

**Kean University**



# **Grants & Contracts Handbook**



Office of Research  
& Sponsored Programs

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*Division of Institutional Advancement*

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A list of additional resource staff appears in Appendix A.

## Statement of Support

Kean University encourages faculty and administrators to seek external funding in support of projects and activities that will expand and enrich our institutional mission. The Office of Research and Sponsored Programs (ORSP) has provided this *Grants & Contracts Handbook* to assist you in the preparation of grant applications and proposals for all research, service, curricular development, training and other operations supported by external funding. This handbook compiles Kean University's policies and procedures regarding grant proposal planning and project management.

The goal of the Office of Research and Sponsored Programs is to help secure external funding for research, equipment acquisition, professional and program development, service projects, outreach and pre-college activities, and conference organization, among other activities. ORSP serves members of the Kean community at all levels of expertise in the grantsmanship process.

ORSP provides leadership and assistance in all areas of government and private funding. The staff leads and supports efforts to seek funding from federal and state departments, foundations and agencies; professional and scholarly organizations; research-oriented foundations; private corporations and foundations; and other groups offering grant and fellowship programs. ORSP will also oversee and work with externally-funded centers and institutes, and play an instrumental role in negotiating and administering research-related service contracts.

We encourage you to discuss your ideas with your chair, dean and our office at an early stage in the conceptual development process. ORSP staff will work with you to identify possible funding sources that can help you tailor your project to meet the needs of a potential funding source. Once a source has been identified, the staff will obtain and help you interpret the materials you need to submit an application, and will assist you in developing the budget, writing and editing the proposal, and submitting the packet. The internal review procedure of your grant proposal concept is described in the next sections.

ORSP offers two workshops a year on proposal writing, planning and grant management. Also, ORSP staff will make presentations upon request and provide seminars for small groups. These presentations will be planned to meet the needs of individuals, collaborators or departments.

Many resources are available through ORSP to help you at every stage of proposal preparation. Notices of grant opportunities are forwarded as systematically as possible to the faculty through campus mail and e-mail. They are also posted on the ORSP Web site at [www.kean.edu/~orsp](http://www.kean.edu/~orsp).

If you are familiar or experienced with grant proposal writing and with the internal review process at Kean, please skip to Section 2B or Section 3.

## **Section 2. Proposal Planning & Project Management**

***Planning & Review Process.*** ORSP supports grant and contract-related activities of all full-time members of the faculty, staff and administration. Part-time personnel affiliated in any way with the University who wish to pursue a grant or contract generally must do so in collaboration with a full-time member of the faculty or administration. These cases may require special administrative arrangements and should be brought to the attention of ORSP **as soon as possible** in any project planning discussions, no matter how preliminary.

All monies awarded in response to authorized institutional applications will be handled by ORSP and will be administered by the University's Office of Financial Services. All University grants projects, including fiscal operations, must comply with the federal OMB Circulars A-21 and A-100, on file in the ORSP office.

All grant and contract concepts require review and clearance by the University Research Council (URC) before submission by the University. All proposed projects or requests for funding must be then approved in advance by URC using the *Grant Concept Pre-approval* process described in this handbook.

The University Research Council, comprising the academic deans, chaired by the Dean of the Nathan Weiss Graduate College, and staffed by the Director of Research & Sponsored Programs, will review proposed grant concepts. Among the criteria used in the review are (a) the congruence of the proposed project with institutional priorities, and (b) the impact it will have on the scholarly and teaching environment at Kean. ORSP is responsible for communicating the URC decision in writing with the project investigator/director and for shepherding the grant proposal planning accordingly. All grant submissions are to be formally submitted through and by ORSP.

The URC must review the grant concept at least one month prior to the proposal submission deadline. The Council will meet monthly (the second Friday of every

month); completed grant-concept applications submitted to ORSP will be reviewed at the following month's meeting of the URC. Special exceptions will be considered for certain grants with especially short deadlines or time windows.

The Council may make recommendations for revisions or clarify any issues involving University policies or finances. **All grant and contract proposals require the signature of the President (or an approved designee) prior to submission to an external source.**

Kean University employees cannot solicit grants or any type of external funding without prior authorization by ORSP. The use of University stationery or letterhead to do so without prior permission from ORSP is prohibited.

(For a complete description of Kean University's Policies and Procedures regarding grants, please consult Section 3 in this handbook, request a copy of the policies under separate cover from ORSP, or view a copy on-line through the ORSP website at [www.kean.edu/~orsp/grants](http://www.kean.edu/~orsp/grants)).

## Funding Priorities (CY2005)

Kean University seeks external funding that will ultimately, through diverse venues, enhance student learning. Proposed activities and outcomes should be of high quality, and be measurable as well as sustainable. Grant projects are expected to support Kean's mission of excellence, access, affordability; and advance one or more of the following institutional goals:

- Enhance the quality of the educational programs
- Increase and maintain affordability and access
- Increase the University's visibility
- Heighten faculty-student interaction and research collaborations
- Stimulate the general intellectual environment on campus
- Develop meaningful partnerships with successful institutions and agencies
- Lead and support community-based initiatives.

*Categories of Funding.* Specifically, the University will support grant proposals that fit in one of the six categories below. It is incumbent upon prospective project directors and principal investigators to make the connection explicit and to address how the proposed grant project will advance the University's mission and strategic goals. (Categories are in no particular order).

1. Capital & Laboratory Equipment (e.g., science, health & technology; performing arts & broadcasting)

2. Student Recruitment & Retention (e.g., student scholarships; pre-college outreach; student leadership development)
3. Scholarship, Research & Creative Works (e.g., innovative coursework design & development; student-faculty research collaborations; prestigious faculty research fellowships)
4. Pre-service & In-service Teacher Workshops (e.g., content-based, discipline-specific programs; professional development schools)
5. Community-based Programming (e.g., economic and small business development; social services)
6. High-visibility Centers, Institutes & Partnerships (e.g., NJ Professional Development Center for Early Care & Education; NJ History Partnership Project; NJ Center for Science and Technology Education; Bureau of Educational Services)

## Why Write a Proposal ?

Writing a grant proposal is a major investment of time and energy. Why should you bother? What's in it for you?

The most important reason to obtain external funding is to fulfill your strong desire to realize a vision or accomplish a valuable task. Often, external funding provides you with an opportunity to maximize your professional impact on student learning, campus programming, etc., and affect change while creatively solving problems. External funding also brings you in contact with active professionals from outside your department and often from across the nation. It allows you to develop a broader network of colleagues, and brings about a real sense of collegiality. Building a professional network increases your chances for future funding, as the trend is to fund collaborative projects.

With external funding, effective time management becomes critical. Your challenge will be to balance the grant work with your teaching and scholarly responsibilities—and it is ideal for the two to be fully consistent and integrated. In most cases, reassigned time may be awarded through external funding, as long as it is in accordance with existing academic policies and has endorsements by the academic chair and dean. The number of courses you teach may be reconfigured, giving you time to pursue research; engage in creative activities; explore innovative teaching strategies; or design superior instructional materials. You are always encouraged to involve students in your work, directly and indirectly, in a conscious effort to link research with student learning.

Professional travel and equipment costs may also be supported through external funding.

Of equal professional importance are the satisfaction, professional recognition, and revitalization gained by exploring opportunities provided by external funding. And, of course, from the University's perspective, its mission will be advanced in ways not possible otherwise; its visibility and reputation will be enhanced through external recognition and dissemination of research or services.

## Types of University/Sponsor Relationships

There are three major types of extramural funds that the University can acquire:

- a) Grants
- b) Contracts
- c) Gifts

A **grant** is an agreement to perform a specified activity within a certain amount of time—in other words, to conduct a program or perform a research project. There are few limiting conditions, but the grant is legally binding with regard to budgetary restrictions, agreements for cost sharing, reporting and other stipulations. Grants are generally awarded after a competitive review process to identify the best-proposed project(s).

A **contract**, on the other hand, is a legally enforceable promise to deliver a product, usually goods or services, and requires the task to be completed by a certain date. It may or may not involve the exchange of funds. Contracts are often awarded after an internal staff review only. Contracts are also subject to an extensive body of law and regulations. Only the University President (or approved designee) has the authority to sign a contract.

The University accepts both grants and contracts on behalf of the project director. (It should be noted that before most grants are awarded, award-acceptance agreements—i.e., contracts—have to be signed by the institution).

A **gift** of either money or equipment usually has fewer constraints than a sponsored program. Contracts and most grants are handled through ORSP including corporate and foundation grants. While the written definitions of grants, contracts and gifts clearly differentiate between the three types of awards, in reality, the distinction is often blurred. If you are unclear as to whether your proposal will result in a grant, contract, or gift, contact ORSP.

## Types of Proposals

Bear in mind that even a grant is not free. Grants are earned through well-crafted and planned proposals and a commitment to conduct the project with interest and enthusiasm. Technically, a grant is a paid service. Funded projects are usually those that are (a) consistent with the interest of the funding source; (b) supportive of the institutional mission; (c) deemed valuable, relevant, plausible and timely; and (d) presented in convincing and creative proposals.

There are many different ways to classify grant proposals:

- The most common type of grant proposal requests funding to develop programs or provide services or products, including training and education to individuals, families, groups, or communities, as well as projects to improve your own teaching.
- The second most common type of proposal requests funds for research to support a variety of creative and scholarly activities. If a project requires extensive coordination or networking in advance, a planning proposal requests funding for the initial efforts.
- Technical assistance proposals seek funds to provide assistance to organizations as they develop, implement, or manage their programs.
- Other proposals emphasize equipment, faculty development (e.g., exchange programs and fellowships), or student support.

The same general principles apply to most proposals regardless of their main focus. In the description of how to write a proposal, we note whenever there is a significant difference in the content of a specific type of proposal.

Many foundations and some federal agencies request only a short proposal in the form of a letter or mini-proposal. This allows the agency to more efficiently review the large number of proposals they receive.

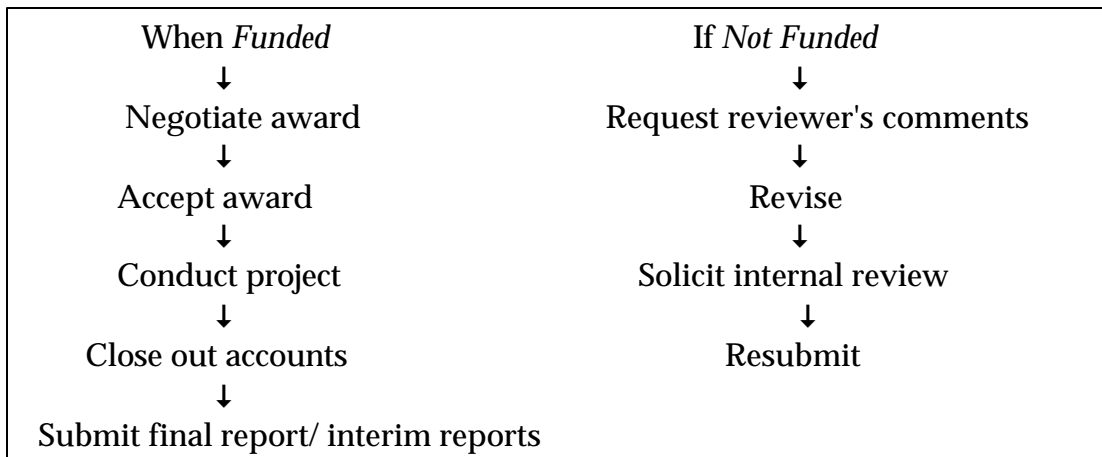
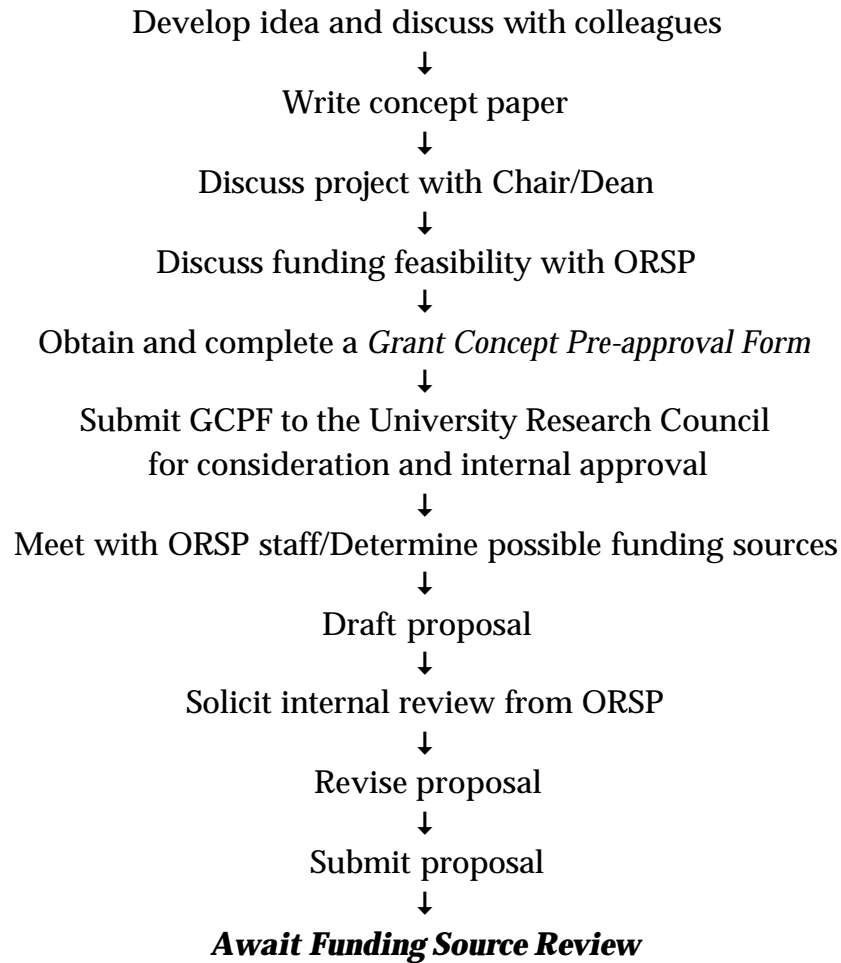
The balance of this *Handbook* describes the proposal development process from concept/idea to submission. It also includes what is required if you receive funding.

*Remember:* For any questions related to preparing a proposal, developing a contract, or implementing a project, call ORSP.

## A. From Concept to Proposal

### Proposal Development Path

Remember, help is available from ORSP at each step:



## Planning and Developing Your Idea

Planning is the key to attracting financial support for a project. The most commonly cited reason for not writing a proposal is a lack of time. A competitive proposal may take several months to plan, develop and submit to a funding source. The key to securing funding is to begin planning immediately. The most successful proposals are those that are carefully planned and written. Remember, you are not working alone: ORSP is here to help at various steps along the way.

The first item in the planning process is the development of an idea. Many creative ideas are generated by people as they solve problems in the daily tasks associated with their work. An idea is something that only exists in your mind. Your task is to present this idea in a written proposal. Although how you present your idea is important, agencies fund quality ideas with the promise of impact. The proposal presents your idea and your plan for accomplishing it, and requests funding based on the promise that you will do what you say you will do. It must be sufficiently persuasive so that the agency/foundation/corporation is convinced that the problem or need is critical and that your plan will impact it positively. The agency/foundation/corporation must believe that you can manage the project. You should present your idea in such a way that the funding agency will ultimately want to aid in implementing it. You are in the business of managing the development of your idea, and then marketing it.

Following are three steps that will assist you in this process:

**Step One:** Take a vague idea and identify a specific problem or need associated with it. Funding sources want to help solve problems, not finance the chasing of ideas. Next, define your objectives, that is, what you want to accomplish. It is important to focus on the product of your project or what it will accomplish, rather than on a need such as equipment or time. Finally, decide which activities are necessary for you to reach your goals.

**Step Two:** Discuss your idea with others. It may help you clarify it. Colleagues may indicate ways you can strengthen it. When defining your project, consider whether faculty in other disciplines share the concern. Collaboration often increases the number of sources for support.

**Step Three:** Flesh out your idea into a tangible, fundable project. Consider that your talent and expertise are being solicited by government agencies and private foundations to help them reach their goals. You are not asking for money, rather you are presenting a service.

Following are things to consider during the development of your idea in the planning process:

- Do you know what you want to do and how much it will cost?
- What is the purpose and who will benefit from your research or project?
- Do you know of any possible funding sources?
- When do you need the funding?
- Did you give yourself six months to a year before you need the funds?
- Is this a project you will do yourself, or will you have partners?
- Will you need matching funds from the University?

## Concept Paper

At this point, a concept paper should sketch out a brief description of the proposed project. It will help clarify your idea and allow you to share it with your colleagues, department chair, and ORSP staff. The concept paper can work as your conceptual framework as you complete the *Grant Concept Pre-approval Form*. The concept paper will also greatly facilitate your search for a sponsor.

A concept paper is usually two or three pages in length and might be organized into the following sections:

- **Problem Statement** - defines the problem and provides a context for it.
- **Need and Significance** section - addresses the problems that will be solved by your project and reviews the literature that demonstrates its importance.
- **Project Plan** - describes how the project will be implemented, including the procedures needed to accomplish the project goals, timeline of activities, and how the project will be evaluated.
- **Required Resources** - lists time, space, equipment, personnel, and budget necessary to complete the project.

## Contact with ORSP

The faculty member or administrator requesting the funding should discuss the project and ideas for funding with the corresponding department chair, dean and/or division head, and ORSP prior to completing the *Grant Concept Pre-approval Form* for review by the University Research Council. Often, this can be completed via telephone or e-mail, or at a brief meeting.

## Initial Approval

All proposed projects must be approved at the concept-stage by the University Research Council. Once the idea is well developed, you should prepare the *Grant Concept Pre-approval Form* and submit it to the Council through ORSP. The form includes an abstract and a series of questions regarding (a) consistency of proposed project with Kean's mission and its funding priorities; and (b) benefits of project to the faculty, students and the University as a whole. A preliminary budget for the project, showing the amount requested of the outside funding source, and any funding or in-kind costs from the University, has to be projected in the form. After deliberation, ORSP will communicate with you to start the writing and packaging process.

## Seeking and Selecting a Funding Source

The more specific you are in describing your needs, the more helpful ORSP can be in identifying an appropriate funding opportunity that matches your project. Choosing the right funding source is a critical step that saves you time and energy. In addition, knowing who is funding what can help to make your own program plans more specific. You can get ideas from simply knowing what kinds of projects federal agencies and foundations or corporations are funding. This predisposition to think in the direction of the source's priorities will help you to recognize possibilities in your own work.

The major funding sources for faculty research and sponsored programs at the university level are federal and state programs, private foundations, and corporations. In addition, local agencies, private and professional organizations, public schools, and regional businesses and industries are potential sources of funding.

ORSP staff will help you identify funding sources most closely related to your project. Ask colleagues where they have had success securing funding and where they were turned down. Review professional journals in your area of interest. Funding sources are often cited in the published literature. It is generally more effective to channel an idea to the most likely sources of funding.

In order to link your concept to such a source, you should study the make-up, structure, and programs of the specific funding source.

## Public Sector Funding Sources

Many requests are being submitted from Kean University to a variety of funding sources. Before you contact any funding agency, notify ORSP. This will allow coordination of requests and will increase the chance of funding for all involved.

- **Federal Agencies**

The largest funding source for extramural funding is the federal government, which sponsors thousands of programs. *The Catalog of Federal Domestic Assistance* contains a current listing and description of all federal programs. Specific opportunities for funding by federal agencies are publicized on agency Web pages, the *Federal Register*, and guidelines issued by each department or agency. Many agencies have developed guidelines for submitting proposals which contain a cover page, budget pages, assurances, directions for preparing the narrative, budget restrictions, and the review process. The government uses uniform procedures for dealing with cost analysis such as consultant fees, overseas costs, per diem, and travel. Government agencies also require us to adhere to standards on *animal welfare*, the use of *human subjects*, and *misconduct in science*. Most agencies at the federal level use a peer review process involving experts at colleges, universities, and national laboratories from the appropriate discipline for the evaluation of such proposals. ORSP is familiar with all of this and can help you understand it.

The entire proposal process, from pre-proposal to submission and review by the federal agency, can take as long as nine months. Generally there are about three months between the time program guidelines are printed and the time proposals are due at the agency. **These are only average figures; there is considerable variability depending upon the program and funding source.**

- **State Agencies**

State agencies receive some of their funding from the state legislature. Ordinarily legislation responds to societal needs in areas such as education, public health, and social services. Funding may also create an infrastructure to support business and industry, commerce, labor, natural resources, or transportation.

Usually, the state advertises new programs through a mass mailing to universities, public schools, and other interested persons. It contains a letter, copy of the guidelines, and a timetable regarding informative conferences, pre-proposal requirements, and final proposal content.

Important information on funding priorities and the preparation of proposals is conveyed at the conferences so those planning to submit a proposal should plan to attend. The proposal review process at the state level is not always the same from one program to another. Some departments use a peer review process, while others simply use in-house staff to review projects.

- **Local Agencies**

Some of the most common sources of funding in the public sector are local agencies. Local agency agreements usually reflect a more narrow focus and research on a smaller scale. In some instances, these agreements are tailored for a designated service to be provided *for the agency*. Letters of agreement or contracts are generally brief, setting goals and objectives and outlining the services to be provided. Estimated costs are also included for the services or product.

### Private Sector Funding Sources

- **Foundations**

A private foundation is a nonprofit, non-governmental entity with its own funds and governing board. Foundations are most frequently funded by a single source of funds from an individual, family, or corporation. There are also community foundations that operate with public money, making grants for social, educational, religious, or other charitable purposes in a specific community or region.

Foundations are governed by a set of policies determined by the original donor(s), board of trustees, or officers who determine the types of programs to be supported, the types of institutions to receive funds, the geographical area of support, and the minimum and maximum amount of awards. Before approaching any foundation, discuss your proposal with ORSP staff.

- **Corporations**

Since 1935, the Internal Revenue Service (IRS) has allowed charitable deductions for corporations. In 1982, tax law changes allowed deductions of corporate contributions up to 10% of net income. The 1997 Edition of the *Annual Register of Grant Support* reports that corporations made the largest percentage of their donations to education over the last several years, with health and human services receiving the second largest percentage. Often, corporations are looking for proposals that will assist the company or its employees while improving the public image.

Large and small companies located in local or regional areas may make gifts and grants to educational institutions that provide cooperative internship programs, faculty research support, fellowships, grants-in-aid for graduate student researchers, and general scholarships.

Before approaching any business in the private sector, discuss your plans with ORSP staff.

In summary, federal agencies typically focus on areas of national need; state departments prefer to fund projects with a statewide or regional focus; foundations may be very narrow in scope, sometimes funding single-issue projects (e.g. cultural activities or cancer research); while corporations are interested in public image, goodwill, and tax incentives, with the ultimate goal of marketing their product(s).

While you may submit your proposal to more than one funding agency, it is important to tailor your proposal to match the priorities and guidelines of each agency. In doing so, you stand to increase your chances of success. Also, it is best to submit multiple proposals to the same agency only when you are requesting partial funding of your project from each.

## Resources

ORSP has at their disposal a number of resources to help identify sources of funding. Many such resources are paid for by subscription and will vary from year to year. They include CD-ROMs, online databases, guides, catalogues, and bulletins. Data available are gathered through the *Foundation Center*, the *Grant Advisor*, the *Quinlan Publishing* group, *Sciencewise Alert*, and the *Federal Register*. Most agencies and foundations publish their mission and application guidelines on the Web. (Appendix C contains a selective list of Web sites that you may find useful in your search).

## Reading Guidelines

Government agencies produce guidelines based on legislation that appropriates their funds to meet public needs. Only projects fitting within these parameters will be funded. Foundations have more freedom in what projects they fund, but must meet standards set by the IRS to maintain their tax-exempt status.

ORSP will help you secure guidelines from federal agencies, corporations, and foundations that offer grant opportunities of interest to you. It will save a great deal of time to carefully read the guidelines.

As you read the program guidelines, look for the following:

- **Program Deadline** – Can the proposal be completed on time? Is it already too late?
- **Purpose** - What is the overall aim/goal of the program? Does it coincide with your interests?
- **Eligibility** - Who can submit proposals to this program? Are you eligible? Is there a requirement that this be a joint effort? Even if you are eligible, are you a primary candidate? What kinds of projects are eligible for support? Is it a research program, or will it accept education proposals? Does the program require innovation? How narrowly and broadly has the eligibility of content been defined? Are there particular kinds of projects that are not eligible?
- **Size/Amount of Awards** - How many awards does the program intend to make? How many did it make last year? What is the average award likely to be?
- **Probability of Success** - How many proposals are funded compared to the number received? Is it worth the effort to prepare the proposal?
- **Proposal Preparation** – How long must the proposal be? What sections must it contain? How many copies of the proposal will be needed?
- **Proposal Review** – How will it be judged during review? What are the review questions? Who will do the reviewing? Will they be generalists, specialists, or both? Will review be via mail or by a panel?

## Contacting the Funding Source

ORSP will generally make direct contact with funding sources to determine that the identified sponsors are appropriate to your project/program. This contact provides an opportunity to clarify information and begin to develop a relationship with the sponsor.

If you believe it is valuable for you to contact the source directly, notify ORSP beforehand to avoid duplication of efforts. In fact, we encourage the prospective project directors to establish a good rapport with the program officers at funding agencies, but ORSP must also be notified and kept informed.

## Writing the Proposal

Foundations, corporations and government funding sources receive thousands of proposals each year for review. It is imperative that the guidelines of the funding source are followed for your proposal to be considered. Some funding sources simply require a letter format proposal, while others require an application form and many pages of narrative information. If the funding source does not provide guidelines, please contact ORSP for a sample proposal format.

Government funding sources generally require the completion of an application that is self-explanatory. Contact ORSP with any government application questions.

The proposal should be written so that someone completely unfamiliar with the proposed project/program can obtain a complete picture of what it plans to accomplish, how it will be accomplished, how it will be evaluated, how much it will cost, how long it will take to accomplish the goals and objectives and what benefits it will provide. Remember that proposal reviewers are not often familiar with academic areas, so do not write the proposal as if it will be presented to a colleague, but rather someone who is totally unaware of the context.

A well-planned and presented budget is essential to enhancing the quality of a proposal. If the proposal is successfully funded, the budget will become the project's financial plan. It is imperative to request enough funding to conduct your project properly, however, it is equally important not to pad your budget with over-estimates. In many cases, the funding source's guidelines will state the dollar range of the award to be made. Use this as a guideline for your request, and seek assistance from ORSP if you have questions. Include direct costs, indirect costs, any cost sharing and program income in your budget.

Keep in mind that your needs must match the objectives of the funding source. Write clearly and concisely. Do not use extraneous or verbose language that adds nothing of substance to the proposal. After following guidelines and preparing a draft of the proposal, read through the guidelines and application very carefully once again to make sure that you have included all of the required information. It is also recommended that you ask someone else to proofread it.

A grant proposal is similar to a personal resume in that you have one chance to make a good impression and grab someone's attention. This is often the only chance that reviewers have to judge your project and your implementation capabilities.

## Submitting the Proposal

If you should choose to write the proposal by yourself rather than in conjunction with the ORSP grant writers, a draft of the proposal must be submitted to ORSP via e-mail with a hard copy at least **one month before the due date**. ORSP will review the proposal, make any necessary changes, and submit the proposal to the funding agency. A copy of the completed proposal will be given to the project director. The project director should then forward a copy to their chair and dean.

At any point during the proposal development process, contact ORSP for assistance.

### Online Submissions

Online grant submission has become a requirement of many federal funding agencies, such as the National Science Foundation, NASA and the U.S. Department of Education. Online submission, while not yet mandatory, is also being encouraged by other funding agencies such as the U.S. Department of Health and Human Services. While the State of New Jersey has not yet initiated electronic grant submission, we can predict that it will do so within the next few years.

The Office of Research and Sponsored Programs is experienced with the online submission process of various funding agencies, and encourages you to consider this method of grant submission even though it may not be mandatory. In addition to being less time consuming, electronic submission is also more cost effective as it cuts down significantly on photocopying costs and FedEx mailings.

However, it is important to keep in mind that relying on technology brings new challenges such as network problems (either on our end or at the funding agency) that can delay and often prevent grant submission. Therefore, ORSP requests that all faculty consult with us regarding a grant project well before the deadline, especially in the case that the application must be submitted electronically.

To assist you and ORSP staff in the online grant application process, new guidelines have been developed to avoid potential problems and unnecessary delays in getting your grant proposal out the door. We ask that you please keep in mind the following:

- Remember that all online grants **must** be submitted through ORSP only. Project directors and other grant personnel may, however, upload sections of the proposal on their own. ORSP staff are on hand to assist you in this process if needed.
- All grant application materials (*except letters of support*) including biographical sketches/CVs, the grant narrative, and other attachments must be sent to ORSP **electronically via email**. Paper or faxed copies of biographical sketches/CVs will no longer be accepted for online submission.
- The final grant narrative is due to ORSP at least **one day** prior to the application deadline.

- The project director should plan to meet with ORSP regarding the grant budget at least **one week** prior to the application deadline.
- The final budget and budget narrative is due to ORSP at least **two days** prior to the application deadline.
- Letters of support are due to ORSP at least **two days** prior to the application deadline to allow time for scanning.

## **B. When a proposal is funded – Roles and Responsibilities**

A grant or contract is executed most often between the funding agency and the University on behalf of the project director. This arrangement places legal liability on the University. It is rare that a grant or contract is awarded to an individual. Most likely, an award to an individual is in the nature of a fellowship.

Authority over sponsored programs rests with the Board of Trustees, the President and the Provost. In some cases, the University's Board of Trustees must approve the acceptance of an award before funds can be expended. The President is often asked for a letter of endorsement indicating that the project is in accord with the mission of the University.

ORSP will identify potential funding sources, assist in proposal preparation, review and endorsement, negotiate and accept awards, and oversee any reporting requirements and timelines.

Deans and department chairs must work closely with the project director. They coordinate the use of time, space, equipment, and in some cases oversee the research effort or program.

The project director, principal investigator, or program director is the individual who has full and final responsibility for seeing that the project is carried out as proposed. The project director must comply with the terms, conditions, and policies of both the sponsor and the University, including the oversight of the budget, personnel review, coordinating grant assignment with teaching loads of participating faculty, time and effort reporting, and timely submission of all reports. If the proposal names two or more investigators as co-directors, most funding sources require that one person be designated as the responsible person. That person should be a full-time faculty or staff person. Exceptions to this policy can be made on an individual basis.

## Accepting and Managing the Award

- **Acceptance of Award**

Before you can begin any project activities, ORSP must accept the grant or contract on your behalf. As relevant, the University or the University Foundation is the entity that provides the legal, financial and service umbrella for the project, and so it is the University that is the recipient of the award.

If you receive an award letter or a check to Kean University from the funding source, please send it immediately to ORSP, depending on the office that submitted the application for the project. The appropriate office will then prepare an *Award Form* that delineates responsibilities of the project director, ORSP, the Department of Finance, as well as other departments as applicable. The form is to be signed by the project director and a representative from ORSP.

At the discretion of ORSP, a meeting may be arranged to discuss the award, review all documentation from the funding agency, budget details, reporting requirements and any other information pertinent to the project.

The project director should notify chairs, deans, or other appropriate supervisors regarding success of an application. Media releases may be required by the funding agency or may be desired by the project director, ORSP. In most cases, either office will arrange for press releases, but all direct requests for any media releases must be made to University Relations, copied to ORSP. All releases must also be approved by ORSP before distribution and/or publication.

- **Board Resolution**

ORSP will draft all board resolutions regarding grants and funded initiatives (Appendix I). Each resolution must where appropriate include the funding amount, the funding agency, the names of the Project director(s), and a short description of the grant project.

Resolutions are sent to the President's Office two weeks prior to every board meeting. They are accompanied by a one-page abstract highlighting the benefits of the project and its main features. Copies are sent to the Project director, pertinent academic college dean and division head.

Project directors for each of the resolved projects are encouraged to attend that particular meeting in case the Board of Trustees has any questions.

- **Project Management**

The project director is responsible for the overall management of the grant, including compliance with applicable federal, state and/or local regulations, completion of all required reports, and submission of all in-house documentation (i.e., requests to transfer funds, etc.). He/she is also accountable for seeing that the project is conducted as described in the proposal and that the project goals are being met. ORSP, as it is appropriate, will shepherd establishment of the external fund's cost center, but the project director is charged with maintaining all fiscal records associated with the grant (using Kean's electronic financial system, *Wintegrate*) and for reconciling such records with the official expenditure reports prepared and disseminated by the General Accounting Department.

The project director must also maintain all required records that deal with grant execution and achievement. It is generally recommended that all such records be maintained for a period of at least five years, unless the funding agency specifies an alternative length of time. Records should be organized in such a way that they can be easily reviewed by an individual unfamiliar with the project.

If changes in the original proposal are necessary due to a lesser amount of funding than requested, or problems in meeting the project goals, the project director must discuss the problem and its resolution with ORSP and the funding agency, if necessary.

Copies of all correspondence resulting in changes in the proposal or funded project must be sent to ORSP. Any changes in the budget must first be approved by ORSP before being submitted to the funding agency.

Expenditures must be limited to the budget (by line item) agreed upon by the funding agency. The project director must oversee all spending and is responsible for any deficits associated with the cost center for the grant. There may be instances where transfer of funds within a given budget, from one line item to the next, is needed. In such situations, the project director is advised to discuss it with ORSP; but at no time is he/she allowed to make transfers that exceed \$3,500 across lines without consultation. Doing so could be in violation with state or federal regulations, and would necessitate formal budget-modification request approvals. For foundation and corporate grants, any changes across lines require approval of the funding source before any action can be taken.

The project director must submit all interim and final performance and technical reports to the funding agency, paying particular attention to deadlines. The project director must work closely with the General Accounting department to ensure that all fiscal reports are accurate and completed in time. For all funding, completed programmatic and fiscal reports must be submitted to ORSP, as appropriate, for review and mailing *at least* two weeks prior to the due date.

All University safety regulations and policies regarding such matters as recruiting, employment, purchasing, research involving the use of humans as subjects, and environmental regulations, among others, must be followed. It is recommended, though, that the project director identifies the grant project with a prefix “Grant-Funded” in all transactions, from purchase orders to check reimbursement forms. There are instances that internal University policies do not affect grants, and this would enhance the efficiency of the transaction.

No request for extension of the grant project, be it a no-cost extension or a funding renewal, may be made unilaterally by the project director. ORSP must be consulted first, and the established procedure followed.

Should a project director anticipate terminating his or her association with the University, ORSP must be contacted immediately. There are procedures by which grant funding may be transferred from one institution to another, but these require serious planning.

- **General Accounting**

The General Accounting Department is responsible for maintaining official fiscal records, including expenditure documents for all grant projects. Records are typically maintained for 5 years following the end of the grant period.

Before a request can be submitted to the funding agency, any budget revisions must be approved by General Accounting and ORSP.

- **ORSP Oversight**

A formal (physical and electronic) project file will be established in ORSP. The file will contain copies of the proposal, budgets, contracts, related correspondence and

literature. In addition, ORSP will enter the award into the University's database of grants information.

## Concluding the Project

Every grant has a beginning and ending date as stipulated by the funding agency. The project director must plan for the final closeout of the grant.

If the project director feels that it is not feasible to complete the project by the end of the designated period and funds remain in the account, in some cases a no-cost extension may be requested from the funding agency. This is usually not possible with grants from foundations and corporations, but is possible with government grants. The project director must contact ORSP prior to requesting a no-cost extension.

It is helpful to use a 60-day target date to prepare for conclusion of the project and closeout of the account.

Most funding agencies require a final, comprehensive project report which is the responsibility of the project director. There are often two parts to this report: a project report describing how well the project met its goals, and a financial report detailing project expenditures and other funding. There is usually a firm due date for this report. Often, the basic contract or grant document contains detailed instructions on termination procedures. All reports must be submitted to ORSP by the project director for review before submission to the funding source, at least **two weeks** prior to the due date.

### **C. If a Proposal is not Funded – What can you do?**

Sometimes, despite all of the hard work you put into it, your proposal is not approved for funding. All funding sources have a limited base of support, and although they receive hundreds or thousands of worthy proposals, they cannot possibly fund them all. There are often other possible sources of funding available. ORSP will work with you to determine what other sources might also be viable options. In most cases, you are encouraged to re-submit, since records show that chances of getting funded are enhanced upon re-submission as you would have benefited from the reviews and comments, become more experienced the second time around, and had the benefit of a conversation with the program officer which often times produces great insights and valuable advice.

## Section 3. Policies and Procedures

**PURPOSE:** These policies and procedures are written to provide clear guidelines for all grants and contracts at Kean University. They apply to **all** grants and contracts for academic programs, individual faculty and departments. They are not in place to make it difficult for you to apply, but rather to enhance communication, University accountability, and the effectiveness of the grants program.

### A. General Statement of Policy – Kean University

#### *Context*

Grant-funded projects must advance the mission, visibility and reputation of Kean University; benefit its students, faculty or staff directly or indirectly; and/or enhance the economic, cultural or social well being of the community.

Full-time members of the University community may apply for grant funding within the context above as long as they are in good standing, and as long as their previous grant administration and management record is excellent.

The success of grant projects will be measured against the goals proposed and the funders' guidelines, with specific emphasis on quality and impact (merit, effect, scope, and reach).

#### 1. Regarding Proposal Submission & Initial Approval

- 1a- It is Kean University's policy that all grant proposals to public or private funding sources, for projects at the University, for the University or through the University, must be reviewed and authorized by the Office of Research & Sponsored Programs (ORSP) before being submitted.
- 1b- Grant proposals and grant-related documents reports must be signed by the President of the University, as the Institutional Authorized Official. The Director of Research and Sponsored Programs or a designee prepares and reviews such material before submission to the President for final approval.
- 1c- All proposed projects or requests for funding **must** be approved by the University Research Council at the conceptual stage. Faculty must complete and submit the

*Grant Concept Pre-approval Form (Appendix B)* to the Council at least one month before the grant proposal submission deadline.

- 1d- The University Research Council (URC), comprising the academic deans, chaired by the Dean of the Nathan Weiss Graduate College, and staffed by the Director of Research & Sponsored Programs or designee, shall be responsible for approving grant concepts. Among the criteria used are the congruence of the proposed project with institutional priorities and the impact it will have on the scholarly and teaching environment at Kean.
- 1e- It is the responsibility of the prospective project director to discuss the prospective grant project with the appropriate unit chair and college dean or division head, and secure approval from the dean or division head for the grant concept and for the proposed personnel budget before submission through ORSP. ORSP will secure the approval of the University Research Council for the grant concept before a grant proposal is submitted.
- 1f- The Director of Research and Sponsored Programs shall serve as the Senior Research Officer (SRO) of the University. The SRO shall serve as the University's compliance officer for research and all sponsored projects, especially with regards to human and animal subjects, environmental impact, and research integrity.
- 1g- ORSP supports grant and contract-related activities of all full-time members of the faculty, staff and administration. Part-time personnel affiliated in any way with the University who wish to pursue a grant or contract, generally must do so in collaboration with a full-time member of the faculty or administration. These cases may require special administrative arrangements and should thus be brought to the attention of ORSP as soon as possible *in any project planning discussions, no matter how preliminary.*
- 1h- All grant budgets must be prepared with the oversight, counsel and approval of ORSP.
- 1i- No member of the University Community is authorized to solicit funding from private donors, foundations, corporations, be it formally or informally, or use university stationery without the prior knowledge and authorization from of the Director of ORSP, who also serves as the Foundation's Director of Foundations and Corporations. Soliciting funding from of alumni or individual donors requires prior authorization from the Kean University Foundation.

## 2. Regarding Contact with the Funding Source

- 2a- Prospective project directors should establish a good rapport with the grant program officer of the funding source, but ORSP must also be notified of communication with program officers and kept informed.
- 2b- As deemed necessary, ORSP will sponsor a visit to the agency or foundation for the project director and/or the University's grant officer(s).

## 3. Regarding Grant Acceptance

- 3a- The University shall accept both grants and contracts on behalf of the project director, placing the legal liability on the institution.
- 3b- Every project director must sign an acceptance form delineating his/her major responsibilities and committing to all University and grant-related rules and regulations (see Appendix E).
- 3c- The President or designee will sign the grant contracts and awards. All grant award letters mailed directly to the project director must be submitted to ORSP for processing. The Office of the President will not sign any such letters without consultation with ORSP.

## 4. Regarding Roles & Responsibilities in Grant Management

- 4a- ORSP will serve as the overseer of grants projects, and serve as the clearinghouse for all grants-related data. ORSP shall provide on behalf of the University fiscal and managerial oversight over all externally-funded projects.
- 4b- Authority over grants and sponsored programs shall rest with the Board of Trustees, President and the Provost. The Board of Trustees shall approve the acceptance of an award before funds can be expended.
- 4c- Before embarking on the grant activity, grant Project Directors must meet with ORSP officials for orientation and training as appropriate and to sign a grant acceptance form.

- 4d- All monies awarded in response to authorized institutional applications will be handled by ORSP, and will be administered by the University's Office of Financial Services in conjunction with ORSP as is deemed appropriate. All University grants projects, including fiscal operations, must comply with pertinent federal guidelines, such as, OMB Circulars A-21, A-100, and EDGAR, on file in the ORSP office and posted on the ORSP Website.
- 4e- Deans and department chairs must work closely with the project director to coordinate use of time, space, equipment, and in some cases oversee the research effort or program.
- 4f- The project director, principal investigator, or program director is the individual who has full and final responsibility for seeing that the project is carried out as proposed. The project director must comply with the terms, conditions, and policies of both the sponsor and the University, including oversight of the budget, personnel review, coordination of grant assignments with—as well as abidance by—institutional teaching load policies for faculty participants, and timely submission of all reports (see Appendix D for general university compliance).
- 4g- If the proposal names two or more investigators as co-directors, one person will be designated as the responsible person, but all co-directors shall be held accountable. The primary project director should be a full-time faculty or staff member. Exceptions to this policy can be made on an individual basis.
- 4h- The responsibility for presenting accurate and timely reports rests with the project director. All reports, programmatic and fiscal, must be shared with ORSP before submission. Project directors must also work closely with the General Accounting Office to ensure that fiscal reports are prepared and submitted on time.
- 4i- Grant Project Directors are accountable to ORSP for their grants' fiscal and program management, fulfillment of proposed goals, and preparation of pertinent reports. Grant funds must be expended as approved by the funding agency; any changes must be cleared by ORSP and Grants Accounting.
- 4j- It is each Project Director's responsibility to ensure that financial transactions are timely and accurate; and to maintain detailed financial records of all such transactions (i.e., receipts, invoices, purchase orders, etc.) as necessary supporting documentation.

- 4k- Grant Project Directors must arrange for internal and external project evaluators, who are employed to conduct selective or comprehensive evaluation of grant-funded projects, to confer with ORSP staff upon completion of the evaluation and submit copies of their reports to ORSP.
- 4l- All directors of grant-funded programs in their capacity as grant project directors, and regardless of their academic affiliation, report to ORSP on all grant-related issues. An evaluation of each project director's grant management performance will be prepared by the Director of ORSP upon completion of the grant funding cycle or as necessary.

## 5. Regarding Public Announcements

- 5a- Project directors must work very closely with ORSP to develop public announcement campaigns for major grant projects, projects that have impact on the community, and for those that should receive public attention. ORSP will then work with the Office of University Relations to prepare press releases and media information sheets as appropriate.
- 5b- Public announcements on grant-related or contract-funded projects should be route through ORSP before being submitted on behalf of the University.

## 6. Regarding Grant Compensation for Faculty

- 6a- Time commitment and teaching reassignment for members of the faculty involved in external grant activity must be consistent with pertinent university policies.
- 6b- During the academic year, faculty members should commit no more than the equivalent of 3 credit-hours per semester per grant project and must receive approval from the appropriate college dean. Budgeting for the faculty salary (through the grant or institutional matching) will be normally based on credit overload rates.
- 6c- In special cases where a faculty member is involved with a grant project at a level of 3 credit hours per semester or more (with approval by the URC and Provost), the grant should support 75% to 100% of the faculty's base salary (+ prorated fringe benefits) during the grant commitment, as applicable, to allow for substitution through a visiting professorship arrangement in lieu of overload rate, to ensure no disruption in departmental and teaching activity.

- 6d- Faculty members involved in grants must disclose their full work schedules for a given term (including summer term) to URC at the end of each term; these schedules must include teaching, grant activity, special assignment and any other activities compensated as a part of—or independently of—load.
- 6e- A percentage of effort report (time & effort) will be prepared by ORSP for all grants. Grant project directors must disclose their grant-supported salaries and time commitment at the end of every fiscal year.
- 6f- All personnel contracts, including contracts for new hires, must be reviewed by ORSP before being processed.
- 6g- When faculty compensation for overload contracts in support of grant activity is determined, the teaching credit equivalent must be identified; each credit is equivalent to a commitment of 20 hours, with  $\frac{1}{4}$  of a credit considered the smallest unit.

## 7. Regarding Conflict of Time

- 7a- Faculty members and administrators are discouraged from serving as project directors on multiple grant projects. In all cases, their total time commitment to such projects should be reasonably managed and congruent with their professional University responsibilities. The amount of time to be spent on grant-supported activity must always be decided in consultation with their supervisors and approved in advance of the time commitment.

## 8. Regarding Conflict of Interest

- 8a- Project directors and prospective project directors must take reasonable steps to ensure that applying for a given grant will not constitute an impropriety or conflict of interest for them or for the University. Such situations include, but are not limited to, areas of personal, financial gain for the applicant; circumstances that might appear to compromise the University's reputation, or to give the University unfair, competitive advantage.
- 8b- In order to maintain high integrity within the grants operation, and to minimize even the slightest appearance of unethical behavior, all requests by project directors for personal reimbursement (purchase or travel) related to their grant projects must be endorsed by the Director of ORSP.

## 9. Regarding Research Integrity

- 9a- All project Directors are expected to uphold the highest integrity in data collection, analysis and dissemination to avoid every act, or remote appearance, of plagiarism. The policy on research integrity is compatible with the model policy suggested by the U.S. Department of Human and Health Services' Office of Research Integrity (discussed under separate cover).
- 9b- All questions and concerns about research integrity must be directed to the SRO (Director of ORSP), who will administer the investigation and hearing process, at the end of which all recommendations will be made to the president of the University.

## 10. Regarding Research with Human Subjects

- 10a- All projects that involve research with human subjects, including surveys, must file with ORSP for review by the Institutional Review Board. The University's procedures are consistent with federal guidelines (discussed under separate cover)—form appearing in Appendix F.

## 11. Fiscal Policies

### a. INDIRECT-COST POLICY

The following Kean University institutional indirect cost policy is designed to support and increase external grants activity, thus enhancing curricular development, research and scholarship, as well as outreach by faculty, administrators, departments, centers, and other entities.

#### **Impact Statement**

The policy is in line with best practices in the field of grants and contracts management at colleges and universities. An effective policy, as is widely recognized by successful operations, is one that helps grow the grants activity through judicious reinvestment and recognition of the grantee, while covering the hidden project costs.

This policy will accomplish the following objectives:

- (a) Provide individuals and departments with **tangible incentives and rewards** for seeking external funding in support of departmental, college and institutional stated missions
- (b) **Enhance Kean's competitiveness** in seeking additional external funds through a system of matching funds and internally supported pre-award planning activities
- (c) **Cover institutional costs**, induced by the granted project, from security and liability to utility costs.

11a1- All indirect costs generated from external sources in support of a given grant award will be allocated as follows:

- 50% will be directed to the General Accounting Office to be used for covering overhead expenses and other hidden costs expended to support the funded project.
- 25% will be granted to the Department or Center that sought the grant, in support of departmental activities and with the expectation that it will enhance the department's grant activity.
- 25% will be deposited in the Sponsored Programs' Matching Fund managed by ORSP, used at the discretion of ORSP to enhance the grants and research activity at the University.

11a2- The institutional rate for indirect costs will be calculated based on the short or long form, as appropriate, of the U.S. Office of Management and Budget's Circular A-21 used to calculate the total amount relevant to each grant.

11a3- This policy will be in effect for partnership grants vis-à-vis Kean's portion of the indirect costs; Kean's contribution, however, will be determined through negotiations with the partners on an individual basis.

11d- In the case where the project in question has incurred tangible, direct expenses not covered by the grant, such expenses are covered by the indirect costs with the remaining balance distributed as described above.

11e- Net revenues for grant-related cost centers that are generated through facility usage by subcontractors are also covered by this policy.

11f- Current indirect-cost and overhead rates appear in Appendix G.

b. REQUEST FOR SERVICES/SUBGRANTS

11b1- All requests by project directors or grant staff for services or sub grants must be cleared by ORSP, as they are often subject to contractual laws requiring bid waivers or appropriate public announcements. Acquisitions of products or services that exceed \$19,100 must be done through the bidding process of the University, managed by the Purchasing Department. Related documents and support are available through ORSP or the Purchasing Department as deemed appropriate.

c. FINANCIAL ADMINISTRATION POLICY

11c1- Expenditures of a sponsored project must be in line with the approved budget appearing in the proposal or letter of award. Any changes to the budget must be made in accordance with the funding source guidelines and discussed with ORSP. Any transfer across line items must also be discussed with ORSP, and transfers for \$3,500 or over may not occur without the approval of ORSP. Some will require budget-modification requests.

11c2- Project directors must seek input from ORSP regarding how to spend or deal with any funds carried over from one funded year to another.

11c3- Project directors are required to attend workshops regarding financial responsibility and reporting. Furthermore, project directors must familiarize themselves with University requisition and purchase policies; personnel recruitment, employment, and evaluation procedures. All purchases of products or services must be in line with these procedures.

11c4- All project directors are also expected to undergo training in the use of the University's electronic financial management system (*Wintegrate*).

11c5- All grant-related invoices must be generated by the General Accounting Office. No invoice generated and submitted to an outside entity by a project director is considered binding and/or official.

11c6- All grant-related purchase orders must be approved before the request for service or product is made and accepted as official.

- 11c7- Project directors must not purchase products and request reimbursement without a blanket order, approved by ORSP. The size and scope of the blanket order varies among projects.
- 11c8- Purchase orders and reimbursements at or above the amount of \$5,000 for grants or contracts must be approved by ORSP before processing by the General Accounting Office.
- 11c9- Grant-related travel must be completed before the termination-period. Only in exceptional circumstances, for which approval is needed from ORSP, may the travel occur after the grant project has ended; in these cases, the funds must be encumbered prior to the formal conclusion of the grant.
- 11c10- No requests for no-cost extension can be made to a funding agency by the project director or designee without consultation with ORSP.

Details on budgeting issues appear in Appendices G and H.

d. COST CENTERS

- 11d1- Upon notification of grant awards, cost centers will be established by ORSP. Original letters of award will be placed on file in the University's Grants Accounting Office. Copies will also be on file in the offices of ORSP as appropriate.
- 11d2- The project director shall serve as the director of the cost center, and is thus required to sign a statement regarding each specific grant's requirements before a cost center is assigned.
- 11d3- Project directors may be given access to a blanket purchase order to "self," with a ceiling established by ORSP, to be used in lieu of petty cash to cover small purchases as needed. This mechanism for personal reimbursement, again for small grant-related purchases, must be used sparingly and must be endorsed by ORSP (see 11c7).
- 11d4- ORSP shall provide fiscal oversight to all grant-funded projects, externally funded institutes and centers, and research-related affiliations. The Director shall have *read-only* access to all such cost centers.

## 12. Centers and Institutes

A comprehensive policy on centers and institutes is being developed and will appear under separate cover when completed.

- 12a- Grant-funded centers and institutes receive managerial and fiscal oversight from the Office of Research & Sponsored Programs. All centers and institutes are expected to become self-supported within five years after the end of the initial grant funding.
- 12b- If the entity's mission is to offer educational programs and services for Kean's students and faculty to the community, e.g., through seminars, workshops, research initiatives, curricular planning, the entity (usually called an institute) will be affiliated with an academic department or college as appropriate, and will report to ORSP only in issues pertaining to funding, budgeting and grant management. If its mission is to provide services to the community, the entity (then usually referred to as Center) will be housed within the office of an academic dean or division head.
- 12c- When appropriate, ORSP will have representation on the boards of grant-funded centers and institutes.
- 12d- University policies and procedures regarding personnel, purchasing and accounting will govern the management of centers and institutes.



## **Section 4. Appendices**

- A. Important Contacts/Numbers
- B. Grant Concept Pre-approval Form
- C. List of Grant Resources
- D. General University Compliance

- E. Grant Acceptance Form
- F. Institutional Review Board Application
- G. On Budgeting
- H. On Matching Funds
- I. Board Resolution

## **A. Important Contacts for Grants-related Issues**

Affirmative Action – employment ads – Charlie Williams (7-3330)  
Budget Office – General budgeting questions – Ed Evans (7-3120)  
General Accounting - Travel vouchers/payments – Kathy Riley (7-3150)  
Grants Accounting – Invoicing/fiscal reporting – Patricia Powell (7-3150)  
Foundation Accounting – Private award inquiries – Joanne Demler (7-3340)  
Human Resources – general employment, student aides – Faruque Chowdhury (7-3300)  
Purchasing – PO/invoice processing – Judy Pavese (7-5056)

## **B. Grant Concept Pre-approval Form**

(This form is available on the Web through [kean.edu/~orsp](http://kean.edu/~orsp))

### Grant Concept Pre-Approval Form

Estimated time needed for completion, once the idea is developed: 15 minutes

#### **PREFACE**

Kean University seeks external funding that will ultimately, through diverse venues, enhance student learning. Proposed activities and outcomes should be of high quality, and be measurable as well as sustainable. Grant projects are expected to support Kean's mission of excellence, access, affordability; and advance one or more of the following institutional goals:

- Enhance the quality of the educational programs
- Increase and maintain affordability and access
- Increase the University's visibility

- Heighten faculty-student interaction and research collaborations
- Stimulate the general intellectual environment on campus
- Develop meaningful partnerships with successful institutions and agencies
- Lead and support community-based initiatives.

*Categories of Funding.* Specifically, the University will support grant proposals that fit in one of the six categories below. It is incumbent upon prospective project directors and principal investigators to make the connection explicit and to address how the proposed grant project will advance the University’s mission and strategic goals. (Categories are in no particular order.)

1. Capital & Laboratory Equipment (e.g., science, health & technology; performing arts & broadcasting)
2. Student Recruitment & Retention (e.g., student scholarships; pre-college outreach; student leadership development)
3. Scholarship, Research & Creative Works (e.g., innovative coursework design & development; student-faculty research collaborations; prestigious faculty research fellowships)
4. Pre-service & In-service Teacher Workshops (e.g., content-based, discipline-specific programs; professional development schools)
5. Community-based Programming (e.g., economic and small business development; social services)
6. High-visibility Centers, Institutes & Partnerships (e.g., NJ Professional Development Center for Early Care & Education; NJ History Partnership Project; NJ Center for Science and Technology Education; Bureau of Educational Services)

#### GENERAL INFORMATION

Name of Prospective Director:

Department or Division (e.g., Chemistry/Physics or Athletics):

Title of Proposed Project:

Duration of Proposed Project (e.g., 2 years):

Recommended Funding Source (e.g., NJ Department of Human Services):

Estimated Funding Amount Proposed (for duration of project)

### ABSTRACT

Please provide an abstract about the context for the proposed project (needs assessment), along with its goals and expected outcomes in **no more than 250 words**.

Address in your abstract the following questions as appropriate:

- *What is the project expected to achieve, and what are its benefits?*
- *Who will be involved in running the project (Kean students, faculty)?*
- *Whom will the project serve and why?*
- *How will the project be sustained past the funding period, and at what cost to Kean?*
- *What prior funding, if any, will this project build upon?*
- *What experiences/qualifications will you as a Principal Investigator bring into this project?*
- *How much time will you as a Principal Investigator need to complete the project?*
- *How will this involvement affect the daily responsibilities at Kean of those involved?*
- *How will you measure or evaluate the success of the project?*
- *How will its outcomes be disseminated?*

### CRITERIA

The following criteria will be used in evaluating the grant concept pre-approval request. Please address each of them briefly, as appropriate:

1. How will your proposed project benefit Kean University students?

2. Is it consistent with Kean's mission and its academic priorities; and if so, how?

3. How will your proposed project fit within the funding priorities of the University (see next page)?

4. How will it enhance the Kean research environment (student involvement / curricular impact / etc.)?

5. How will it advance your professional development and scholarly contributions?

6. How will your proposed project heighten the visibility of the University within the state or region?

7. How will it meet high standards of excellence?

**BUDGET** Please provide a tentative “total” budget

Request: Personnel (salaries/GA’s/) \_\_\_\_\_ Travel \_\_\_\_\_  
Student Tuition Support \_\_\_\_\_ Equipment \_\_\_\_\_  
Are indirect costs allowed by the recommended funded source? Yes No

Institutional matching needs – Describe \_\_\_\_\_  
In-kind (e.g., space/time/tuition discounting): \_\_\_\_\_ Cash: \_\_\_\_\_

**C. List of Grant Resources**

**Federal**

Federal grant programs are available through a wide number of sources: national laboratories and institutes, national foundations, and US departments, among others. Information about most, if not all such programs is available on the World Wide Web; in fact, some programs even require the submission of online applications. It is then obvious to turn to the Web for resources.

By and large, specific information about such grant programs is easy to find: Consider that most federal grant programs are the result of congressional appropriations or White House initiatives, which means that corresponding U.S. departments administer them (i.e., every department runs its own grant program, find the department's site, the discretionary grant programs will be listed along with application information and past award listings).

Many available federal grant programs are designed to assist comprehensive universities like Kean; most have funding priorities established to address issues of national need, and focus on equity and diversity.

*Departments:*

- [www.ed.gov](http://www.ed.gov) – for US Department of Education grants
- [www.labor.gov](http://www.labor.gov) – for the Department of Labor grants
- [www.justice.gov](http://www.justice.gov) – for the Department of Justice grants
- [www.doe.gov](http://www.doe.gov) or [energy.gov](http://energy.gov) – for the Department of Energy (and its 16 national laboratories, like Argonne National Laboratory, [anl.gov](http://anl.gov); Brookhaven national Laboratory, [bnl.gov](http://bnl.gov), etc.)
- [www.dod.gov](http://www.dod.gov) – for the Department of Defense and all the military armed forces and their laboratories (Office of Naval Research: [onr.navy.mil](http://onr.navy.mil); Air Force: [af.mil](http://af.mil)...)

*Foundations/Endowments:*

- The National Science Foundation ([www.nsf.gov](http://www.nsf.gov)), with an annual FY03 budget of \$5 billion, sponsors competitive grants for research, equipment, pre-college and community outreach, student research, curricular development and related initiatives for science, mathematics, engineering and technology—programs administered in seven directorates: biological sciences; mathematical and physical (chemistry, physics, astronomy and mathematics); geosciences; social, behavioral and economic sciences (psychology, economics, management science, and social science); computer science and engineering; engineering (all fields); and education and human resources (undergraduates, pre-college, and career development).
- The National Endowments for the Humanities ([neh.gov](http://neh.gov)) and for the Arts ([nea.gov](http://nea.gov)) also run their own extensive grant programs that cover faculty research fellowships, summer support, and major research studies.

*Agencies & Institutes:*

- NASA ([nasa.gov](http://nasa.gov)), a web of 15 research and space centers, supports outreach and research in a number of science-related areas and undergraduate research.

- NIH ([nih.gov](http://nih.gov) or [grants.nih.gov](http://grants.nih.gov)), consists of 20 institutes, a library and 7 centers with a \$27 billion annual budget in FY2003, which directs and supports a variety of research and service efforts.

### **State**

The best Web address for state programs is [www.state.nj.us](http://www.state.nj.us). From there, grant opportunities may be searched for through the various state department links.

### **Corporations**

- [www.corporateinformation.com](http://www.corporateinformation.com)
- [www.reportgallery.com](http://www.reportgallery.com) - Annual Reports of corporations

Corporate foundations have names that follow the related corporation (e.g., The Coca-Cola Foundation, the Hewlett-Packard Foundation, or the Ford Foundation). This makes it easy for you to find their Websites, either directly (they are not-for-profit organizations, so their URL has a .org suffix) or through a search engine, like *google* or *lycos*.

### **Education**

For general educational resources:

- [www.edfacilities.org/rl/funding\\_partnerships.cfm](http://www.edfacilities.org/rl/funding_partnerships.cfm) - National Clearinghouse for Educational Facilities
- [www.aacu-edu.org](http://www.aacu-edu.org) - Association of American Colleges and Universities
- [www.aauw.org](http://www.aauw.org) - American Association of University Women
- [www.chronicle.com](http://www.chronicle.com) - Chronicle of Higher Education
- [www.yahoogroups.com](http://www.yahoogroups.com) - e-lists of numerous topics

### **E-Lists**

[www.charitychannel.com](http://www.charitychannel.com) - e-lists on many topics

<http://stenosis.wustl.edu> - Corporate and Foundation relations for educational institutions

### **Private Foundations**

<http://fdncenter.org> - The Foundation Center

<http://grantstar.org/foundationgrants.html> - Foundation grant sources

[www.cnjg.org](http://www.cnjg.org) - Council of NJ Grantmakers

<http://philanthropy.com> - The Chronicle of Philanthropy

### **Grant Writing**

<http://granthelp.clarityconnect.com/school.htm> - Getting grants

[www.grantstation.com](http://www.grantstation.com) - Grant sources  
[www.lib.msu.edu/harris23/grants/4acfrai.htm](http://www.lib.msu.edu/harris23/grants/4acfrai.htm) - Academic fundraising  
[www.proposalwriter.com/grants2.html#subjects](http://www.proposalwriter.com/grants2.html#subjects) - Proposal writing advice/ links

### **Prospect Research**

To gather a wide spectrum of grant-related data, consult:

- [www.lambresearch.com](http://www.lambresearch.com) - David Lamb's research links
- <http://refdesk.com> - Resources on everything
- [www.grantsnet.org](http://www.grantsnet.org) - Science funders
- [www.princeton.edu/one/research/netlinks.html](http://www.princeton.edu/one/research/netlinks.html) - Princeton University's links
- <http://pubweb.nwu.edu/~cap440/bookmark.html> - Prospect research links
- [www.executivelibrary.com/prospect.asp#salary](http://www.executivelibrary.com/prospect.asp#salary) - Prospect research links
- [www.grantadvisor.com/tgaplus](http://www.grantadvisor.com/tgaplus) - The Grant Advisor links

### **990 Tax Return Forms of Foundations**

[www.nccs.urban.org/990](http://www.nccs.urban.org/990)  
[www.grantsmart.org](http://www.grantsmart.org)

### **Clearinghouses**

ORSP subscribes to a series of grant clearinghouses and publications that may be helpful in identifying the desired grant program. Among them, *The Grant Advisor* is available via [kean.edu/~orsp](http://kean.edu/~orsp).

### **Other possibilities**

Local county-based grant programs are often available to support small initiatives and community-based programming. Check [unioncounty.org](http://unioncounty.org) for further information.

## **D. General University Compliance information**

a. Kean University complies with all state and federal regulations, among them:

- Section 10, Ch. 48 of the Laws of 1954
- Title VI of the Civil Rights Act of 1964
- Title IX of the Education Amendments of 1972
- Section 504 of the Rehabilitation Act of 1973
- The Older Americans Act of 1975
- The American with Disabilities Act of 1990.

b. *Contractual Policy*: All Kean University agreements are to be construed and enforced in accordance with New Jersey laws, including without limitation the New Jersey

Contractual Liability Act (N.J.S.A. 59:13-1 *et seq.*) and the New Jersey Tort Claims Act (N.J.S.A. 59:1-1 *et seq.*). The University's business and all activities on its campuses and those related or affiliated to it are subject to, and are conducted in accordance with such laws.

- c. *Non-discrimination Policy*: In accordance with the statutes and rules of the New Jersey Civil Service System and applicable Federal and State Legislation, executive orders and regulations, Kean University is firmly committed to a policy of equal opportunity and affirmative action. It is the policy of Kean University to provide equal opportunities regardless of race, color, sex, national origin, religion, veterans' status, age or handicapping conditions. This applies to the three major areas of University activity: education, employment and contracting.
- d. *Not-for-Profit Status*: As a state agency, the University does not have an IRS or other certificate of not-for-profit status. It is the opinion of the New Jersey Attorney General's Office and state tax authorities that no such certificate is required of the University. The University is also exempt from New Jersey sales, use, and local taxes under NJSA54: 32B-9(A) and NJSA54: 32B-1, as well as from federal excise tax.

## **E. Grant Acceptance Letter** (available in ORSP)

I agree to serve as Project Director (or Co-Director) of project XXX funded by XXX from XXX to XXX. My role will be that of the manager and fiscal officer for the grant. I understand that the Office of Research and Sponsored Programs (ORSP) oversees this project, both administratively and fiscally, on behalf of the University. I further understand that the role of ORSP is to support my project and provide me with all services needed to ensure my success as Project Director and enhance my chances for extramural funding in the future.

I have carefully reviewed the funding guidelines and reporting schedule (fiscal and programmatic) established by the funding agency. I commit to abiding by such criteria, and I shall fulfill, to the best of my ability, the proposed programmatic goals and objectives.

I shall fiscally administer this project with the highest level of integrity, as I am fully aware of, and shall abide by, all grant-related policies; among them:

- To closely adhere by the established budget.
- Not to make any transfers across budget lines without clearing them first with ORSP, or the Grants Accounting department.

- To seek approval for all personal reimbursements or personal travel requests before submitting them for processing.
- Not to submit any fiscal reports or requests for extension to the funding agency without prior input from ORSP and/or Grants Accounting.
- To submit all documentation requiring official institutional signatures to ORSP for processing.
- To keep ORSP, as appropriate, abreast of any conversations with program officers and discussions of grant renewal.
- To give Kean University and the funding agency credit in all publications, presentations, exhibits and communication resulting from this grant.
- To follow Kean's established procedures on recruitment, employment, publicity, bids and purchases; and to seek counsel from ORSP as needed.

Name: \_\_\_\_\_ Department: \_\_\_\_\_  
 Signature: \_\_\_\_\_ Date: \_\_\_\_\_

Witnessed by (ORSP)  
 Signature: \_\_\_\_\_ Name: \_\_\_\_\_

**F. Institutional Review Board Application**

(found through kean.edu/~orsp)

**Request for Approval of Project Involving Human or Animal Experimental Subjects**

IRB# \_\_\_\_\_ (Office use only)

(To be prepared by Principal Investigator in single copy and attached to any project proposal involving human experimental subjects, including all grant applications and Released Time for Research and UFRI applications.)

Date of Request \_\_\_\_\_

TO: Kean University Institutional Review Board (IRB)  
 FROM: Name of P.I. \_\_\_\_\_  
 Dept./Unit \_\_\_\_\_  
 Phone \_\_\_\_\_

**SUBJECT: REQUEST FOR APPROVAL OF PROJECT INVOLVING HUMAN BEINGS**

1. Principal Investigator:

\_\_\_\_\_ (Signature)

Title/Rank/Degree:

\_\_\_\_\_

Full Title of Project:

\_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

Sponsoring Agency or Department:

\_\_\_\_\_

Use extra sheets to supply the following information:

2. Describe the involvement of human subjects in this project: (add additional sheets as needed).
3. What do you believe are all the possible risks (physical, psychological, sociological, or other) to humans that can result from participation in or assistance to this project?
4. Describe in detail procedures to protect the human participants involved from each of the risks mentioned in previous item number 3.
5. What expected benefits will accrue to each human subject, or to mankind in general, as a result of this project?
6. State in detail your plans for obtaining each subject's informed consent to participate in this project (attach copies any "informed consent" forms or agreements).
7. In the utilization of the results of your project, are humans protected from possible risks, such as embarrassment or invasion of privacy?

## **G. On Budgeting**

**Faculty/Staff Salaries.** All salary requests must be made in accordance with the RFP budget guidelines. Summer salaries for faculty must be consistent with the institutional policy on summer assignment for full-time faculty. Faculty stipends for the academic semester, except during a sabbatical, are counted as overload rates and should be calculated based on the current adjunct teaching rate. Consultants are also budgeted based on a calculated system.

**University Policy on Overload.** The scheduling of courses and the time and place of delivery of the courses to students by faculty is the prerogative of the academic administration (Chairs, Dean, Provost/VPAA). Scheduling decisions are made based on the needs of the programs, the students, and the best utilization of existing resources of the university. Course assignments (requiring a two, three or four day schedules) are the responsibility of the Department Chairs and the Deans.

The Dean and the Chairs are responsible for implementing the following guidelines:

Every faculty member is required to teach 6 credits or two courses, without exceptions. No faculty member can be awarded more than 6 credits release time in-load, nor can he/she receive released time for research concurrently with released time for a grant. It must be one or the other, but not both during the same semester. It is not possible for a single faculty member to receive more than 6 credits overload; the first 3 credits should be a course, the other 3 credits (if granted) may be used toward some required function as determined by the chair, the dean and the P/VPAA. In rare circumstances and with the approval of the P/VPAA, the order of the overload assignment may be allowed to change, but faculty members are not entitled to a two-day schedule under any circumstances.

Full-time Faculty – Amount of compensation must be consistent with university policy on teaching overload and summer assignments (copies of these policies may be found in the Provost's office).

Adjunct/Librarian/Overload – \$850 per-credit: one credit is equivalent to 20 hours of teaching (15 hours of classroom contact and 5 hours of preparation).

Consultant – \$125 per hour not to exceed \$500 per day.

**Fringe Benefits.** Fringe benefits have to be requested for all salary lines, except when disallowed by the grant guidelines. Benefit rates must follow the fringe benefit rates that the NJ Department of the Treasury negotiates yearly with the U.S. Department of Health and Human Services. For FY 2004-2005, the rates for part-time or adjunct salaries are at 7.65% (6.20% FICA and 1.45% for Medicare); for full-time salaries, the total rate, including FICA and Medicare, changes from year to year - 25.60% for FY 2004-2005 broken down as follows: (2.74% Pension; 21.61% Health Benefits including Prescription Drug and Dental Care; .70% Workman's Compensation; .18% Unemployment Insurance; .23% Temporary Disability Insurance; and .14% Unused Sick Leave).

**Graduate Assistants.** Graduate Assistants are paid in the amount of \$6/hour at a maximum of 15 hours/week for 32 weeks per academic year. This breaks down to a stipend amount of \$2,880/year in addition to \$4,939.20 in full-time annual in-state resident tuition & fees (\$6007.20 for non-resident) per Academic Year 2004-2005).

**Student Workers.** Because payment rates and financial assistance programs for undergraduate student workers and work-study program participants are established on a case-by-case and availability basis, they must be coordinated with Ms. Sally Mathan in the Office of Financial Aid at extension 7-3190.

**Travel.** Mileage is calculated at a rate of \$.31/mile. Any conference support should be generally estimated at \$1,500/activity or event off campus. With regard to busing for a particular event, the costs break down to \$500/48 passenger bus.

**Campus Residency.** For programs requiring students or guests to remain on campus overnight or for an extended period of time, the general costs for residency in the dormitories are as follows:

Multiple Occupancy/No Kitchen – \$25 per night  
Single Occupancy/No Kitchen – \$35 per night  
Multiple Occupancy/Kitchen – \$35 per night  
Single Occupancy/Kitchen – \$40 per night

**Food.** As of Fall 2004, all catering and food service requests for on-campus Kean University functions go through Gourmet Dining Service, LLC. Log onto <http://www.g-d-s.com/kean/htm> to view menu and rates, as well as to place orders. When away from Kean, an allotment of \$36 per day per person (\$8 Breakfast; \$8 Lunch; \$20 Dinner) applies to all grant-funded projects (alcohol is not included).

**Computer Hardware & Software.** When purchasing computer hardware or software, it is important that both the Office of Computer and Information Services (OCIS) and Department of Purchasing are aware of the order. Purchasing is involved because of its state vendor agreement/contract with Dell Computers Inc. to purchase all hardware solely from Dell. Should computer hardware be purchased from a vendor other than Dell, Kean University is in violation of state law. OCIS becomes aware of the purchase when it approves the initial requisition, then once the merchandise is delivered, OCIS installs and services it throughout the duration of its use. Purchasing can be reached at extension 7-5050 and OCIS can be contacted at extension 7-6000.

**Indirect Costs.** Where allowed, the University's federally negotiated overhead rate must be used. Currently, the University charges for indirect costs 10% of all direct costs (minus equipment) and 53% of salaries. Indirect costs can not be included in proposals to foundations or corporations.

**Carry-overs.** Funds that are not expended at the end of a year or a grant cycle are **not** automatically carried over to the next year. Permission to do so must be granted by ORSP as appropriate. In all cases, project grant guidelines will be followed. Request for a no-cost extension may not be made by the Project Director without prior consultation with ORSP.

## **H. Matching Funds**

Institutional matching funds usually strengthen the competitiveness of a given proposal as they show that the organization is committed to the project and that the latter is consistent with its mission.

Matching funds may be in cash or in-kind contributions. Such funds have to be explicitly stated in the presented budget sheet, and **must** receive prior clearance from ORSP.

In-kind contributions represent time, space and operational expenses incurred by the division or the University in support of the proposed project for which no funding is requested through the proposal.

**Time:** This represents pro-rated salaries of all personnel who will be involved in the project (from deans to grants officers); e.g., 5% of Dean XYZ's annual salary would represent 5% of his/her time committed to the project for a given year.

**Space:** If a project requires the use of University space,

- For regular classroom space, you may use the largest of (a) a pro-rate of \$150 per classroom per day (a day is 6 hours of use or more) or (b) \$50 per square foot per project per year (if project is using the facilities extensively and lasts at least 6 month).
- For smart classroom space, the rate is \$250 per day.
- For office space, pro-rate the expense at \$50 per office per day.
- For science laboratory or studio, use \$350 per lab per day.
- For computer laboratory space, use \$350 per lab per day.
- For theater usage, compute the match based on \$550 per day.

**Printing:** The 2004-2005 rate for printing and copying documents is \$.03 per copy for black & white and \$.60 per copy for color according to the cost breakdown established by Xerox (the company with whom Kean has an ongoing state vendor agreement/contract).

**KEAN UNIVERSITY  
UNION, NEW JERSEY**

**A RESOLUTION ACCEPTING EXTERNAL  
GRANT AWARDS**

**WHEREAS:** The Kean University is dedicated to advancing research and scholarship as well as meeting its public responsibility to provide the State of New Jersey with high-quality training, curricular and professional development opportunities, and community outreach programs.

**WHEREAS:** The following grant and/or private funding awards support the Kean University in meeting its commitments and adhering to its overall mission:

**Project:** New Jersey Consortium for Middle School Teachers  
**Project Director:** Dr. Gail Hilliard-Nelson, College of Education  
**Funder:** United States Department of Education  
**Goal:** Prepare middle school teachers throughout the state for recently heightened content standards.  
**Total Amount:** \$5.8 million/5 years

**Project:** Pathway to the National Science Digital Library  
**Project Cdtr.:** Dr. David Joiner, NJCSTE  
**Funder:** National Science Foundation through the Shodor Foundation  
**Goal:** Identify, develop and sustain effective curricula and interactive explorations for computational science education at all levels.  
**Total Amount:** \$2.8 million/4 years







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