing body for the University. Sixty-seven undergraduate programs in 182 fields of study are offered through the Colleges of Applied Science and Technology, Arts and Sciences, Business, Education, Fine Arts, and Nursing. The Graduate School coordinates 40 master's programs, eight certificate programs, and eight doctoral programs. The University's academic programs are supported by the services and collections of Milner Library, which contains over 3,000,000 holdings and special collections.

Illinois State University is accredited by the Commission on Institutions of Higher Education of the North Central Association of Colleges and Schools. The teacher preparation programs are accredited by the National Council for Accreditation of Teacher Education and are certified by the Illinois State Board of Education. Illinois State programs hold accreditation from twenty-five discipline-based agencies.

The University enrolls over 20,265 students from 49 states and 77 countries. The largest segment of the student body (54 percent) comes from the Chicago area and surrounding collar counties; and an additional 23 percent are from McLean and central Illinois counties. Approximately 88 percent are undergraduate students and 12 percent are graduate students. The enrollment includes a significant number of minority students, students with disabilities, and adult learners. The mean ACT score for new beginning freshman was 23.8 in fall 2005 with 83 percent in the top half of their high school graduating class.

The University employs over 1,100 faculty members. The faculty is dedicated to the provision of superior teaching and includes numerous scholars who are recognized at national and international levels.

The central mission of the University is to expand the horizons of knowledge and culture among students, colleagues, and the general citizenry through teaching and research. Illinois State University recognizes that teaching and research are mutually supportive activities. Therefore, while developing student potential through superior teaching is the first priority of the University, the promotion of research, which is recognized at national and international levels, is also a high priority.

In 2006, University faculty and staff received 250 grants totaling more than \$19.1 million. Sixty-one percent of the funding came from federal sources, twenty-four percent was state-funded, and the remaining fifteen percent came from corporate or other sources. Of the awards received, thirty-one percent were instruction-based grants, forty percent were for basic research, and the final twenty-nine percent were service or creative in nature.

Grant Submission Processing Checklist

√	Day Due	Time	Person(s) Responsible	Meet with	What to do?
		Decide on Grant	Researcher		<ul style="list-style-type: none"> ▪ Download Pure Edge viewer (if applicable), Grant Application, & Grant Instructions ▪ Print two copies of the Grant application and the Grant Instructions – 1 for Michelle and one for RSP
				Director and/or Secretary of Research & Scholarly Activities	<ul style="list-style-type: none"> ▪ Discuss funder's guidelines/application process, budget allowance/limitations ▪ Do you need IRB approval BEFORE submitting the grant? ▪ Arrange proposal preparation needs
				Program Director	<ul style="list-style-type: none"> ▪ Discuss potential workload release
				Associate Dean/Dean	<ul style="list-style-type: none"> ▪ Discuss needs
				Research & Sponsored Programs Office Staff (RSP)	<ul style="list-style-type: none"> ▪ Share grant information and any special needs that researcher may have
			Secretary of Research & Scholarly Activities	<ul style="list-style-type: none"> ▪ Begin work on the RSP forms in which Researcher will need to take to the Comptroller's Office (Grants Accounting) and finally to the RSP Office when submitting 	
		10 weeks before due date	Researcher		<ul style="list-style-type: none"> ▪ Work on writing the text of the grant
				Director of Research & Scholarly Activities	<ul style="list-style-type: none"> ▪ Submit "Specific Aims" for review
				Jeff Grabb and Dustin Brown	<ul style="list-style-type: none"> ▪ Discuss potential technology needs of your grant
		9 to 8 weeks Before due date	Researcher	Secretary of Research & Scholarly Activities	<ul style="list-style-type: none"> ▪ Provide any materials in which you would need entered or PDF for loading into the application.
		7 weeks before due date	Researcher	Diane Folken	<ul style="list-style-type: none"> ▪ Work with on putting together budget for grant
		6 weeks before due date	Researcher		<ul style="list-style-type: none"> ▪ Arrange for an external review of your application by a peer
		5 weeks before due date	Researcher	Diane Folken	<ul style="list-style-type: none"> ▪ Submit draft of budget to be finalized
		4 weeks before due date	Researcher	Diane Folken	<ul style="list-style-type: none"> ▪ Finalize budget
					<ul style="list-style-type: none"> ▪ Obtain necessary signatures on RSP form ▪ Make appointment with Comptroller's Office (Grants Accounting) to review budget
		3 weeks before due date	Researcher		<ul style="list-style-type: none"> ▪ Continue to finish information you need to submit to Michelle for PDF and entering into application ▪ Set up appointment for the following week to meet with RSP office to go over the grant as a "Final Check" before submission
		2 weeks before due date	Researcher	RSP Personnel	<ul style="list-style-type: none"> ▪ "Final Check" and Submission
					<ul style="list-style-type: none"> ▪ RELAX!!!

What is a biosketch?

(University of Washington School of Nursing:

<http://www.son.washington.edu/research/internal/Training/Guides/Biosketch.asp>) (07/01/07)

When applicants apply for a job, they submit a resume that includes their education, job experience and skills. In academia, this is also called a Curriculum Vitae (CV) which also covers presentations, published articles, and other specialized information. Generally is ten to thirty pages or more. Because the review committees cannot spend the time reading such long documents, they ask for a limited summary called a biosketch.

How do I create an NIH biosketch?

[Form for an NIH biosketch](#) (07/01/07)

[Example of an NIH biosketch](#) (07/01/07)

The NIH biosketch is divided into three parts:

Part A is the table that asks for educational experience.

Part B will ask for a list of positions and honors.

- First, create a list of positions in reverse chronological order.
- The only require the dates, position title, institution name and location. You do not need to include a description of duties as is standard in a CV or resume.
- Follow the positions with a list of academic or other professional honors.

Part C is the Research Support

- List all research projects for ONLY the past three years
- Provide information required in the example above. Notice that there is no request for direct costs or percent time on the grant. This is not submitted with a biosketch.
- Put the projects in order of start date and group them whether pending, current or completed.

General Instructions:

- All sections of the biosketch cannot be more than four pages.
- Use .5 inch margins on all sides.
- The font must be at least 11 point and in the font requirements for NIH.

What is the difference between "Research Support" and "Other Support?"

"Research Support" and "Other Support" provide a summary of other funding. These are generally only submitted for NIH grants. See a summary of the differences below:

Research Support	Other Support
Submitted with an application.	Submitted with a Just in Time report. Changes submitted with each progress report.
Submit pending, current and completed grants.	Submit pending and current ONLY.
Do not include any dollar amounts or effort.	Include current year's direct costs. Include current effort in calendar months.
Blank form page (In section C of biosketch) (07/01/07)	Blank form page (07/01/07)

How do I trim a biosketch to the right length?

FIRST - Tell the person that they are responsible for maintaining a biographical sketch that is in the proper format and that they need to fix it.

SECOND - The Delete key is your friend. Delete all information that should not be included.

- Delete any educational awards and honors that are pre-college.
- Delete any publications that are not peer-reviewed. (This includes presentations.)
- Delete any work experience that is not relevant to the current position.
- Delete any research support that is more than three years old.

THIRD - The Delete key is your best friend.

- Delete work experience that is more than 20 or 30 years old.
- Delete all "Employee of the Year" or other less-impressive awards.
- Delete peer-reviewed articles until it fits.

How do I create a biosketch for a HRSA grant?

There is no set form for HRSA. Because of this, most submitters prefer to use the NIH form because most key personnel will already have that ready.

However, HRSA counts biosketches in the page limits. Most of the time, there is not room for each key person to use four pages. Most biosketches must be reduced to only one page. The following guidelines will help you convert the biosketch to HRSA's standards.

1. Change the font to 12 pt Times New Roman and the margins to 1 inch.
2. Delete the research support section.
3. Use the biosketch cutting techniques to pare it down to the length that is appropriate for your application.

How do I create a biosketch for a foundation or other non-NIH grant?

Check the funding opportunity for guidelines. You can use the NIH form, or a modification of this form. There is no need to reinvent anything.

How do I know if I am doing everything I need?

(University of Washington School of Nursing:

<http://www.son.washington.edu/research/internal/Training/Guides/Biosketch.asp>) (07/01/07)

In general, sponsors want the following information:

1. Background information about the PI and the University. (Contact information, certification numbers, tax-exempt status, etc.)
2. Budget: Total dollar amount, categorization of dollar amounts
3. Personnel who will work on the grant and their qualifications.
4. Resources that are already available (and will require no funding) to support the grant activities.
5. Goals for the grant.
6. The tasks and steps that will lead to the goals.
7. Relevance - why it is important for the grant to be funded.

Most sponsors have provided specific forms to help grantees submit this information and/or they provide a list of components that are required in the funding opportunity or press release that announces the grant. When you read through the funding opportunity: look for a list, mark it, and use it to create a grant "to do" list. Most federal grants do not include a clear "to do" list, but one can be easily generated from the table of contents.

Generating a to do list from the PHS 398 forms

1. Read through the funding opportunity and verify that the PHS 398 forms are the appropriate forms to use.
2. Download the [PHS 398 table of contents](#) (07/01/07). There are different tables of contents for a [K \(Career Development Award\)](#) (07/01/07) and [T32 \(Institutional NRSA\)](#) (07/01/07). Check your funding opportunity to see if there is a link to another table of contents.
3. Some of the items listed are not mandatory. Determine if there will be a subcontract (called consortium/contractual arrangement), human subjects, vertebrate animals, select agent research, more than one PI or Resource sharing. If not, omit these sections. If they are appropriate, see below.
4. The following components are forms, download them and put them on the to do list: [face page](#) (07/01/07); [description, performance, etc.](#) (07/01/07); [table of contents](#) (07/01/07); [detailed budget](#) (07/01/07); [total budget](#) (07/01/07); [modular budget](#) (07/01/07); [checklist](#) (07/01/07). You will need a detailed and total budget OR a modular budget. Determine which is appropriate.
5. The [biographical sketch pages](#) (07/01/07) are required for every Key Personnel. Create an item for each of them on your "to do" list.
6. The [resources](#) (07/01/07) have a form page, but it is often written in narrative format using the sections listed.
7. The research plan is written on word, and then formatted with headers and footers similar to those found on the form pages. The plan is sometimes a single item on the PI's to do list, or different parts are counted as different items and may be assigned to different collaborators. If human subjects, vertebrate animals, select agent research, multiple PIs or resource sharing are a part of the grant, they should be written as sections of narrative.
8. If subcontracts are required add the following items: a) to work out the terms and scope of work with the PI at Illinois State University, b) to have the subcontract approved by the PI (the person who will actually will be doing the work) at the subcontract, and c) to have the subcontract approved by the institution (whoever is the PI's boss.)
9. Check the funding opportunity again and determine if there are any extra informational tables, narrative sections, or forms that they are requiring specially.

Generating a to do list from the SF 424 forms

- 1) Download the application for the funding opportunity.
 - a) Log on to www.grants.gov (07/01/07)
 - b) Click on the red "find grant opportunities" tab at the left of the screen. Use the search engine to find a grant. The easiest method is if you search via program announcement number.
 - c) When you have a search result, read the grant announcement to make sure you have the correct grant. At the end of the announcement, there will be a button marked "Apply for grant electronically." This will bring you to a screen that will have a link for downloading the application.
 - d) Open the application in the PureEdge viewer.

All grants are due at 5 p.m. in the time zone from which they are submitted. Since the RSP submits ISU grants, this will always be Central time regardless of the location of the PI.

- 2) Open up the application. You will see a list of sub-forms - some will be required and some will not. ([It should look like this.](#)) (07/01/07) Add the required forms to your to do list.
- 3) Check your application instructions to determine which "optional" documents will be required. If you are applying to HRSA, these are the application instructions that can be downloaded at the same time as your application. If you are applying to NIH, these are the general instructions and the funding opportunity.
- 4) The narrative is written in a word processing program as usual before it is saved to PDF format and uploaded. The instructions for uploading a narrative should be included in the application instructions. The NIH narrative sheet will have different fields for uploading different sections of the narrative. As with the 398 forms, some of these fields will not be required. Determine which are needed and create an item on the to do list for each section.

Generating a to do list without guidance

Grant opportunities do not always provide a clear list of what is required. See the seven basic components above and use them as a guide for a to do list. Keep in mind whatever guidelines are given by the sponsor.

Some grant applications will ask for 3-5 pages or even only one abstract. In that case, each of the components will become only one paragraph or one sentence. In such situations, the goals and methods are the most essential part of the application. The budget may be no more than the total costs; the personnel section becomes only a short paragraph about PI background and qualifications; and the resources are made up of one sentence that lists available equipment.

Some sponsors will ask for a "one page of budget detail" or a "short CV" but give no other guidelines. There is no need to re-create the wheel. The PHS 398 budget form and biosketch can be used.

ORSA Resources Bibliography

Software Manuals:

- Amos 4.0 User's Guide (Arbuckle & Wothke, 1999)
- Adobe Illustrator v 8.0 for Windows – Quick Reference Card
- Dragon Systems: Naturally Speaking – User's Guide (v 4.0, 1999)
- Dragon Systems: Naturally Speaking – Quick Start (v 4.0, 1999)
- Dragon Systems: Naturally Mobile™ Recorder – User's Guide, 2nd ed. (v 4.0, 1999)
- Exploring the Digital Domain – An Introduction to Computing with Multimedia and Networking (Abernethy & Allen, 1999)
- Grant Slam – Public Health Service Grant Application Software
- Interactive LISREL: User's Guide (duToit, duToit, & Hawkins, 2001)
- LISREL 8: New Statistical Features (Jöreskog, Sörbom, duToit, & duToit, 2000)
- LISREL 8: Structural Equation Modeling with the SIMPLIS Command Language (Jöreskog & Sörbom, 1993)
- LISREL 8: User's Reference Guide (Jöreskog & Sörbom, 1996)
- Methodologists Toolchest v 2.0 – User's Guide & Reference Manual (IdeaWorks, 1998)
- Modeling Longitudinal Data (Weiss, 2005)
- Nursing Administration Review for Certification (MedEd Books on Tape)
- Pass 2000 – User's Guide (Hintze, 2000)
- PRELIS 2: User's Reference Guide (Jöreskog & Sörbom, 1996)
- SPSS 14.0 Guide to Data Analysis (Norusis, 2006) (CD-ROM included)
- Statistical Monitoring of Clinical Trials – Fundamentals for Investigators (Moyé, 2006)
- The Complete Reference: Windows 2000 (Ivens & Gardinier, 2000)
- The Ethnograph v 5.0 – A Program for the Analysis of Text Based Data (Seidel, 1998)
- Using NVivo in Qualitative Research (Richards, 1999)
- Using NVivo in Qualitative Research, 2nd ed. (Richards, 2000)

Miscellaneous:

- Healthy People 2010, Volume 1 (U.S Department of Health & Human Services, 2000)
- Healthy People 2010, Volume 2 (U.S Department of Health & Human Services, 2000)
- Implementing Community-Based Education in the Undergraduate Nursing Curriculum (The American Association of Colleges of Nursing, 2000)
- Merriam-Webster's Collegiate® Dictionary, 11th ed. (Merriam-Webster, 2006)
- Nursing Administration Review for Certification (MedEd Books on Tape, Tape Index)
- PATH's Directory of Human Services: Bloomington/Normal (Gibson & Zangerle)
- The John A. Hartford Foundation 2001 Annual Report

Research & Grant Information:

- Action Research in Health (Stringer & Genat, 2004)
- American Medical Association Manual of Style – A Guide for Authors and Editors, 9th ed. (AMA, 1998)
- Design and Analysis of Clinical Nursing Research Studies (Martin & Thompson, 2000)
- Directory of Biomedical and Health Care Grants 2002, 16th ed. (Oryx Press, 2002)
- Grant Application Writer's Handbook (Reif-Lehrer, 1995)
- Grant Application Writer's Handbook, 4th ed. (Reif-Lehrer, 2005)
- Models of Proposal Planning & Writing (Miner & Miner, 2005)
- Publication Manual of the American Psychological Association, 5th ed. (APA, 2001)
- Readings in Research Methodology, 2nd ed. (Downs, 1999)
- Research Administration and Management (Kulakowski & Chronister, 2006)

- Winning Grants Step by Step – Support Centers of America's (Carlson, 1995)
- Winning Strategies for Developing Grant Proposals (Government Information Services, 1999)

Nursing resources:

- Adult Nursing – Acute and Community Care, 2nd ed. (Burrell, Gerlach, & Pless, 1997)
- A Manual of Laboratory and Diagnostic Tests, 7th ed. (Fischbach, 2004)
- Clinical Nursing Skills & Techniques, 5th ed. (Perry & Potter, 2002)
- Critical Thinking in Nursing – An Interactive Approach, 2nd ed. (Rubenfeld & Scheffer, 1999)
- Diabetes A to Z: What You Need to Know About Diabetes – Simply Put, 3rd ed. (American Diabetes Association, 1997)
- Dimensional Analysis for Meds, 2nd ed. (Curren, 2002)
- Foundations of Psychiatric Mental Health Nursing – A Clinical Approach, 4th ed. (Varcarolis, 2002)
- Fundamentals of Nursing, 5th ed. (Perry & Potter, 2001) (CD-ROM Included)
- Handbook of Community and Home Health Care – Tools for Assessment, Intervention, and Education, 2nd ed. (Stanhope & Knollmueller, 1996)
- Health Services Planning, 2nd ed. (Thomas, 2003)
- Health Communication (Thomas, 2006)
- Medical-Surgical Nursing – Critical Thinking in Client Care, 3rd ed. (Lemone & Burke, 2004) (CD-ROM Included)
- Nursing Diagnosis Pocket Manual – A Timesaving Guide to Better Patient Care (Sparks, Taylor, & Dyer, 1996)
- Nursing Drug Guide (Karch, 2002)
- Nursing in Contemporary Society – Issues, Trends, and Transition to Practice (Haynes, Boese, & Butcher, 2004)
- Nursing in the Community – Dimensions of Community Health Nursing, 3rd ed. (Clark, 1999) (CD-ROM Included)
- Physical Examination and Health Assessment, 3rd ed. (Jarvis, 2000)
- Taber's Cyclopedic Medical Dictionary, 16th ed. (Taber's, 1989)
- To Improve Health and Health Care – Volume 7 (Isaacs & Knickman, 2004)

Appendix C: Budget Resources

- Budget Development Checklist
- ISU Budget Review Checklist
- Guidelines for Externally Funded A/P Positions and Responsibilities

Budget Development Checklist

(Adapted from:

<http://www.son.washington.edu/research/internal/GrantInformation/budgetforms/BudChecklist.pdf>) (07/01/07)

Salaries

- List of all roles required for grant aims. Determine how much time (per week and months per year) each will be required to use.
- Find faculty/staff to fill roles, verify that they are willing and available to work on the grant should it be funded.
- Look up current salary for each employee
 - Salaries for faculty should be checked with Diane Folken
 - If any of the positions are TBA, use the salary of an actual employee who is similar in position and experience as the place holder.
- Verify appointment type (i.e. faculty, A/P) and check that the correct rate is used to project benefit costs. Contact Diane Folken (MCN) or Kevin Kelley (Grants Accounting) for assistance.

Consultants

- List all consultants to be used and the extent of their consultation
 - How much time will be spent?
 - Will they write a report via distance or visit onsite?
- Verify the consultant fees that are expected
- Look up travel expenses
 - Airfare rates: contact Suzi Davis travel <http://www.suzidavis.com/> (07/01/07); they will bill MCN directly
 - Refer to the ISU Comptroller's web site for per diem, etc. <http://www.comptroller.ilstu.edu/faculty/travel/reimbursements-travel.shtml> (07/01/07)

Equipment

- List equipment needed to carry out aims of the grant
 - Check if equipment is already owned and if it would be available for us on a potential grant. Be sure to include any supplies needed to run the equipment
 - Check if required computing equipment is available. If the grant will require hiring the equivalent of a full-time employee for data processing, recording, or budget work, a new computer and possibly a printer will be required.
- Get quotes or prices
 - MCN technology staff can help with some items
 - The best source of prices is the company itself. If the company will not provide pricing for a sale that is still hypothetical, look for other grants that have bought similar equipment and use those prices
 - Adjust for inflation. Most grants use 3% per year.
- Create a buying timeline and enter the equipment in the appropriate year of the grant

Supplies

- List all supplies that will be needed to carry out research plan. Find prices or quotes
- Office supplies – remove all supplies that will NOT be used only on the grant
 - Examples of allowable: blank media for data storage; materials to print or package subject materials; colored files to be used to identify one, and only one grant's files
 - Examples of unallowable: pens, notebooks for the PI's general use; paper for a printer that is used on multiple projects.
 - Ink and toner cartridges or paper for printers may only be purchased if the printer will only be used for the one grant

- Software
 - Only allowable if it serves a specific purpose for the grant. General software (MS Office, SPSS, Adobe) should be paid for by indirect costs)
- Miscellaneous supplies – avoid them at all costs. If you anticipate having unforeseen costs, round up other numbers so there is a cushion. If you think you might buy something, put it in anyway to be safe. There should be a name for everything that is bought on the grant

Travel

- List all needs for trips (include conferences, meetings required by funder, local travel in community)
- ISU reimbursement rates can be found at <http://www.comptroller.ilstu.edu/faculty/travel/reimbursements-travel.shtml> (07/01/07)

Subcontracts

- Create a separate budget page for each subcontract. The total costs from that budget page should be entered into the “subcontract” category on the main budget spreadsheet
 - Do not use ISU benefit percentages. Contact the person responsible for payroll at the subcontract site and get a percentage or dollar figure to estimate the cost.
 - All restrictions that apply to the main budget apply to the subcontractor
 - The subcontract should include any travel for the subcontractor to visit ISU and/or communication with PI and other grant officials
 - The subcontract budget should include the subcontractor’s indirect cost rate. The indirect cost rate may not be larger than the ISU grant.

More information about subcontracts can be found at <http://www.comptroller.ilstu.edu/faculty/grants/Subcontracts.shtml> (07/01/07)

Indirect Costs

- If the grant is in response to an RFA, check the RFA to determine the indirect cost rate
- If the RFA specifies that the rate should be paid as agreed with the institution OR if there is no RFA, look up the correct rate at <http://www.comptroller.ilstu.edu/faculty/grants/IndirectCosts.shtml> (07/01/07)
- If the total costs of the grant are capped in a way that it is impossible to carry out the research using the full indirect cost amount, contact the research office about asking for a waiver from the university.

ISU Budget Review Checklist

(<http://www.comptroller.ilstu.edu/faculty/grants/budgetreviewprocess.shtml>) (07/01/07)

I. Salaries

For questions, contact [Kevin Kelley](#)

[Please visit the Illinois State Phonebook or call \(309\) 438-2111 for contact information](#) (07/01/07)

- Make sure a 3-5 percent increase is included for a multi-year awards
- Illinois State employees should be listed under the salary section rather than the Contractual section, even if they are doing consultant work. Fringe benefits should also be applied to these wages.
- Verify salary allowed by agency. Some agencies limit the months and/or total salary allowed.
- [Appendix A](#) (07/01/07) needs completed. Include only salary totals under the Amount column.
- Paperwork will still need to be completed with Human Resources when award is made.

II. Fringe Benefits

For questions, contact [Kevin Kelley](#)

[Please visit the Illinois State Phonebook or call \(309\) 438-2111 for contact information](#) (07/01/07)

- Estimate fringe benefits for each employee included in the proposal
- No benefits on students, except FICA, as noted below
- FICA for student pay is 7.65 percent if they aren't registered for at least 6 credits in the fall and spring and 3 in the summer

III. Indirect Cost

- Current IDC rate is 43 percent MTDC
 - Includes all expenses except
 - Equipment items over \$5,000
 - Scholarships and fellowships
 - The portion of subcontracts that exceeds \$25,000
- 26 percent IDC for off campus proposals where the majority of activities take place in non-Illinois State facilities
- If the agency will not pay 43 percent IDC, [Appendix B](#) (07/01/07) needs completed
- If the program description is available, bring copy to budget review. If no documentation, Research and Sponsored Programs must have approved waiver prior to budget review

IV. Contractual

- Spouses of PI's and other University employees cannot be used as consultants without prior approval of the University President
- Illinois State employees that are consultants need to be paid through Payroll, with benefits, so should be listed under salaries
- Budget should include a separate line for an audit fee, if required. (IBHE-HECA & IBHE-NCLB)
- Telecommunications, postage, software, subscriptions, stipends, duplicating
- Some agencies break out telecommunications separately

V. Commodities

- Office supplies, lab supplies, printing, food/drink, etc.

- Some agencies list printing separately

VI. **Travel**

- See [Travel Voucher for 2007](#) (07/01/07) page for current per diem and mileage rates
- Air travel to foreign destinations must be done on American flag carrier airlines per the Fly America Act
- On ISBE grants, employee travel is included under contractual

VII. **Equipment**

- Items over \$100 with a life of more than one year
- Items need to be listed separately to make sure the correct items are included or excluded from IDC. (See IDC)
- Equipment purchased from Restricted Funds becomes property of Illinois State University and cannot be returned to granting agency at the end of the award.
- Some grantors do not allow the purchase of equipment.

VII. **Subcontracts**

- Research and Sponsored Programs writes contract
- Payment schedule and required reports should be mentioned in subcontract
- Include contact information

IX. **Verify Figures in Budget**

- Make sure all calculations in budget justification are correct and that budget adds up correctly
- Obtain signature on Proposal Submission Form, Section V, Budget Review
- Make appointment with Grants Accounting for review

Appendix D: Forms

- ISU-RSP Proposal Submission Form (“blue sheet”)
- Externally Sponsored Grants and Contracts – Personnel Hiring Checklist (RSP Appendix A)
- Indirect Cost Rate Form (RSP Appendix B-1)
- Indirect cost Split Form (RSP Appendix B-2)
- Cost Sharing Worksheet (RSP Appendix C)
- Technology Resources on Externally Funded Projects (RSP Appendix D)
- RSP NIH New PI Registration Sheet
- Subcontract Information
- Two Party Agreements
- GA Work Schedule Template
- Travel/Budget Request Form
- Travel Vouchers

Illinois State University ~ Research & Sponsored Programs ~ Proposal Submission Form

Sponsored Programs Office Use Only

(Time & Date Rec'd in RSP Office)

Sponsored Programs
Submission Sign-Off _____ Date Mailed _____

RSP No. _____

Restricted Acct. No. _____

Original Budget Period _____ To _____

Agency No. _____

Type: Federal Federal Flow Through State Corporate Other

NOTE: RSP REQUIRES **THREE WORKING DAYS** TO PROCESS GRANT PROPOSALS OR CONTRACTS. You are responsible for providing a proposal for final processing through the RSP that conforms to agency guidelines and for informing appropriate RSP staff of specific requirements. A copy of the agency guidelines (RFP) must be attached.

Has your College Research Coordinator (CRC) reviewed this project? __Yes __No

I. Principal Investigator (PI) Information

PI
Name _____ Dept. _____ Email _____

Telephone _____ Mail Code _____ Fax _____ % of Project Participation _____ %

Co -PI
Name _____ Dept. _____ % of Project Participation _____ %

Co -PI
Name _____ Dept. _____ % of Project Participation _____ %

Co -PI
Name _____ Dept. _____ % of Project Participation _____ %

Fiscal Agent Name _____ Email _____ Total should equal 100%

II. Project Information

Project Title _____

Funding Source/ Agency _____ First Year Amount \$ _____

Total Amount \$ _____

Agency Contact Person _____ Fax/ Phone _____

III. Submission Information

Submission Deadline: Postmarked _____ On-Site _____ No. of Copies Required: Original + _____

Proposal Mailing Address:
To Be Sent To _____

Address _____

Submission Type (check one) New Continuation/ Renewal Supplemental Fixed Price Revision Preliminary Proposal

Classification: (check one) Instruction Research Public Service Other

Project Based: (check one) On Campus Off Campus

Project Summary: Please provide a one or two sentence non-technical summary of your project: _____

IV. Special Needs (please check all that apply and submit appropriate appendices or forms as indicated)

- | | | |
|---|--|---|
| <input type="checkbox"/> Salary Issues/Personnel Appointments
(Appendix A) | <input type="checkbox"/> Use of Hazardous Chemicals/Waste
(Appendix E) | <input type="checkbox"/> Use of Human Subjects
(IRB Form not required until time of award) |
| <input type="checkbox"/> Indirect Cost Rate
(Appendix B-1) | <input type="checkbox"/> Use of Radioactive Isotopes
(Appendix E) | <input type="checkbox"/> Use of Animals
(IACUC Form not required until time of award) |
| <input type="checkbox"/> Indirect Cost Split
(Appendix B-2) | <input type="checkbox"/> Development of Subcontracts/MOUs
(Subcontract/MOU Form) | <input type="checkbox"/> Use of Recombinant DNA |
| <input type="checkbox"/> Proposal Involves Cost Sharing
(Appendix C) | <input type="checkbox"/> Contract Course/Tuition Waivers
(Tuition Waiver/Course Fee Form) | <input type="checkbox"/> Special Audit |
| <input type="checkbox"/> Special Technology Resources
(Appendix D) | <input type="checkbox"/> URG Support Received | <input type="checkbox"/> Remodeling of Space |

V. BUDGET REVIEW: Please attach a copy of the final project budget to this form. Budget must be reviewed and approved by the Comptroller's Office BEFORE obtaining institutional signatures (call Barb 438-5694, Kevin 8-3291, Lisa 8-2267, or Michele 8-5736 for an appointment).

P.I. please complete:

	Current Period	Total Period (for multi-year)		Current Period	Total Period (for multi-year)
Requested Start Date	___/___/___	___/___/___	Direct Costs	\$ _____	\$ _____
Requested End Date	___/___/___	___/___/___	F/Ad Costs	\$ _____	\$ _____
To be completed by Grants Accounting Area:			Total	\$ _____	\$ _____

 Signature/Date

VI. PRINCIPAL INVESTIGATOR RESPONSIBILITY:

Institutional Compliance Assurance – Submission

It is understood that if an award results from this application, I (We) will conduct the project in accordance with the terms and conditions of the sponsoring agency and the policies of the University, and I (We) will be fully responsible for meeting the requirements of the award, including providing the proper stewardship of sponsored funds, monitoring performance of any sub award or subcontracts, submitting all technical reports and deliverables on a timely basis, and properly disclosing all inventions to the Associate Vice President for Research, in accordance with Federal policy or contractual terms.

By signing this form, you are certifying that you have submitted a listing of your known Significant Financial Interests (and those of your spouse and dependent children) that might reasonably appear to be affected by the research being proposed.

The Principal Investigator(s) certify the following:

I (We) certify that the information submitted within this application is true, complete and accurate to the best of my (our) knowledge,

I (We) understand that any false, fictitious, or fraudulent statements or claims may subject me (us) to criminal, civil, or administrative penalties,

I (We) agree to accept responsibility for the scientific conduct of the project and to provide the required progress reports if a grant is awarded as a result of this application.

ALL INVESTIGATORS/PROJECT DIRECTORS MUST SIGN:

_____	_____	_____	_____
Principal Investigator/Project Director	Date	Co-PI/Project Director	Date
_____	_____	_____	_____
Co-PI/Project Director	Date	Co-PI/Project Director	Date
_____	_____	_____	_____
Co-PI/Project Director	Date	Co-PI/Project Director	Date
_____	_____	_____	_____
Co-PI/Project Director	Date	Co-PI/Project Director	Date

VII. DEPARTMENT/COLLEGE APPROVALS: By signing this form, the chair and dean (or appropriate director) confirm that the project is academically appropriate and consistent with ISU's mission and that necessary personnel and/or resources are or will be available if an award results from this proposal. If an interdisciplinary project, signature also indicates approval of the facilities and administrative split indicated in Appendices B-2 & C of this form.

_____	_____	_____	_____
Department Chairperson	Date	Dean of the College	Date
_____	_____	_____	_____
Department Chairperson	Date	Dean of the College	Date
_____	_____	_____	_____
Department Chairperson	Date	Dean of the College	Date
_____	_____	_____	_____
Department Chairperson	Date	Dean of the College	Date

Appendix A: Externally Sponsored Grants and Contracts~ Personnel Hiring Checklist

As the principal investigator of an externally sponsored grant or contract, it is your responsibility to forward information, to Academic Personnel, for any personnel you may be hiring. **All personnel appointment information (except Civil Service positions) must be received in Academic Personnel by the 10th of the month to receive payment in that month.**

Please review the following checklist for hiring procedures for different employee categories. Please review the following checklist for hiring procedures for different employee categories. If you have any questions, please contact Human Resources at 438-8311 or hr@IllinoisState.edu.

Please complete all applicable portions of this form and attach to your Proposal Submission Form. Please keep a copy for your reference

- | | | |
|--------------------------|--------------------------|--|
| Yes | No | |
| <input type="checkbox"/> | <input type="checkbox"/> | Will you be employing civil service personnel (hourly)? |
| <input type="checkbox"/> | <input type="checkbox"/> | Will you be employing student worker(s)? |
| <input type="checkbox"/> | <input type="checkbox"/> | Will you be employing Graduate Assistant(s) and/or Graduate Practicum Student(s)?
If you will be employing students on a graduate practicum, please contact the RSP at 438-2528 |
| <input type="checkbox"/> | <input type="checkbox"/> | Will you be employing new Administrative/Professional (A/P) personnel? |
| <input type="checkbox"/> | <input type="checkbox"/> | Will any currently employed Faculty or Administrative/Professional staff be receiving pay from this project and/or grant?
If yes, complete the information below for each faculty/staff employee to be paid. |

PAYMENTS TO BE MADE TO CURRENTLY EMPLOYED FACULTY OR ADMINISTRATIVE/PROFESSIONAL PERSONNEL

	Type of pay	Amount	Period to be distributed
Name _____	<input type="checkbox"/> Purchased Release Time	\$ _____	_____
University Identification # _____	<input type="checkbox"/> Summer Salary	\$ _____	_____
	<input type="checkbox"/> Administrative Increment	\$ _____	_____
	<input type="checkbox"/> Extra Pay	\$ _____	_____
Name _____	<input type="checkbox"/> Purchased Release Time	\$ _____	_____
University Identification # _____	<input type="checkbox"/> Summer Salary	\$ _____	_____
	<input type="checkbox"/> Administrative Increment	\$ _____	_____
	<input type="checkbox"/> Extra Pay	\$ _____	_____
Name _____	<input type="checkbox"/> Purchased Release Time	\$ _____	_____
University Identification # _____	<input type="checkbox"/> Summer Salary	\$ _____	_____
	<input type="checkbox"/> Administrative Increment	\$ _____	_____
	<input type="checkbox"/> Extra Pay	\$ _____	_____

Appendix B-1

Indirect Cost Rate

Completion required for all proposals prior to budget approval. Signature of Associate VP for Research required only if requesting a rate that varies from those predefined in I. below.

I. Sponsored Project Pre-defined indirect rates: (check one, signature not required)

_____ **43% Federally negotiated rate, on-campus program**

A project is considered on-campus if the majority of (non-subcontract) project activity and direction takes place in a facility owned by the university or the project utilizes significant university on-campus resources.

_____ **26% Federally negotiated rate, off-campus program**

_____ **20% For-Profit external agency or business or higher _____% (20% is intended to be a minimum, higher rate is preferable)**

_____ **10% Non-Profit external agency, including State of Illinois or Graduate Practicum or higher _____% (10% is a reasonable expectation, higher rate OK when allowable)**

_____ **_____ % Total grant is less than \$4,000 and rate is not stated by granting agency**

_____ **_____ % Specified or Prohibited by Agency or Program Sponsor (including State of Illinois and federal pass-through State of Illinois)
(With Attached Written Documentation from Agency or Sponsor)**

II. Rate requested: (if other than above – signature required)

_____ **_____ % Rate Requested by Principle Investigator**

Please provide justification for in space below or attach written justification

Signature Required

Associate Vice President for Research

The federal negotiated rate is:

43% for on-campus programs from 7/01/05 through 6/30/08; 42.5% for on-campus programs after 6/30/08 until amended; 26% for off-campus programs through 6/30/08 and then until amended. This rate is to be applied to the total direct costs of the sponsored program including all salaries and wages, fringe benefits, materials, supplies, services, travel. Sub grants and subcontracts are subject to the first \$25,000 of each subcontract or sub grants (regardless of the period of time covered). The rate is not applied to equipment*, capital expenditure, charges for patient care, tuition remission, rental costs of off-site facilities, scholarships, and fellowships as well as the portion of sub grants and subcontracts in excess of \$25,000. (*Equipment is further defined as an article of nonexpendable, tangible personal property, having a useful life more than one year and an acquisition costs of \$5,000 or more per unit.)

Appendix B-2

Indirect Cost Split

Completion required if requesting a split of indirects between multiple colleges or departments. Signatures of affected Project Investigators, Co-Project Investigators, Chairs, and Deans are required.

INDIRECT COST SPLIT:

If the department or college portion of the recovered indirects will be split between multiple colleges and/or departments, please indicate the % of those splits below. (PI and Co-PI Signatures Required Below)

College/Department split:

_____	_____	_____
College/Dept.	PI Signature	%
_____	_____	_____
College/Dept.	Co-PI Signature	%
_____	_____	_____
College/Dept.	Co-PI Signature	%
_____	_____	_____
College/Dept.	Co-PI Signature	%
_____	_____	_____
College/Dept.	Co-PI Signature	%

TOTAL 100%

Signatures Required

_____	_____	_____
Department Chair	Department Chair	Department Chair
_____	_____	_____
Dean	Dean	Dean

RSP Number _____

Appendix C: Cost Sharing

Included in Proposal? _____ Yes _____ No
 Required by Sponsor? _____ Yes _____ No

Contributed Effort of Employees

Last name	First Name	UID	% of time	\$ amount	Period	
					From	To
<i>Example*</i>						
Smith	Joe	123-45-6789	100%	\$9,000	5/16/2003	8/15/2003
Smith	Joe	123-45-6789	25%	\$6,750	8/16/2002	5/15/2003

*Use a different line for each semester and for each period that has a different % of time.

Other Cost Sharing

Budget Line Item (e.g. equip, supplies)	Dollar Amount						Period	
	College	Dept.	College	Dept.	Other	Total	From	To
Totals								

<i>Example</i>								
<i>Supplies</i>	\$500	\$500				\$1,000	7/1/2002	6/30/2003
<i>Supplies</i>		\$1,000				\$1,000	7/1/2003	6/30/2004

Initials of responsible parties:

Chair _____
Chair _____
Chair _____
Chair _____

Dean _____
Dean _____
Dean _____
Dean _____

Cost sharing obligations, including documentation, are the responsibility of the Fiscal Agent.
Please refer to University Policy 7.4.6. http://www.policy.ilstu.edu/fiscal/cost_sharing.html

Appendix D ~ Technology Resources on Externally Funded Projects

The purpose of this form is to help you consider the technology resource implications of your project. Use this list to organize your thoughts. The completed form will be forwarded to the Associate Vice President for Technology. If you have any questions, you may contact that office at 309.438.2430. If the project is funded, it is the PI's responsibility to consult with the appropriate Unit(s) on the availability of support on these specific technical issues. **Please do not assume that these support services are automatically available or free.**

If funded this project will require: (please check all that apply)

College	University	Type of technology support needed:
		a Web presence.
		a Web site hosted on an Illinois State server. Where?
		a Web site requiring purchase and support of a server.
		a Web site with a custom Web address. (See the guidelines for Web presence at ISU at www.iwss.ilstu.edu) (07/01/07)
		assistance with Web site design and coding from Illinois State personnel.
		additional telecommunication networking/ phone lines, and/or wireless access.
		assistance with the development of multi-media services such as power point, individual web pages, digital images, digital video, digital audio/music, or special print services.
		additional telecommunications or networking services such as telephone lines, cellular service, wired or wireless network access, additional Internet bandwidth, or access to Internet 2.
		assistance with distance education delivery.
		special email services such as automated mailing lists, <i>listservs</i> etc.
		assistance with new hardware selection or installation.
		a modification or addition to technology in an existing classroom.
		temporary University Logon ID (ULID) accounts for guests.
		local file or Web server administration support.
		access to Active Directory or LDAP for authentication.
		Server security consulting, including generation of server certificates.

Subcontract Information

COMPLETE THIS FORM AND SUBMIT FOR ANY AWARD WHICH REQUIRES A SUBCONTRACT. IF MULTIPLE SUBCONTRACTS ARE REQUIRED, COMPLETE ONE FORM FOR EACH SUBCONTRACT.

1. **ISU Principal Investigator** _____
2. **Subcontractor's Federal Tax Number** _____
3. **Type of Organization** (higher education, 501 © 3, etc.) _____
4. **Legal Name of Subcontractor** (ex: For Illinois State University, the legal name is "Illinois State University") _____
5. **Period of Performance** Start date: _____ End date: _____
6. **Amount of Subcontract \$** _____
7. **Final Reports/Work Products** (Provide a brief description of what the Subcontractor must provide)

8. **Name/ Address/ Phone/ Fax for Subcontractor's Project Director/ PI** _____

9. **Name/ Address/ Phone/ Fax for Subcontractor's Business Official** _____

9. **Scope of Work and Budget** Attach a short (1 page or less) description of exactly what the Subcontractor will be doing under the award (for the first year only if a multi-year project; the subcontract will be amended each year with additional funding and a new one year scope of work). Also, attach a subcontract project budget with appropriate budget lines. A subcontract is a legally binding document; it must be as specific as possible. A general description taken from the proposal is not appropriate.

If you have any questions concerning this form, please contact the Research and Sponsored Programs, Illinois State University, 438-2528.

Research And Sponsored Programs

NIH: New PI Registration Sheet

In order to add your name to the list of current PI's from Illinois State University on the NIH Commons database, the following information is needed. **(Please note: NIH requires the use of SSN, we cannot use your ISU UID.)** Once RSP receives this information from you, it will be entered into the NIH Commons database, and NIH will send you a temporary password via e-mail. You will be required to change this password the first time you log on to NIH Commons. If you should forget your password, contact RSP, and we will reset your password. If you have any questions about this or any other NIH Commons issues, please contact Research and Sponsored Programs at 8-2528.

First Name _____

Last Name _____

Middle Initial _____ Suffix (Jr., Sr., III) _____

User Name (please create one) _____ (must be 6-12 characters)

E-mail Address _____

Birth Date: (mm/dd/yyyy) _____

Social Security # _____

Prior NIH Support: Yes _____ No _____

- If "YES", please provide grant number if possible

IC _____ Serial Number _____

Please return the completed form to the RSP at Campus Box 3040 or email as an attachment to jswanton@ilstu.edu.

This is a Sample Document, NOT the Original!!

**ILLINOIS STATE UNIVERSITY
TWO PARTY AGREEMENT**

Name:

Address:

City, State, Zip:

ARTICLE 1 – The parties (The Board of Trustees of Illinois State University and the above named) hereto agree as follows: The above named shall provide the following services during the term of the agreement.

The services provided for herein shall be performed by the above named. No person or subcontractor other than above named shall be engaged upon such services, unless a written statement is provided to the contrary and a list, with names, addresses, and the anticipated amount of money subcontractor will receive is attached to the agreement. This provision shall not apply to secretarial and clerical services needed by the above named to assist in the performance of this agreement. Above named shall not hire University employees to perform any portion of the work or services provided for herein, including clerical, secretarial, and similar incidental services, except upon the written approval of the University.

ARTICLE 2 - Place of Performance

Above named shall perform his/her services under this contract at Illinois State University campus, unless work is to be performed off campus, address listed below:

ARTICLE 3 -Term of Agreement

The term of performance of this agreement shall be from _____ until _____ inclusive. (Not beyond June 30 of the fiscal year if to be paid from State Appropriated Funds.) This agreement may be terminated by either party upon ten (10) days prior written notice to the other party. In the event of termination, the above named shall be paid on a per diem basis for services performed under this agreement.

ARTICLE 4 -Fee and Payment

In consideration of performance of this contract, the above named shall receive a fee of \$ _____ per _____ up to a maximum of \$ _____ for the period which is inclusive of all expenses incurred. Payment shall be made upon submission of a signed invoice to the University Purchasing Office.

ARTICLE 5 -Conflict of Interest

No Contract will be awarded to a member of the immediate family of any employee of the University, or to a firm, partnership, association or corporation the owner or principal owners or major officers or primary employees of which are members of the immediate family of employees of Illinois State University, unless such purchase or contract has been approved in writing by the President of the University.

Above named hereby affirms, that to the best of his knowledge there exists no actual potential conflict between above named's family, business or financial interest and his/her services under this agreement and in the event of change in either his/her private interests or service under this agreement, he/she will raise with the University any questions regarding possible conflict of interest which may arise as a result of such change.

ARTICLE 6 - Independent Contractor

The parties to this contract intend that the relation between them created by this contract is that of University and Independent Contractor. The University is interested only in the results obtained under this contract; the manner and means of providing the services called for by this contract are under the sole control of the contractor. Above named will not be considered to be an agent or employee of the University for any purpose.

ARTICLE 7 - Liability

Contractor/vendor shall indemnify the University against all liability or loss, and against all claims or actions based upon or arising out of damage or injury (including death) to persons or property caused by the negligent performance of this contract by above named.

ARTICLE 8 - Other

This contract is subject to termination and cancellation without penalty in any year for which the General Assembly fails to make an appropriation to make payments under the terms of the contract. In the event of termination for lack of appropriation, payment will be made for services performed up to the effective date of termination.

Contractor/vendor certifies it is not a State of Illinois employee, nor is any State of Illinois employee entitled to more than seven & one half percent (7K%), or together with a spouse or minor child more than fifteen percent (15%), of the total distributable income of seller. (30 ILCS 500/50-13)

Contractor/vendor certifies that same has not committed bribery or attempted bribery of an officer or employee of the State of Illinois. (30 ILCS 500/50-5). Contractor/vendor certifies that same has not been barred from conducting business with the State of Illinois or any State agency as a result of being convicted of a felony. (30 ILCS 500/50-10).

Contractor/vendor certifies that neither their business nor any officer, director, partner, or other managerial agent of the business has been convicted of a felony under the Sarbanes-Oxley Act of 2002 or a Class 3 or Class 2 felony under the Illinois Securities Law of 1953 for a period of five years prior to the date of the bid or contract. Every bid submitted to and contract executed by the State shall contain a certification by the bidder or contractor that the contractor is not barred from being awarded a contract under this Section and that the contractor acknowledges that the contracting State agency shall declare the contract void if the certification completed pursuant to this subsection is false. If a business is not a natural person, the prohibition applies only if:

1. The business itself is convicted of a felony.
2. The business is ordered to pay punitive damages based on the conduct of any officer, director, partner, or other managerial agent who has been convicted of a felony. (30 ILCS 500/50-10.5)

Contractor/vendor certifies per 770ILCS 5/33E-11 that same has not been barred from contracting with any unit of state or local government as a result of a violation of 720 ILCS 5/33E-3 (bid-rigging) or 720 ILCS 5/33E-4 (bid-rotating). Contractor/vendor certifies that same is not in default for a period of six (6) months or more in the amount of \$600 or more on the repayment of any educational loan guaranteed by the State Scholarship Commission under the Higher Education Student Assistance Law, or any educational loan made by any institution of higher education made under the Illinois Independent Higher Education Loan Authority under the Illinois Independent Higher Education Loan Authority Act, or any other loan from public funds made for the purpose of financing an individual's attendance at an institution of higher education. (5 ILCS 385/3).

Contractor/vendor certifies that same is not barred from being awarded a contract pursuant to 30 ILCS 500/50-11, which prohibits a person from submitting a bid or entering into a contract with a State agency if he/she or any affiliate knows or should have known that he/she or any affiliate is delinquent in the payment of any debt to the State, as determined by the Debt Collection Board, unless they have entered into a deferred payment plan. Further, contractor/vendor acknowledges that the contracting State agency may declare any contract void if contractor/vendor becomes delinquent in the payment of any debt as set forth in 30 ILCS 500/50-11 during the term of this contract.

Contractor/vendor certifies that same has not been found in willful or knowing violation of the Environmental Protection Act. Unless otherwise provided, no person or business found by a court or the Pollution Control Board to have committed a willful or knowing violation of Section 42 of the Environmental Protection Act shall do business with the State of Illinois or any State agency from the date of the order containing the finding of violation continues to have any involvement with the business. A person or business otherwise barred from doing business with the State of Illinois or any State agency may be allowed to do business with the State of Illinois or any State agency if it is shown that there is no practicable alternative to the State to contracting with that person or business. (30 ILCS 500/50-12)

Contractor/vendor certifies that same has read the Drug-Free Workplace Act (30 ILCS 580/1, et. seq.) and is in compliance with the act on the effective date of this contract. The Act requires, in part, that contractor/vendors with 25 or more employees take steps to ensure a drug free workplace by informing employees of the dangers of drug abuse, of the availability of any treatment or assistance programs, of prohibited activities and of sanctions that will be imposed for violation; and that contractors/vendors not engage in the unlawful manufacture, distribution, dispensation, possession, or use of a controlled substance in the performance of the contract.

Contractor/vendor shall comply with the requirements of 30 ILCS 500/20-65, which includes the requirement to maintain books and records relating to the performance of this contract or subcontract and necessary to support amounts charged to the State under the contract or subcontract, for a period of three (3) years from the later of the date of final payment under the contract or completion of the contract and by the subcontractor for a period of three (3) years from the later of the date of final payment under the subcontract or completion of the subcontract.

Contractor/vendor certifies that neither the contractor nor any substantially-owned affiliated company is participating or shall participate in an international boycott in violation of the provisions of the U.S. Export Administration Act of 1979 (50 USCA App. §2401 et seq.) or the regulations of the U.S. Department of Commerce promulgated under that Act.

Contractor/vendor agrees to comply with applicable provisions of the Illinois Human Rights Act (775 ILCS 5/1-102 et seq.), the U.S. Civil

Rights Act, the Americans with Disabilities Act, Section 504 of the U.S. Rehabilitation Act and the rules applicable to each. The equal employment opportunity clause of the Illinois Human Rights Act is incorporated herein (775 ILCS 512-105). Contractor/vendor shall comply with Executive Order 11246, entitled "Equal Employment Opportunity", as amended by Executive Order 11375, and as supplemented by U.S. Department of Labor regulations (41 CFR 60-1, et seq.). Contractor/vendor agrees to incorporate this clause into all subcontracts under this contract.

Contractor/vendor certifies in accordance with the State of Illinois State Prohibition of Goods from Forced Labor Act (30ILCS 583/) that no foreign-made equipment, materials, or supplies furnished to the State may be produced in whole or in part by forced labor, convict labor, or indentured labor under penal action.

Contractor/vendor certifies in accordance with the State of Illinois Prohibition of Goods from Child Labor Act 94-0264 that no foreign-made equipment, materials, or supplies furnished to the State under the contract have been produced in whole or in part by the labor of any child under the age of 12.

Contractor/vendor certifies in accordance with the State of Illinois Steel Products Procurement Act (30 ILCS 565/) that each contract for the construction, reconstruction, alteration, repair, improvement or maintenance of public works made by a public agency shall contain a provision that steel products used or supplied in the performance of that contract or any subcontract shall be manufactured or produced in the United States.

Contractor/vendor certifies in accordance with the State of Illinois Public Works Preference Act (30 ILCS 5604 and Employment of Illinois Workers on Public Works Act (30ILCS 570/) that every person who is charged with the duty of constructing of building any public works project or improvement for the State of Illinois shall employ only Illinois laborers, unless such are not available, or are incapable of performing the particular type of work involved.

Contractor/vendor certifies in accordance with the State of Illinois Public Works Employment Discrimination Act (775 ILCS 10/) that no contractor, subcontractor, nor any person on his or her behalf shall, in any manner discriminate against or intimidate any employee hired for the performance of work for the benefit of the State.

Contractor/vendor certifies that they, and all relevant subcontractors and affiliates, are in compliance with the State of Illinois Prevailing Wage Act (820 ILCS 130/), if applicable. Also, for printing services, if order is \$2,000 or more, employees who are to produce the printing are receiving the prevailing wage rate and are working under conditions prevalent in the locality where the work is to be performed (30ILCS 500/25-60). Unless otherwise indicated, printing must be produced using soybean oil-based ink (50 ILCS 520/10).

Contractor/vendor certifies that they are in compliance with the requirement of 30 ILCS 500/30-22, which states: Construction contracts; responsible bidder on a construction contract for purposes of this Code, a bidder must comply with all of the following requirements and must present satisfactory evidence of that compliance to the appropriate construction agency:

1. The bidder must comply with all applicable laws concerning the bidder's entitlement to conduct business in Illinois.
2. The bidder must comply with all applicable provisions of the Prevailing Wage Act.
3. The bidder must comply with Subchapter VI ("Equal Employment Opportunities") of Chapter 21 of Title 42 of the United State Code (42 U.S.C. 2000e and following) and with Federal Executive Order No. 11246 as amended by Executive Order NO. 11375.
4. The bidder must have a valid Federal Employer Identification Number or, if an individual, a valid Social Security Number.
5. The bidder must have a valid certificate of insurance showing the following coverages: general liability, professional liability, product liability, workers' compensation, completed operations, hazardous occupation, and automobile.
6. The bidder and all bidder's subcontractors must participate in applicable apprenticeship and training programs approved by and registered with the United States Department of Labor's Bureau of Apprenticeship and Training.

The provisions of this Section shall not apply to federally funded construction projects if such application would jeopardize the receipt of use of federal funds in support of such a project.

If this contract is federally funded, the vendor certifies that:

Debarment and suspension (E.O.s 12549 and 12689): Vendor certifies that it is not debarred, suspended or otherwise excluded from or ineligible for participation in Federal assistance programs or activities.

Copeland "Anti-Kickback" Act (18 U.S.C. 874 and 40 U.S.C. 276c): (pertains to construction or repair contracts over \$2,000) The vendor and its subcontractors certifies that it complies with the Copeland Anti-Kickback Act which provides that each contractor or subcontractor is prohibited from inducing, by any means, any person employed in the construction, completion, or repair of public work, to give up any part of the compensation to which he is otherwise entitled. The recipient shall report all suspected or reported violations to the Federal awarding agency.

Contract Work Hours and Safety Standards Act (40 U.S.C. 327-333): (pertains to construction contracts over \$2000 and mechanics and laborers contracts over \$2500) Vendor certifies that it complies with the Sections 102 and 107 of the Contract Work Hours and Safety Standards Act. Section 102 requires contractors to compute the wages of every mechanic and laborer on the basis of a standard work week of 40 hours with compensation of 1 % times the basic rate of pay for all hours worked in excess of the 40 hours. Section 107 provides that no laborer or mechanic shall be required to work in surrounding or under working conditions which are unsanitary, hazardous or dangerous.

Rights To Inventions Made Under a Contract or Agreement (pertains to contracts for performance of experimental, developmental, or research work) Any resulting contract or agreement for the performance of experimental, developmental, or research work shall provide for the rights of the Federal Government and the recipient in any resulting invention in accordance with 37 CFR part 401.

Clean Air Act (42 U.S.C. 7401 et seq.) and the Federal Water Pollution Control Act (33 U.S.C. 125 1 et seq.), as amended: (pertains to contracts over \$100,000) Vendor certifies that it and its subcontractor(s) comply with all applicable standards, orders or regulations issued pursuant to this Clean Air Act and this Federal Water Pollution Control Act.

Byrd Anti-Lobbying Amendment (31 U.S.C. 1352): (pertains to contracts over \$100,000.) Vendor and its subcontractors certify that Federal appropriated funds have not and will not be used to pay any person or organization for influencing or attempting to influence an officer or employee of any agency, a member of Congress, officer or employee of Congress, or an employee of a member of Congress in connection with obtaining any Federal contract, grant or any other award covered by 31 U.S.C. 1352. The contractor and its subcontractor(s) shall disclose any lobbying with non-Federal funds that takes place in connection with obtaining any Federal award.

Please check the statement below that applies to the articles you are offering in this bid/proposal if applicable. For the purposes of this question "manufactured in the United States" means in the case of assembled articles that final assembly occurred in the United States.

- We certify that all offered articles were/will be manufactured in the United States.
We understand that, if we are awarded a contract based on the preference for US manufactured goods under the Procurement of Domestic Products Act (PA 93-0954), this certification will become part of the contract, and, if we knowingly supply non-US manufactured goods, we will be subject to penalties that include debarment of 5 years, voiding of the contract, and civil damages.
- We are unable to certify that all offered articles were/will be manufactured in the United States.

Under penalties of perjury, I certify that _____ is my correct Federal Taxpayer Identification Number or Social Security Number. (Individuals & Sole Proprietorships indicate Social Security Number. Other Entities indicate FEIN).

Business or Individual's Name _____
(as it appears on U.S. Government issued document)

I am doing business as: (please check one)

- | | | |
|---------------------------|--|-------------------------------------|
| _____ Individual | _____ Real Estate Agent | _____ Not for Profit Corp. |
| _____ Sole Proprietorship | _____ Government Entity [IRS 501 (A) only] | _____ Tax Exempt Org. |
| _____ Partnership | _____ Trust or Estate Provider Corporation | _____ Medical & Health Care Service |
| _____ Corporation | | |

Proprietorships, Partnerships & Corporations must indicate the name of each individual having a beneficial interest of more than 7 1/2 % and each individual who, together with spouse or minor children, has a beneficial interest of more than 15% if contract amount exceeds \$5,000.00.

If a Corporation, identify Corporate Officers & Directors:

Are any of the persons listed above Elected Officials, Members of the General Assembly, State Officers, Illinois State University Employees, Illinois State Employees or the spouse or minor child of such Official, Assembly Member, Officer or Employee? Yes No

Illinois Dept. of Human Rights (FEPC) Pre-qualification Number: _____ Exempt

This number or a statement by the contractor/vendor that a PC-1 Employer Report form has been submitted to the commission is necessary for the contractor/vendor to be eligible for consideration on this contract. Contact the Illinois Dept. of Human Rights, 100 W. Randolph St., Chicago, IL 60601, (312)814-2432 for further information. All persons (or firms) employing 14 or fewer individuals at all times during the past 365 days are exempt from the IDHR requirement and should check the "Exempt" box.

Identification of residency status in the United States of America:

I attest, under penalties of perjury, that I am (check one of the following):

- A citizen or national of the United States of America
- A non-U.S. citizen. If a non-U.S. citizen, indicate immigration status

By signing this form, Contract/vendor signifies acceptance and compliance with the terms and conditions shown herein. Any exemptions must be clearly identified in a cover letter referencing the pertinent section. Persons signing this form represent that they are authorized to bind their respective entities.

CONTRACTOR/VENDOR SIGNATURE _____

Signature

Date

APPROVALS FOR THE BOARD OF TRUSTEES OF ILLINOIS STATE UNIVERSITY

Director of Purchases if over \$2500.00

Date

Illinois State University Fiscal Agent

Date

**MENNONITE COLLEGE OF NURSING
GRADUATE ASSISTANT WORK SCHEDULE
FALL 2007**

Graduate Assistant Name:

Supervisor Name:

Day	Time you are scheduled to work at MCN
Monday	
Tuesday	
Wednesday	
Thursday	
Friday	

****IF YOU CHANGE YOUR SCHEDULE YOU MUST SUBMIT A NEW DOCUMENT WITH THE
REQUIRED SIGNATURES**

(Graduate Assistant Signature)

(Supervisor Signature)

(Office of Research and Scholarly Activities Representative Signature)

**MENNONITE COLLEGE OF NURISNG
at IILINOIS STATE UNIVERISTY
*Travel/Budget Request – FY08**

Name of Conference _____

Conference Location _____

Dates of Conference _____

Reasons for Attending _____

Requested Expenses:

	Standard Rate (if applicable)	# of Days/Miles (if applicable)	Total
Conference Registration Fee			
Travel Expenses to Conference			
Airfare			
Mileage	\$0.485		\$0.00
Other - please describe			
Ground Transportation while attending Conference			
Taxi			
Other – please describe			
Lodging			
Meals – Within the State – per diem rates	\$28.00/day		\$0.00
Meals – Out of State – per diem rates	\$32.00/day		\$0.00
Other- please provide description of expense			

Total Requested to Attend Conference **\$0.00**

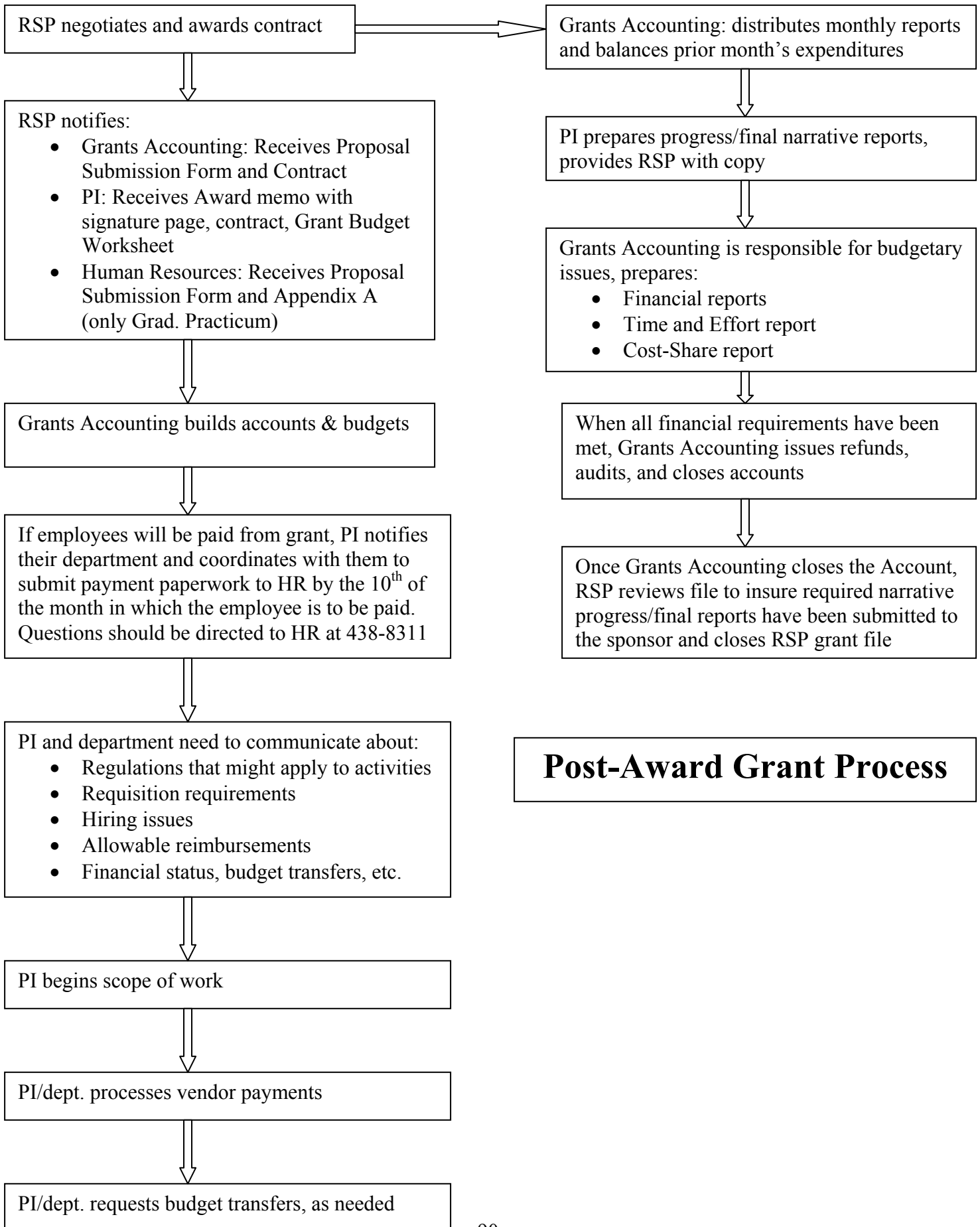
Requested By: _____ **Date:** _____

Approved By: _____ **Date:** _____

**This is a sample of "The Travel/Budget Request" form. The original document can be found in the V:\ Dive in the folder "Forms Blank & Archived". Document named "Travel Budget Request Form FY08.xl"*

Appendix E: Post-Award

- RSP Post-Award Process
- RSP Post-Award Information Sheet



Post-Award Grant Process

Post-Award Information Sheet
Research and Sponsored Program: 438-2528
Campus Box 3040

- ❖ Sign and return Institutional Agreement for Externally Sponsored Projects to Research and Sponsored Programs, Campus Box 3040
 - After the agreement is returned you will receive notification of the **account numbers** for payroll and the Datatel system from RSP
- ❖ Does the grant provide the **salaries or release time** for current or new faculty, staff, or graduate assistants? The fiscal agent and/or PI are responsible for notifying Human Resources of any salary payments to be made
 - Contact Human Resources (438-8311 or hr@illinoisState.edu)
- ❖ Is there any piece of the project being **subcontracted** to another institution or individual?
 - Complete the “Subcontractor Information Form” available on the RSP website <http://www.rsp.ilstu.edu/forms/> (07/01/07)
 - Send this form to Janet Goucher in the RSP office (jgouche@ilstu.edu – Campus box 3040)
- ❖ The individual designated as the **fiscal agent** will receive monthly reports through Datatel. They are responsible for reviewing and insuring all expenditures are accurate, authorized and appropriate. Fiscal agents must be full time faculty/staff.
 - It is also the responsibility of the fiscal agent to request the transfer of the funds between line items as allowed to cover expenses. Budget transfer forms are available on the web <http://www.policy.ilstu.edu/forms/budgtranR.pdf> (07/01/07)
- ❖ Please review the attached Agreement carefully for reporting requirements, budget information, scope of work, the time period covered by the Agreement, and all the other terms and conditions governing this project.
- ❖ Note the dates of **reporting** to funding agency:
 - **Narrative annual/final reports** – provide RSP for proof of reporting and delivery for the sponsored project file
 - **Financial Reports** – The Grants Accounting Staff are responsible for financial reporting. They will contact you with any questions regarding completion of financial reports. Please be advised that any financial reports you submit yourself must be reviewed by Grants Accounting before being released to the granting agency.
- ❖ **Indirect costs** will be accumulated as money is spent from your grant account. Of those funds accumulated, 23% will be distributed to the project investigator’s department or unit, and 24% to their college. Per University Policy, the project investigator is entitled to 3% of the departmental portion.
- ❖ If you believe you will require an **extension** in order to complete your project, please contact RSP approximately ninety days prior to the ending date of the agreement.
- ❖ The University maintains an ownership interest in **inventions or copyrightable works** created in whole or part through external funds administered through the University unless otherwise agreed in an authorized written agreement. For questions, please refer to Illinois State University’s Intellectual Property Policy 4.1.10 or call Kevin Wiand in the RSP office at 438-2596
- ❖ Illinois State University is obligated to assure all research activities are conducted in **compliance** with state and federal regulations including those for research involving: human subjects, animals, biological safety, use of toxic chemicals, management of hazardous waste, and radiation safety.
 - Contact Research Ethics & Compliance (438-2529) if have questions regarding your responsibilities under any of these regulations.
- ❖ The University is required to **maintain records** of sponsored activity for a minimum of 5 years. The PI is responsible for the records of research and educational activity, including, but not limited to, raw data, graphs, charts, video tapes, signed informed consent documents.
- ❖ Contact the Comptroller’s Business Office for **fiscal issues** such as:
 - Spending funds, processing invoice vouchers, etc.....438-5674
 - Monthly expenditure or available funds reports, fringe benefits estimates and charges, payroll account numbers, etc.....438-3291
 - Financial reporting requirements and preparation, cost share/matching, payments received from grantors, subcontracts payments, etc.....438-5694