The Office of Research and Sponsored Programs (ORSP) has provided this *Grants & Contracts Resource Guide and Policy Manual* to assist in the preparation of grant applications and proposals for all research, scholarship, creative works and other activities supported by external funding and to provide guidance once a project is funded. This Resource Guide and Manual compiles Kean University’s policies and procedures regarding grants and contracts and should be used as the reference manual for all sponsored projects management practices.

Since the time of printing some of the information you will find in this Resource Guide and Manual may have been updated. Please refer to the electronic copy of this document, posted on the ORSP web site at [http://orsp.kean.edu](http://orsp.kean.edu), for the current information.
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SECTION 1: GRANTS & CONTRACTS RESOURCE GUIDE

Section 1 of the Grants & Contracts Resource Guide and Policy Manual (Resource Guide) is designed to assist faculty members, staff, and administrators in their efforts to find, obtain, and administer external funding support. This reference provides guidance in preparing and submitting proposals and contains the procedures that principal investigators (PI) or project directors (PD) need to follow to successfully manage their grants and contracts. The Resource Guide is intended to be a comprehensive reference that provides clear guidelines for all sponsored projects management practices. When questions arise that are not addressed in the Resource Guide, the PI or PD should contact the Office of Research & Sponsored Programs (ORSP).

Section 2 of the Grants and Contracts Resource Guide and Policy Manual (Policy Manual) contains all University policies that apply to sponsored projects. These apply to all grants and contracts whether for individual faculty, academic programs, departments/schools, or community-based initiatives.

All documents and forms referenced in the Resource Guide and Policy Manual can be found in Appendix A.

In the event of a discrepancy between policies of the University and the funding agency, funding agency policies should be followed.
STATEMENT OF UNIVERSITY SUPPORT
Kean University encourages faculty, staff and administrators to seek external funding in support of projects and activities that will expand and enrich our institutional mission including funding for faculty research, research equipment acquisition, faculty/student research collaborations, professional and program development, curricular development, student recruitment and retention, service projects, and outreach and pre-college activities.

UNIVERSITY POLICY ON EXTERNAL FUNDING

1. Kean University seeks external funding to support research, scholarship and creative activity that will advance knowledge in the traditional disciplines, improve skills in professional areas, and integrate research and teaching to enhance student learning. Projects are expected to support Kean’s mission of excellence, equity, and access. Projects that advance one or more of the following institutional goals are encouraged:
   - Promote faculty-student research collaborations
   - Enhance the quality of academic programs
   - Develop meaningful partnerships with successful institutions and agencies
   - Increase and maintain affordability and access
   - Lead and support community-based initiatives

2. All letters of intent, letters of inquiry, preliminary proposals, full proposals, and contracts must be submitted by the ORSP; faculty or staff cannot directly apply for grants or other external funding.

3. Faculty or staff cannot partner with or enter into any agreements with external organizations, schools, or school districts without prior authorization from the ORSP.

4. No member of the University community is authorized to solicit funding from foundations, corporations, alumni or individual donors, formally or informally, or to use University stationery without the prior knowledge of and authorization from the Vice President of Institutional Advancement and Research.

5. Part-time faculty or staff must partner with a full-time member of the University community to apply for external funding.

6. Adherence to post-award administration policies, procedures and guidelines is the responsibility of the Principal Investigator/Project Director.

INTERNAL SUPPORT FOR RESEARCH, SCHOLARSHIP AND CREATIVE WORKS
Kean University and the Kean University Foundation together sponsor a robust program of internal support for faculty research, scholarship and creative activity. Some programs offer
released time, some financial support for equipment, supplies and travel, and some offer both. All programs are subject to the availability of funding.

A brief description of each of the programs of internal support follows. Detailed information including eligibility, guidelines, applications and timelines for all the internal research support programs can be found on the ORSP website at http://orsp.kean.edu

FOUNDATION FACULTY RESEARCH AWARDS (FFRA)

The Foundation Faculty Research Award is sponsored by the Kean University Foundation. The fundamental goal of the Foundation Faculty Research Award is to help faculty better position themselves to apply for and receive external funding for their research and scholarly activities. Full time tenured and untenured faculty can apply for up to two consecutive years of funding. Recipients are expected to be actively engaged in submitting proposals to external funding agencies both public and private. The award supports proposals from all disciplines, and provides financial support (up to $5,000 for an initial award and $4,000 for a continuing award) needed to engage in academic scholarship for a wide variety of purposes. The Office of research & Sponsored Programs administers the FFRA program on behalf of the Kean University Foundation.

RELEASED TIME FOR RESEARCH AND CREATIVE WORKS (RTR)

The Kean University Released Time for Research Awards Program was established through a letter of agreement between Kean University and the Kean Federation of Teachers to support faculty research and creative works. Through this program, faculty, professional personnel, and librarians apply to receive research awards of released time (up to 6 credits) and limited direct costs. The Kean University Released Time for Research and Creative Works Committee reviews submitted proposals and makes final award recommendations to the President. Funding levels may vary from year to year. The Office of Research & Sponsored Programs administers the RTR program on behalf of the Office of the Vice President for Academic Affairs.

UNTENURED FACULTY RESEARCH INITIATIVE (UFRI)

The Kean University Untenured Faculty Research Initiative (UFRI) was established through a letter of agreement between Kean University and the Kean Federation of Teachers to support the competitive research efforts of untenured faculty that will advance the state of the art or knowledge in a specific field or area of professional activity; enhance the ability of untenured faculty to participate successfully in the Release Time for Research Program; and promote proposal-writing skills suitable for the preparation of applications to external funding agencies. Through this program, faculty and librarians apply to receive research awards of released time (up to 6 credits) and limited direct costs. The UFRI program is open to all untenured full-time faculty members and untenured full-time librarians submitting proposals for original research or creative works in any discipline. The Kean University Untenured Faculty Research Initiative Committee reviews submitted proposals and makes final award recommendation to the
President. Funding levels may vary from year to year. The UFRI program is sponsored by the Office of the President and is administered through the Office of Research and Sponsored Programs.

STUDENTS PARTNERING WITH FACULTY RESEARCH PROGRAM (SPF)

The Students Partnering with Faculty (SpF) Summer Research Program is a competitive program that was developed to support and advance student and faculty research and scholarship at Kean University. Full-time faculty have the opportunity to submit proposals, in collaboration with no fewer than two and no more than three undergraduate or graduate students who are currently enrolled and continuing into the fall semester, for the purpose of attaining funding toward a specific student-faculty research project. The project must consist of an intensive summer research experience (minimum of six weeks), followed by continued work in academic year. Student researchers receive $3,500 stipends each and research advisors receive a $3,500 stipend. A maximum amount of $2,000 in materials to support the student-faculty project may also be awarded. The SpF program is sponsored by the Office of the President and administered through the Office of Research & Sponsored Programs.

PRESIDENTIAL SCHOLARS CHALLENGE (PSC)

The Presidential Scholars Challenge (PSC) is a competitive program that provides bridge support to faculty researchers who are prepared to pursue external funding during the grant period to continue their research program. All full-time faculty and adjunct faculty in collaboration with full-time faculty are eligible to submit proposals. Applicants may request up to six credits released time, summer II salary, student stipends, and direct cost support all as needed to support the research project. Proposals are evaluated for intellectual merit and broader impacts and assessed for their potential to secure external funding. The most important review criterion is external funding potential. The PSC is a calendar-year program, with a formal review in June to decide continuation funding for the second half of the year.

INDIVIDUAL REQUESTS FOR RESEARCH / TRAVEL SUPPORT

The Office of Research & Sponsored Programs, as part of the Division of Institutional Advancement & Research, may have limited funds available to support individual faculty requests for research equipment, supplies or travel. Faculty must first seek funding support through their department/school and college. Faculty who had a proposal declined for funding are especially encouraged to request travel support to meet personally with the program officer to discuss ways to improve their proposal. Faculty seeking to establish collaborative partnerships with established researchers may also request travel support. Request forms and instructions may be found on the ORSP website at http://orsp.kean.edu.

Individual requests for travel support through the ORSP follow the same approval and reimbursement procedure as grant-funded travel. All University travel documents, with necessary approvals, must be submitted along with requests for travel support. Travel
expenditures must comply with the policies and procedures set forth in the Kean University Travel Manual. (See Section 2 of the Grants & Contracts Resource Guide and Policy Manual or online at http://orsp.kean.edu.)

OFFICE OF RESEARCH & SPONSORED PROGRAMS

The ORSP is a comprehensive resource aimed to strengthen and advance the research, scholarly and creative enterprise of the University through active pursuit of extramural funding. The ORSP also facilitates intellectual property and technology development and commercialization, and other entrepreneurial activities that complement and strengthen the mission of the university. The ORSP is responsible for administrative oversight and institutional compliance for all funded/sponsored research activities at the university.
**Mission**

The mission of the Office of Research and Sponsored Programs is consistent with the focus on teaching excellence supported by a commitment to research, scholarship, creative work, and innovative uses of technology that is part of the mission of the University.

The mission of the Office of Research and Sponsored Programs (ORSP) is to provide leadership and support to assist faculty and staff to compete successfully for external funding to conduct research and scholarship; engage in creative work; develop curriculum; advance student learning, aid recruitment and retention; and, support campus programming and community outreach. In addition to external grants and contracts administration, the ORSP administers internal research awards, provides oversight for sponsored programs, and ensures compliance with applicable Federal, State, and University policies and regulations including research involving human subjects and care and use of laboratory animals.

**Vision**

The vision of the Office of Research and Sponsored Programs is consistent with several elements of the strategic plan of the University: to significantly increase public and private support for institutional initiatives; to initiate and maintain external partnerships; to attract and retain faculty-scholars; to provide for the necessary research infrastructure and technology enhancements to meet research needs.

**Goals**
1. To actively support faculty and staff in identifying opportunities and in successfully securing external funding through grants, direct contracts, and cooperative agreements.
2. To support the development of research centers and shared-use core facilities based on areas of research strength or potential.
3. To increase communication and promote arrangements with business, industry, and government agencies to increase funding opportunities.
4. To provide services to entrepreneurial faculty researchers to protect and commercialize inventions, assist in economic development, and secure operating capital for development of inventions to the commercialization phase.
5. To ensure that all research activity by faculty, students or other personnel, sponsored or unsponsored, meets ethical standards, and follows federal, state, and university regulations and procedures, with special attention to research involving either humans or animals.
6. To ensure that grants and contracts awarded to the University are effectively and efficiently administered while complying with all Federal, State, sponsor and University guidelines.

SEARCHING FOR FUNDING

The ORSP assists faculty and staff to find potential sources of funding for research, projects, programs and fellowships. We encourage faculty, staff and administrators to contact us directly (see contact information below) to discuss your research or program ideas. The ORSP can help identify prospective funders, interpret proposal announcements, review proposal guidelines, provide institutional information, and answer budget-related questions.

The ORSP maintains an extensive website with numerous links to funding sources. The ORSP also maintains a list of websites that offer grant-writing tips, guides, and tutorials. In addition, the ORSP staff reviews federal, state, and private funding announcements daily and sends targeted email blasts to faculty to inform them of opportunities for which they are eligible. Links to recent announcements are also available on the website under “Recent Announcements” and included in the monthly electronic newsletter sent to all faculty.

The ORSP conducts a series of research and funding opportunities workshops for faculty throughout the academic year. Some of these workshops are on general topics such as prospect research, internal research award programs, and grant budgeting and management. Other workshops are geared to specific disciplines and describe particular funding programs that may be of interest to faculty. Still others are led by Kean faculty who served on various review committees and give insight into the proposal review process of various funding agencies. The calendar of workshops is available on the ORSP website. Announcements are also sent to faculty through blast emails.

The University subscribes to SPIN, an excellent grant search engine, GENIUS, a searchable database of investigator profiles, and SMARTS, an automated email alert service that matches investigators with funding announcements based on their user profiles. To register, you must create a profile in the GENIUS module and select keywords associated with your areas of research interest. Once the information is entered and the profile has been verified by the ORSP, you will receive notification of relevant funding opportunities through SMARTS. You may set SMARTS to send emails daily or at other intervals. The registration link is on the ORSP website.
The Federal government offers a vast variety of funding opportunities. At the grants.gov website, you may search for funding opportunities and sign up to receive email notifications of upcoming grants in your area of interest.

**ORSP CONTACT INFORMATION FOR PROSPECTIVE PRINCIPAL INVESTIGATORS**

<table>
<thead>
<tr>
<th>Department</th>
<th>Contact Name</th>
<th>Email</th>
<th>Phone</th>
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<tbody>
<tr>
<td>College of Business &amp; Public Management</td>
<td>Joseph Cronin</td>
<td><a href="mailto:jcronin@kean.edu">jcronin@kean.edu</a></td>
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<td>NJCSTM</td>
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<tr>
<td>Sub-awards and subcontracts</td>
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</tr>
</tbody>
</table>
PROPOSAL SUBMISSION GUIDELINES

There are two paths for submitting a proposal for external funding. The procedures are different depending on the path.

Path 1: Response to request for proposals issued by funding agency
Path 2: Investigator-initiated proposal
RESPONSE TO REQUEST FOR PROPOSALS ISSUED BY FUNDING AGENCY

1. Program announcements and requests for proposals are sent daily by the ORSP via email to faculty, staff, Chairs, Executive Directors and Deans as appropriate to the program. The email contains the following information:
   - Name of sponsor and title of program
   - Sponsor deadline
   - Brief program description
   - Link to full announcement and program guidelines

2. The prospective Principal Investigator (PI) should indicate his/her interest in applying for funding by replying to the email announcement, *copying his/her Chair or Executive Director and Dean.*

3. In most instances, and for all new investigators, the assigned ORSP contact will meet with the PI to review the proposal guidelines, plan the proposal submission process, review the required supporting documents, and discuss the development of budgets and budget narratives that fit funding agency guidelines and University policies. This will be done as early as possible to allow time for registering new PIs, developing budgets, obtaining letters of support, etc.

   The PI will be given a copy of the *Principal Investigator Assurance Form* (see Appendix A or online at [http://orsp.kean.edu](http://orsp.kean.edu)), which must be completed and signed by the PI and any co-PIs before the grant application is submitted. *No applications will be submitted without a signed assurance document.*

4. The PI has the primary responsibility for writing the proposal narrative. The ORSP can provide assistance to the PI in the preparation and writing of the proposal. Keep in mind that funding agencies report the most common problem with proposals is failure to follow directions. If you are preparing a proposal in response to an announced funding opportunity, carefully read the instructions and guidelines. The ORSP will provide assistance in interpreting grant program guidelines.

5. The ORSP will prepare all necessary forms for the proposal. The ORSP will facilitate and complete all submissions.

INVESTIGATOR-INITIATED PROPOSALS

1. The prospective Principal Investigator (PI) should discuss their idea with his/her Chair or Executive Director and Dean.

2. The PI must complete the *Grant Concept Review Form* (see Appendix A or online at [http://orsp.kean.edu](http://orsp.kean.edu)), obtain the signature of his/her Chair or Executive Director and Dean, and submit the form to the ORSP.

3. The ORSP will contact the prospective PI for an appointment to discuss the proposal.
4. If a funding source was not identified by the PI, the ORSP will complete a search for potential funders.

5. Once potential funders have been identified, the PI will be given a copy of the Principal Investigator Assurance Form, which must be completed and signed by the PI and any co-PIs before the grant application is submitted. No applications will be submitted without a signed assurance document.

6. The PI has the primary responsibility for writing the proposal narrative. The ORSP will aid the PI in the preparation and writing of the proposal. The ORSP will prepare all necessary forms for the proposal. The ORSP will facilitate and complete all submissions.

PROCEDURE FOR LIMITED SUBMISSIONS PROGRAMS

Programs that limit the number of proposals that can be submitted from one institution are common. The ORSP will alert faculty that this is a limited submission program when sending out the funding announcement and will include the deadline by which faculty must indicate an interest to submit.

LIMITED SUBMISSION GRANTS

The ORSP has the responsibility for convening meetings of the Limited Submissions Committee, appointed by the Vice President, Institutional Advancement and Research. The goal of the committee is to choose the most competitive proposal/s to represent Kean University. The process for determining which proposal/s may be submitted follows.

1. Email notification of program by ORSP with deadlines noted.

2. Email indication of interest by faculty to ORSP.

3. If interest exceeds the allowed number of submissions, ORSP will provide interested faculty with an electronic template for use in preparing a pre-proposal containing information related to the specific call for proposals and will convene the Limited Submissions Committee to review the pre-proposals. ORSP will specify the submission date for pre-proposals.

4. Review of pre-proposals by Limited Submissions Committee. Appropriate Deans may be asked to provide a ranking of the pre-proposals submitted from their college.

5. The Limited Submissions Committee provides recommendations to the Vice President, Institutional Advancement and Research who makes the final decision.

6. Notification of decision to the interested faculty.

7. Completed proposal/s submitted to funding agency.
LIMITED SUBMISSION FACULTY RESEARCH FELLOWSHIPS

It is the policy of Kean University that all applications for faculty research fellowships be submitted to the ORSP for review. For limited submission fellowships, the ORSP has the responsibility to convene meetings of the Faculty Research Fellowship Committee, appointed by the Vice President, Institutional Advancement and Research (VPIAR). The Faculty Research Fellowship Committee will make recommendations on research fellowship applications, which will then be forwarded to the Vice President for a final decision. Research fellowships provide summer support or opportunities for faculty during the academic year or sabbaticals. Fellowships are prestigious and can raise the University’s visibility, enhance its academic reputation and have a positive impact on students. Fellowships are provided by many federal sources such as the National Science Foundation, National Institutes of Health, National Endowment for the Humanities, and many private sources.

Procedure

1. Notices of research fellowships will be sent in a blast email by ORSP to the Vice President, deans and department chairs as necessary.

2. Faculty interested in submitting applications for external research fellowships must complete the narrative section of the application in full and email it to ORSP for review.

3. After review, if Faculty Research Fellowship Committee approval and selection is required, ORSP will email all applications to the Vice President, Institutional Advancement and Research and members of the Committee.

4. The Committee will be asked to individually send their recommendations to ORSP.

5. The Committee’s recommendations will be forwarded to the Vice President, Institutional Advancement and Research for final determination.

6. Final decisions by the VPIAR will be conveyed to the Director of ORSP. ORSP will then notify the faculty and submit the fellowship application on behalf of the faculty member, or when required by the funder, the faculty member will submit.

PROCEDURE WHEN KEAN UNIVERSITY IS NOT THE LEAD (SUBMITTING) INSTITUTION

The ORSP must be notified immediately when faculty, staff or administrators are asked to collaborate with another institution that will be submitting a proposal for external funding. All University guidelines and policies for external funding apply to collaborative proposals submitted by other institutions. The faculty member or administrator should provide ORSP with a contact in the collaborating institution. In many instances, ORSP will need to work directly with the sponsored programs office in the collaborating institution.

ESTABLISHING INSTITUTES AND CENTERS

The establishment of all institutes and centers must have written approval from the VPAA before a grant proposal can be submitted. This applies whether the center or institute is University wide
or housed within a school or college. If the center or institute is housed solely within a school or college, written approval from the Dean must also be obtained.

Grant-funded centers and institutes are expected to become self-supporting within three to five years after the end of the initial grant funding. Institutes/centers must prepare a five-year start-up plan for program development and funding that articulates how the institute/center intends to acquire external funding. Failure of an institute/center to actively pursue external funding may result in termination of the institute/center.

SPECIAL PROPOSAL CONSIDERATIONS

All research activity by faculty, students, and employees of Kean University, whether funded or unfunded, that involves human subjects or animals must have appropriate approval (IRB or IACUC) before any activity can begin.

RESEARCH INVOLVING HUMAN SUBJECTS

Kean University’s practices and policies in support of research firmly uphold the highest standards of ethics and integrity and comply with all federal regulations and guidelines. All faculty, students, and employees who conduct research involving human subjects must comply with University Policy and Procedures for the Protection of Human Subjects in Research.

Proposals involving human subjects can sometimes be submitted without prior Institutional Review Board (IRB) approval; however, some funding agency guidelines require prior IRB approval before submission. It is essential to determine the requirements for each particular application. Projects involving human subjects cannot be funded until IRB certification is obtained. Even if prior approval is not required, PIs should file an IRB application when they submit a proposal to avoid delays if the project is funded.

Regardless of whether the project is funded and regardless of the funding source (if any), all research involving human subjects must have prior IRB approval before any activity can commence. Information about the Institutional Review Board, including applications and deadlines, can be found on the ORSP website under the “Regulations and Compliance” section. Contact Dr. Joseph Cronin (jcronin@kean.edu), IRB Administrator, for assistance with questions related to human subjects research.

RESEARCH INVOLVING ANIMALS

Kean University takes seriously the duty of all scientists involved in animal-related research to treat animals according to the highest standards of care. The Institutional Animal Care and Use Committee (IACUC) ensures that these duties are met fully and in accordance with guidelines set by relevant agencies.
Proposals involving animals can sometimes be reviewed without prior IACUC approval; however, some funding agency guidelines may require prior approval before submission. It is essential to determine the requirements for each particular application. Projects involving animals cannot be funded until IACUC certification is obtained. Even if prior approval is not required, PIs should file an IACUC application when they submit a proposal to avoid delays if the project is funded.

Regardless of whether the project is funded and regardless of the funding source (if any), all research involving animals must have prior IACUC approval before any activity can commence. Information about the Institutional Animal Use and Care Committee, including applications and deadlines, can be found on the ORSP website under the “Regulations and Compliance” section. Contact Dr. Evros Vassiliou (evassili@kean.edu), IACUC Chair, for assistance with questions related to research using animals.

REQUIRED COST SHARING OR MATCH

The University defines cost-sharing as *out-of-pocket or in-kind project costs contributed by the University.* Match is defined as *funding that is pledged to match a portion of the primary sponsor’s funding and may be in the form of cash, university, or third party in-kind contribution.* Cost-sharing / match can only be added to a proposal if it is required by the sponsor as one of the eligibility criteria to submit an application. Voluntary cost-sharing / match will not be supported by the University. All requests for cash cost sharing / match must be approved *in writing* by the Vice President, Institutional Advancement & Research (VPIAR) before a proposal can be submitted. (See Cost Sharing / Matching Policy in Section 2 of the Grants & Contracts Resource Guide and Policy Manual or online at [http://orsp.kean.edu](http://orsp.kean.edu).)

REQUIREMENTS FOR SUBCONTRACTS

If you are including a sub-grant or subcontract in your proposal, the following items are required from the institution receiving the subcontract *before* proposal submission:

- statement of work
- budget justification
- separate budget
- copy of the institution’s Indirect Cost Agreement
- letter of intent to form a consortium signed by an authorized representative of the institution receiving the subcontract.

These documents must be provided to ORSP before the proposal can be approved and submitted to the funding agency. ORSP can assist in obtaining this information. Contact Brenda Dunlop (bdunlop@kean.edu) immediately if you will be including a subcontract in your proposal.

Subcontracts are normally described in detail in both the proposal narrative and in the proposal.
budget and therefore will be approved and included by the funding agency in the award
documents. ORSP will establish the subcontract with the other institution when the award is set
up. If an award is received but the proposal never mentioned a subcontract or included it
in the budget, approval must be obtained from the funding agency and significant delays
will occur.

**PREPARING THE PROPOSAL**

The single most important thing you must do before preparing your proposal is to carefully read
the request for proposal (RFP) and the application instructions. Funders will only give you
money if you can help them reach their goals. Goals vary widely from one funding agency to the
next and also within programs of the same agency. Even the best proposal will not be a
competitive proposal if it does not respond to the goals of the program announcement. As you
write your proposal, keep the goal of the funding agency and of the RFP foremost in your mind.
A curriculum development proposal written for the US Department of Education should not look
the same as a curriculum development proposal written for the National Science Foundation.

Reviewers across all disciplines and every type of funding agency agree that most proposals lose
points because the applicant did not carefully follow the instructions. ORSP will review all
proposals for compliance and will not submit proposals that are missing sections or have
exceeded page limits, etc. However, application instructions include much more than margin size
and acceptable fonts. Instructions almost always include the specific content topics the funder
expects to see. Instructions indicate priority topics or types of activities within the overall RFP.
Instructions include what expenses and activities are permissible and what is not allowed. Often
the instructions will show the number of points each section can be awarded.

Contact the program officer whenever possible to briefly discuss the ideas in your proposal and
to verify it fits within the activities that program supports. Then pay close attention to the
answers you get and make sure your proposal reflects the suggestions you received. If the funder
offers review of draft proposals, always take advantage of that.

State clearly and briefly what your proposal is about, preferably in the first sentence and in 25
words or less. All large funding agencies and most private funders use review panels. Reviewers
are asked to read numerous proposals in a short period of time. Do not confuse them or make
them work harder than they need to.

Funders are passionate about their particular area. Put your passion into your proposal.
Remember to avoid verbiage and emphasize readability. Even though your proposal will most
likely be peer-reviewed, reviewers may be from your general discipline but not your particular
specialty.

Be realistic. Focus. Limit your objectives and activities to the amount of work that you can
accomplish in the funding time frame. Reviewers will not be impressed with grandiose plans.

Collaboration is good – if appropriate. Most major funding agencies encourage collaboration
among researchers, with other institutions, and with outside organizations. If you decide to
collaborate with others make sure you can demonstrate their commitment and can describe a division of labor/talent/resources that will make sense to the funder.

Use the characteristics of Kean University: established in 1855; highly diverse student body; urban-rim location; predominantly undergraduate; active faculty/student research collaboration; robust program of internal research support; to enhance your application. ORSP will assist you with data wherever needed.

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**PREPARING THE BUDGET**

Prospective PI/PDs are strongly encouraged to take advantage of the support available through the ORSP when preparing a budget for a grant proposal. Budget guidelines vary by funding source and by individual RFP. In addition, federal, state and University guidelines must be followed. Ideally, the prospective PI will come to the initial planning meeting with a “wish list” of budget items that are needed for a successful project and the ORSP (Brenda Dunlop) will develop a detailed budget that conforms to funding agency and University guidelines, which she will review with the prospective PI/PD. Therefore, the following information is provided as background for understanding the budget process. It is not necessary for the prospective PI to gather current rates, etc. when developing a grant proposal since the ORSP will prepare the detailed budget.

**FACULTY/STAFF SALARIES**

All salary requests must be made in accordance with the RFP budget guidelines and must be consistent with University policy on teaching overload and released time (copies of these policies may be found in the VPAA’s office).

**RELEASED TIME**

If you plan to include released time in your proposal you must be aware of the funding agency’s guidelines. Guidelines vary by agency and by program. Released time requests must also be consistent with the University’s *Grant-Funded Released Time Policy* (See Section 2 of the Grants & Contracts Resource Guide and Policy Manual or online at [http://orsp.kean.edu](http://orsp.kean.edu)). Released time is calculated as a percentage of salary, with all appropriate fringe benefits applied. Grant-funded released time will only be approved if the dollar amount is fully supported by the internally or externally funded project. Released time can be paid from multiple funding sources and is based on the approved budgets of the funded projects.

Teaching overload payments are not permitted if a faculty member has been granted released time for research. Contact Brenda Dunlop ([bdunlop@kean.edu](mailto:bdunlop@kean.edu)) in the ORSP for assistance with questions related to budgeting for released time.

**SUMMER SALARY**

Summer I salary is calculated on a per credit rate. Summer II salary can be calculated either as a percentage of salary or a per credit rate. Summer salary will only be approved if the dollar
amount is fully supported by the internally or externally funded project. Summer salary can be paid from multiple funding sources and is based on the approved budgets of the funded projects. Contact Brenda Dunlop (bdunlop@kean.edu) in ORSP for assistance with questions related to budgeting for summer salary.

**COMPENSATION FOR EXTERNALLY-FUNDED ACTIVITIES**

In accordance with the provisions of the Agreement between the State of New Jersey and the Council of New Jersey State College Locals, AFT, AFL-CIO, a faculty member may receive up to 30% of his or her base salary or $18,000, whichever is greater, in compensation for work funded from a grant or contract. This compensation may not exceed the amount provided to the University from the grant or contract or the rate of compensation established in the funding agency guidelines.

Grant-funded compensation is paid as overload. If a faculty member is already receiving 6 credits teaching overload per semester during the academic year they cannot receive non-teaching research credit. The credits may be applied to summer salary.

**FRINGE BENEFITS**

All appropriate fringe benefits must be included for all salary lines, except when disallowed or limited by the grant guidelines. Contact Brenda Dunlop (bdunlop@kean.edu) in the ORSP for the current fringe benefits rates.

**GRADUATE ASSISTANTS**

Graduate Assistants are paid the prevailing minimum wage at 15 hours/week for 32 weeks per academic year. This amount plus fringe benefits must be budgeted in addition to full-time in-state tuition & fees. For FY 2012 the annual cost for a graduate assistant is $19,000. Graduate students who receive a 12-month assistantship are not eligible to also receive research assistant stipend payments. Graduate students who receive a 9-month assistantship are eligible to receive research assistant stipend payments only in the summer following the termination of the assistantship for that academic year. Contact Brenda Dunlop (bdunlop@kean.edu) in the ORSP for questions relating to graduate assistants.

**ACADEMIC SPECIALISTS**

Under supervision of a full-time professional employee, Academic Specialists provide part-time, temporary and professional services to the university. Such functions are performed on an intermittent basis or for fixed periods of a short duration, such as a semester-by-semester basis. Academic Specialists may be compensated on an hourly basis or by contract. **Academic Specialists may not work more than 15 hours per week.** Academic Specialists are normally paid $9.50 to $16/hour, depending on the job description. See the Office of Human Resources website for Hiring Policies and Procedures and application forms for Academic Specialists http://www.kean.edu/KU/Adjunct-Academic-Specialists-Student-Employment
SCHOLARSHIPS

Scholarships are defined as a sum of money or other aid granted to a student because of merit, need, etc. to pursue his/her studies. Scholarships are processed through financial aid/student accounting. Students receive a 1098T form for tax reporting purposes. The amount of the student scholarship is governed by the funding agency. Refer to the funding agency guidelines and the award documents for determining the number of students and amount of scholarships to be received. It is the responsibility of the PI/PD to coordinate scholarship payments with Student Financial Services and to inform the Scholarship Director that the scholarship is available so that it can be advertised. The ORSP will manage the payment process and all questions should be addressed to the Post-Award Administrator (Brenda Dunlop bdunlop@kean.edu).

STIPENDS FOR STUDENT RESEARCH ASSISTANTS

Stipends are defined as receiving payment for performing some type of work or for a promise of work. The stipend payment can be a flat rate amount or can be based on an hourly wage. Normally the benchmark for summer stipends is based on the Students Partnering with Faculty (SpF) program, which pays a stipend amount of $3,500 for a minimum of 6 weeks of intensive summer research. Stipend payments to student research assistants are made through payroll. Students receive a W2 form for tax reporting purposes. It is the responsibility of the PI/PD to ensure that all paperwork required to process the stipend payment is completed properly and contains all the necessary approvals. The following documents (see Appendix A or online at http://orsp.kean.edu) are needed to process a research assistant stipend payment:

- stipend contract
- W4 form
- copy of student’s social security card

All completed documents should be forwarded to the Post-Award Administrator (Brenda Dunlop) in the ORSP for processing. Any questions relating to student research assistant stipend payments should be addressed to the Post-Award Administrator.

CONSULTANTS

Before agreeing upon a payment amount to a specific consultant, speaker, evaluator, etc., please note that many sponsors, including the State and federal government, set limits on payments to consultants (including payments to speakers) and specific guidelines may apply. For example, some programs funded by the U.S. Department of Education require the use of an external evaluator but limit the payment to a certain percentage of the total program budget. Contact the ORSP for assistance interpreting guidelines related to consultants.

COMPUTER HARDWARE OR SOFTWARE

The inclusion of computer hardware and software in grant budgets is discouraged unless the research requires a specific type of hardware or software not normally found on a University
campus. University approved vendors for computer purchases are Dell and Apple. Please contact OCIS for pricing of computer hardware and software to be included in grant budgets.

**TRAVEL COSTS**

Note that all grant-funded travel must follow the University policies on travel in addition to any particular guidelines of the sponsor. (See Section 2 of the Grants & Contracts Resource Guide and Policy Manual or online at [http://orsp.kean.edu](http://orsp.kean.edu) for the grant-funded travel approval and reimbursement procedure).

Mileage is calculated at a rate of $.31/mile from the Kean University campus location where the employee is based to the destination.

When away from Kean an allotment of $36 per day per person for overnight travel ($8 Breakfast; $8 Lunch; $20 Dinner) applies to all grant-funded projects (alcohol is not included).

**CAMPUS FACILITIES, FOOD SERVICES AND CONFERENCE COSTS**

Contact Conference and Events Services for rates associated with use of campus facilities. All catering and food service requests for on-campus Kean University functions go through Gourmet Dining Service, LLC. You may log onto [http://www.g-d-s.com/campus/kean](http://www.g-d-s.com/campus/kean) to view menus and rates.

**CAMPUS RESIDENCY**

Contact Residence Life for rates associated with residency in the dormitories for programs requiring students or guests to remain on campus overnight or for an extended period of time.

**CHARTER BUS FEES**

Charter bus fees may be estimated at $800 per 48 passenger bus.

**INDIRECT COSTS**

Kean University’s current federally negotiated indirect cost rate is 69% of total direct salaries, wages and fringe benefits, if accepted by the funding agency. Some funding agencies or programs cap indirect costs. Indirect costs, to the extent allowed by the sponsor, must be included in all proposals.
FORMS REQUIRED BEFORE PROPOSAL SUBMISSION

Proposal applications will NOT be submitted without a signed assurance certification form and financial disclosure form.

PI/PD ASSURANCE CERTIFICATION FORM

Federal regulations require that applicant organizations secure and retain a written assurance from the PI prior to submitting an application or progress report. When multiple PIs are proposed in an application, this assurance must be secured and retained for all named PIs.

The Principal Investigator/Project Director Assurance Certification Form (See Appendix A or online at http://orsp.kean.edu) must be completed for all external grant applications and progress report submissions. The completed and signed form must be provided to the Office of Research and Sponsored Programs before an external grant application or progress report can be signed for a paper submission or electronic submission.

CONFLICT OF INTEREST / FINANCIAL DISCLOSURE REQUIREMENTS

Federal regulations require institutions of higher education to have policies and procedures in place that ensure that investigators disclose any significant financial interest that may present an actual or potential conflict of interest in relation to externally sponsored projects. Such disclosures must be made prior to the submission of the proposal for funding, and institutions must develop specific mechanisms by which conflicts of interest will be reviewed and satisfactorily managed, reduced, or eliminated prior to acceptance of an award. In addition, if a new reportable significant conflict of interest arises at any time during the period after the submission of the proposal through the period of the award, the filing of a disclosure is also required.

Before a proposal can be submitted, the prospective PI must complete and sign the Financial Disclosure Form (See Appendix A or online at http://orsp.kean.edu) and attach it to the Assurance Certification Form.

DEADLINES – ALL PROPOSALS

Prospective PIs are encouraged to submit proposals and supporting documents as early as possible. The narrative and all supporting documents are due to ORSP a minimum of three working days before the due date for electronic submissions or before the mailing date for hard copy submissions. This allows time to review proposals for conformance to proposal guidelines and to complete or correct documents as necessary.

NOTE: Proposals submitted to ORSP less than 24 hours before the deadline may be refused if the review for conformance to guidelines shows missing or incorrect information that cannot be rectified prior to the submission deadline.
Remember to plan ahead. If your proposal includes a requirement for cost-sharing/matching, involves human subjects or animals, includes a sub-grant or subcontract, or requires collaboration or support from other organizations or institutions, you will need extra time to secure the necessary additional approvals and supporting documents.

**ONLINE SUBMISSIONS**

Online grant submission has become a requirement of all federal funding agencies and the State of New Jersey. Most private funders also require online submission. All grant application materials *except letters of support* including biographical sketches/CVs, narratives, and other attachments must be sent to ORSP electronically via email. PI/PDs familiar with specific funding portals may upload sections of the proposal and notify their ORSP contact that the section is available for review. ORSP must submit all proposals for external funding.

Note: If you use grants.gov for accessing federal grant programs, you will see that the first step is “getting registered”. Kean University is a registered institution. You, as an individual, do not need to register with the Central Contract Registry. You do not need to be an Authorized Organization Representative (AOR). ORSP staff members have been established in the various roles of authorized submitter, certifying official, etc. with federal, state and other funding agencies.

Various funders have different requirements for online submissions. For example, the prospective PI has to “open” a NSF proposal and give ORSP staff access to it as the first step. You may be required to register personally with grants.gov for certain fellowship submissions. Your ORSP contact will guide you through the process.

**IF YOUR PROPOSAL IS DECLINED**

The harsh reality is that the great majority of proposals are declined for funding. The overall funding success rate for both NIH and NSF is currently about 20%. This overall rate masks the fact that funding rates by program and center can vary greatly. (For example, the success rate for funding small grants in the Institute for Communication Disorders and Deafness at NIH is 8%).

In most cases, it is wise to plan to revise and resubmit your declined proposal, especially if your program officer encourages you to resubmit. Chances of funding are enhanced on the second submission. In many instances, you will have the benefit of detailed reviewer comments which identify the areas of weakness those reviewers saw in your proposal. Most funding agencies have guidelines about resubmission. NIH allows one resubmission. NSF allows resubmissions but the proposal must be substantially revised or it will be returned without review. It is important to have a frank discussion with your program officer. ORSP provides travel support to faculty who have been declined funding and who want to make a personal visit to discuss their proposal with a program officer.
IF YOUR PROPOSAL IS ACCEPTED

Congratulations! Take some time to enjoy your success. Then carefully read the guidelines that follow. The keys to successful grant administration are:

- know the funder’s requirements and the University’s policies and procedures;
- plan ahead; and,
- use the resources of the ORSP to help you manage your grant.

GRANT ACCEPTANCE

The University accepts both grants and contracts on behalf of the Principal Investigator (PI) or Project Director (PD), placing the legal liability on the institution. The President, as Chief Executive Officer, has delegated the Vice President, Institutional Advancement & Research, as the Senior Research Officer, the authority to accept grants or contracts on behalf of the University. This formal acceptance must occur before any project activities can begin. Award notification is normally sent to ORSP but may be sent directly to the PI. If the notice is sent to the PI, the PI must notify ORSP immediately.

On receipt of award notification, ORSP will review the award documents, negotiate any terms of the award, and obtain the appropriate signatures as necessary to formally accept the award. ORSP will notify the PI when the award has been accepted and will arrange the initial award meeting. The PI should notify his/her Dean and Director/Chair or other appropriate supervisor regarding the success of an application.
PUBLIC ANNOUNCEMENTS

Certain funders or programs have specific requirements or restrictions with regard to public announcements and timing. Public announcements on sponsored projects must be routed through ORSP before being submitted to Media & Publications on behalf of the University.

REQUIRED CERTIFICATIONS

All faculty, staff, graduate and undergraduate students, supported by the National Science Foundation (NSF) to conduct research at Kean University must complete Responsible Conduct of Research (RCR) education. No new award accounts will be established without documentation of RCR training completion for all principal investigators, co-investigators and senior personnel included within an NSF proposal/award. No payments will be approved for researchers or students on an NSF award until the RCR training is complete and certification has been provided to ORSP.

IMPLEMENTATION STEPS

The following procedures apply to all external and internal grants and contracts. Grants and contracts vary in nature and size. These procedures describe the implementation steps for a research or program grant that typically involves personnel, equipment or supplies, travel, and other costs.

ESTABLISHING THE COST CENTER AND BUDGET LINE ITEMS

Procedure:
1. Once an award is made by the funding agency, the original application is pulled from the pending file.

2. The amount of the award is reconciled to the budget that was submitted to the funding agency.

3. Once the budget is reconciled with the award amount, the PAA prepares a Request to Establish a Cost Center form based on the approved budget. Budgets will be allocated only to cost categories that are allocable and allowable to the grant or contract under the funding agency guidelines.

4. The Request to Establish a Cost Center form along with the award notice, internal budget, and the funding agency budget form is forwarded to the University Grant Accountant for review and then forwarded to the Budget Office for creation of the cost center and booking of the budget.

5. The Budget Office informs PAA that the cost center has been established for the grant or contract.
GAINING ACCESS TO COLLEAGUE DISTRIBUTED FINANCIALS

Once the grant cost center has been established, the PAA will contact OCIS to request access to the grant cost center for the PI/PD and one designee.

**IMPORTANT**

Access to DATATEL is essential for effective project management. All PI/PDs who do not already have access to DATATEL Financials must complete an access request form (see Appendix A and online at [http://www.kean.edu/KU/Forms-OCIS](http://www.kean.edu/KU/Forms-OCIS)) and register for Colleague Distributed Financials training as soon as possible after being notified of funding. OCIS will not grant access to DATATEL until training has been completed. Training sessions are offered periodically throughout the year but fill up quickly. Training schedules and access request forms can be found on the OCIS training website or by contacting Nick Lembo at nlembo@kean.edu.

ESTABLISHING ORIGINAL PAYROLL ENTRIES FOR GRANT PERSONNEL

The PAA prepares a Notice of Grant Award document, which is used to notify the Payroll Department of the salaries of individuals listed in the grant that are to be charged to the appropriate grant account and serves as the basis for preparing an original entry.

ESTABLISHING THE INTERNAL GRANT REVIEW AND EXTERNAL REPORTING SCHEDULES

The PAA reviews the award documents and establishes a calendar for required external programmatic and financial reports. Based on the external reporting schedule, the PAA also establishes the internal grant review calendar, typically scheduling a grant review meeting 60 days before any external report is due. The calendar includes who has responsibility for preparing and submitting reports and review authority.

INITIAL AWARD MEETING

Once the grant or contract has been formally accepted on behalf of the University; the submitted budget has been reconciled with the award amount; the Cost Center has been established; the budget line items have been booked; access to DATATEL for the PI/PD has been established or requested; and, the review/reporting calendar has been established, the PAA schedules the initial award meeting with the PI/PD and representatives from units within the university that will be affected by the grant or that must work with the PI to ensure a successful outcome.

Meeting participants will vary depending on the nature of the award but will always include ORSP (Director and PAA), the PI/PD, his/her Director/Chair (or appropriate supervisor), and Grants Accounting. Examples of other participants include Campus Planning, Facilities, and Purchasing for major equipment grants; Financial Aid, Student Accounting, Scholarships, and
Human Resources for grants that primarily fund scholarships and/or student stipends; and, Conference Services, Residence Life, and Media & Publications for grants involving campus residency or public programming.

Topics covered at the initial award meeting include:

- Terms of the award
- Summary of grant objectives and activity
- Budget items
- Allowable and unallowable costs
- Roles and responsibilities
- Timeline including identification of critical benchmarks or deadlines
- Any anticipated obstacles to success
- Reporting schedule – programmatic and financial

ORSP will work closely with the PI to ensure that he/she understands the award budget, the sponsor’s requirements, and allowable expenses. Once established, expenditures within each line item category cannot exceed the budget unless a budget revision is made (see budget revisions). Although ORSP monitors grant activity, each PI must monitor his/her project through reports available in the Colleague Distributed Financials section of the DATATEL system.

### ROLES & RESPONSIBILITIES IN GRANT MANAGEMENT

Successful grant management requires teamwork. Understanding the roles and responsibilities of the various players will help the PI/PD successfully manage his/her grant.

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SENIOR RESEARCH OFFICER

The Vice President, Institutional Advancement & Research (VPIAR) is the Senior Research Officer (SRO) of the University. The President of the University has delegated to the VPIAR the authority to sign all grant contracts, awards, agreements, certifications, representations, and other documents incidental to research contracts and grants. The SRO serves 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.

PRINCIPAL INVESTIGATORS/PROJECT DIRECTORS

The Principal Investigator/Project Director (PI/PD) is the individual who has final responsibility for seeing that the project is carried out as proposed. PI/PDs are accountable for their grant’s fiscal and program management, fulfillment of proposal goals, and preparation of pertinent reports. In their capacity as grant project directors, and regardless of their academic affiliation, all PIs/PDs of grant-funded programs, must report to ORSP on all grant-related issues.

The PD/PI must comply with the terms, conditions and policies of both the sponsor and the University, including oversight of the budget, personnel review, time and effort reporting, and timely submission of all reports. Grant funds must be expended as approved by the funding agency. All PD/PIs must comply with pertinent federal guidelines; documents are on file in the ORSP office.

All Principal Investigators/Project Directors are expected to uphold the highest integrity in data collection, analysis and dissemination and to avoid every act, or remote appearance, of plagiarism. The University Policy on Research Integrity (See Section 2 of the Grants & Contracts Resource Guide and Policy Manual or online at http://orsp.kean.edu) 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).

DEAN/EXECUTIVE DIRECTOR / DEPARTMENT CHAIR

When the PI/PD is a faculty member, the Executive Director of the School (or the Chair of the Department) where the PI is affiliated provides guidance and support for the PI/PD. When the PI/PD is staff, the Dean or VP of the college or division where the grant is located provides this support. It is important that the Director/Chair attend the initial award meeting to gain a complete understanding of the grant. Often the Director/Chair or Dean is an experienced grant administrator and can offer suggestions to a new PI/PD that will help ensure the success of the project. In any case, the PI/PD should feel there is an open door to discuss the grant with his/her supervisor and request guidance whenever needed.

ORSP - POST-AWARD ADMINISTRATOR / IRB ADMINISTRATOR

ORSP, as part of the division of Institutional Advancement & Research, has responsibility for compliance oversight for all sponsored project activity. ORSP also serves as the central management resource for all sponsored project activity. The PAA provides information,
guidance and training to all PI/PDs on the procedures necessary for successful implementation of their sponsored projects. The PAA approves all budgets, budget revisions, and cost transfers. As needed, the PAA provides in-depth financial analysis of funded projects for PD/PIs. The PAA maintains current regulation and guideline documents.

The ORSP promotes education and training in the responsible conduct of research and scholarship. The ORSP ensures that all research activities, sponsored or unsponsored, involving either humans or animals meet ethical standards, and follow federal, state, and university regulations and procedures. The Institutional Review Board (IRB), administered by the ORSP, reviews any research, sponsored or unsponsored, involving human subjects to protect the rights and welfare of the people who participate in Kean University research. The Institutional Animal Care and Use Committee (IACUC), administered by the ORSP, ensures that all scientists involved in animal-related research, sponsored or unsponsored, treat animals according to the highest standards of care and in accordance with guidelines set by relevant agencies.

**GRANTS ACCOUNTING**

Grants Accounting has responsibility for processing all expenditures related to grants, preparing and submitting all financial reports, billing sponsoring agencies, drawing down funds from federal grants, processing cash receipts for sponsored projects, and closing out grant and contract accounts after the final reports have been submitted. Grants Accounting works closely with the PAA in the ORSP to ensure timely and accurate processing of all grants related activities.

**ADMINISTERING THE PROJECT/MONITORING EXPENDITURES**

It is the responsibility of the PI/PD to monitor account activity on a regular basis and to work with ORSP to resolve any errors or omissions. It is the PI’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.

**Procedure:**

1. On a weekly basis, the PI should log into DATATEL to check charges against his/her grant account/s.

2. If the PI has questions about any charges appearing against the project, they should be addressed immediately to the Post-Award Administrator (PAA) in ORSP. The PAA will work with Grants Accounting to resolve any errors or omissions. The University’s *Cost Transfer Policy* (See Section 2 of the Grants & Contracts Resource Guide and Policy Manual or online at [http://orsp.kean.edu](http://orsp.kean.edu)) outlines the acceptable and unacceptable reasons for cost transfers and the time frame for identifying and correcting any errors.

3. When required by the sponsor, the PI must work with ORSP to obtain prior approval for certain actions or expenditures. These may include international travel, time extensions, and certain equipment purchases. Most of these items will have been identified and reviewed during the initial budget meeting but the PI should address any questions or concerns that may arise during the course of the project to the PAA.
**BUDGET REVISIONS/RE-BUDGETING**

**Procedure:**

a. Budget revisions are initiated in writing by the Project Director/Principal Investigator or a designee to ORSP. In some cases a budget revision will be initiated by the Grants Post-Award Administrator or Grants Accountant if they find an error during the day to day monitoring of the expenditures and budget of the grant or contract.

b. When a budget revision is needed, a memo or email should be submitted to ORSP for approval. ORSP will determine whether the transfer of funds is allowable by the funding agency. ORSP will also determine whether the request is reasonable and allocable. ORSP will receive funding agency approval if needed.

c. Budget revision requests will be denied if the request to transfer funds is to allocate funds to cost categories that are not allocable or allowable to the grant or contract.

d. The memo or email request must contain a full explanation and justification for the budget revision, along with any supporting documentation.

e. Once approved by ORSP, the request is sent to the Budget Office to make a journal entry to effect the budget revision.

**HIRING GRANT-SUPPORTED PERSONNEL**

All University Human Resources policies and procedures must be followed when hiring grant-supported personnel. If your sponsored project budget includes personnel who will be supported by the grant, you should contact the PAA (Brenda Dunlop) in the ORSP as soon as possible to obtain guidance.

**FACULTY CONTRACTS PERTAINING TO GRANT FUNDS**

Faculty contracts for overload or summer salary will be generated per the terms in the approved grant budget. Contracts will be issued by ORSP or via request from ORSP to the faculty members Dean.

**ACADEMIC SPECIALISTS**

*See the Office of Human Resources website for the most current Hiring Policies and Procedures and application forms for Academic Specialists* [http://www.kean.edu/KU/Adjunct-Academic-Specialists-Student-Employment](http://www.kean.edu/KU/Adjunct-Academic-Specialists-Student-Employment)

In order to ensure the uniformity of the hiring process for an Academic Specialist, the following Procedure has been established:
An Academic Specialist Authorization to Hire Form must be submitted along with a job description to support the proposed salary to the appropriate Vice President for approval as the first step for hiring. It must also be verified by the budget officer for availability of funds.

If the authorization form is requesting a pay rate for more than $16 per hour, it will be sent to the Executive Vice President for approval.

STUDENT RESEARCH ASSISTANTS

Stipend Payment processing for internally and externally sponsored projects

- The Project Director/Principal Investigator has the responsibility of insuring that all paperwork required to process the stipend payment is completed properly and receives all the needed approvals.
- The Project Director/Principal Investigator should contact the Grants Post-Award Administrator for guidance with processing student stipends.
- The following documents are needed to process a stipend payment:
  a. Stipend Contract
  b. W4 form
  c. Copy of the student’s social security card.
- All completed signed documents should be forwarded to the Grants Post-Award Administrator for processing.

Scholarship Payment process for externally funded project

- It is the responsibility of the Project Director/Principal Investigator to coordinate scholarship payments with the Student Financial Services and to inform Scholarship Director that the scholarship is available so that it can be advertised.

Students may not receive any stipend or scholarship payments through accounts payable. All student stipend or scholarship payments must be made through payroll or student financial services. (See Section 2 of the Grants & Contracts Resource Guide and Policy Manual or online at http://orsp.kean.edu).

PURCHASE EXPENDITURES AND APPROVALS

Per University purchasing policy, all requests for external supplier purchases for goods and services must be entered in the DATATEL system to initiate an online requisition. The Purchase Expenditure Requests and Approvals Policy for Internally and Externally Sponsored Projects can be found in Section 2 of the Grants & Contracts Resource Guide and Policy Manual or online at http://orsp.kean.edu. The PI/PD or designee enters the online requisition, which is converted to a purchase order through the approval process. The approvals and dollar thresholds required to convert a requisition to a purchase order for all internally and externally sponsored projects are:
- PI/PD (as Cost Center Director) approval for all requisitions.
- GRANT approval for all requisitions.
- ORSP approval if requisition is $500 or more.
- VP Institutional Advancement & Research approval for requisitions between $1,000 and $10,000.
- Exec. VP Operations approval for requisitions over $10,000.
- The President must approve all requisitions over $1,000,000.
- Requisitions exceeding the State bid threshold (currently $30,700) must follow the State competitive bidding process requirements. Contact ORSP for guidance.
- Requisitions for the purchase of computer equipment (object code 5077) and computer software (object code 5034) must have OCIS approval regardless of dollar amount.

**USING NEW VENDORS**

Whenever possible, PI/PDs are strongly encouraged to use approved vendors that have already done business with the University and are in the DATATEL system since the processing time for requisitions will be significantly shorter.

If you do need to use a new vendor, the vendor must provide Purchasing with a *W9 tax form* (See Section 2 of the Grants & Contracts Resource Guide and Policy Manual or online at [http://orsp.kean.edu](http://orsp.kean.edu)). If purchase(s) to the new vendor exceeds or is expected to exceed $4,600 (15% of the current bid threshold of $30,700) in any one year, then the vendor must also provide a New Jersey Business Registration Certificate (BRC). Note that Purchasing will automatically
request a W9 tax form and a BRC (where applicable) but it is prudent to alert the new vendor that one or both of these forms must be received by Kean University Purchasing before the order will be processed.

REIMBURSEMENTS FOR PERSONAL EXPENDITURES

**Do not** make personal purchases for your grant or sponsored program and expect to be reimbursed. It is the policy of the University not to reimburse employees who use personal credit cards for the convenience of ordering. University policy requires that all expenditures must be initiated through a requisition. Please note that there is **no guarantee** that reimbursement requests for personal expenditures will be approved or, if approved, will be processed. The use of personal funds for any reason is therefore strongly discouraged.

If you used cash or a personal credit card for a purchase because of some extenuating circumstance, you may process a requisition for reimbursement. Once the requisition is complete a reimbursement voucher must be completed to accounts payable including all receipts and a detailed explanation of why the University purchasing system was not used. (The explanation that the materials or supplies were needed quickly is not considered a valid reason.) Reimbursement request requisitions relating to sponsored projects follow the same approval process as other sponsored project-related requisitions.

TRAVEL RELATED TO SPONSORED PROJECTS

ORSP must approve any travel that will be expensed against external or internal grant funds. Reimbursement for travel utilizing grant funds is not limited to the $1,000 maximum currently in place for University travel. However, the amount and purpose for the travel must meet the programmatic and budgetary guidelines established within the grant/contract. Travel expenditures must comply with the policies and procedures set forth in the Kean University Travel Manual and with all sponsor procedures for travel associated with the award. All University travel procedures and must be followed and all University travel forms must be used.

ALLOWABLE AND UNALLOWABLE COSTS

The PI is responsible for ensuring that all expenditures are reasonable, allocable and allowable under the terms of the award and sponsor regulations. ORSP can provide assistance in determining whether a cost is allowable or unallowable.

Examples of unallowable costs include, but are not limited to: advertising (except for help wanted), alcoholic beverages, entertainment, public relations, memberships, subscriptions, certain travel costs, and costs incurred before the start of the project or after the end date of a project.
See Section 2 of the Grants & Contracts Resource Guide and Policy Manual or online at [http://orsp.kean.edu](http://orsp.kean.edu) for more information on allowable and unallowable costs.

### COST TRANSFERS

**Procedure and Documentation:**

Cost transfers are initiated in writing by the Project Director/Principal Investigator or a designee to the Office of Research and Sponsored Programs. In some cases a cost transfer will be initiated by the Grants-Post Award Administrator or Grants Accountant if they find an error during the day to day monitoring of expenditures to sponsored projects.

When a cost transfer is needed, a memo or email should be submitted to the Office of Research and Sponsored Programs for approval, the cost transfer request will then be forwarded to Grants Accounting to make a correcting journal entry to effect the transfer.

Retroactive personnel cost transfers for correction of labor and benefit charges require particular attention. Revisions to the effort (and corresponding dollars) of personnel charged or credited to a sponsored award account, must be carefully justified for a cost transfer to be approved.

The memo or email transfer request must contain a full explanation and justification for the transfer, along with relevant supporting documentation.

The documentation should address the following:

1. That the expense directly benefits the receiving activity/account.
2. That the expense is allowable.
3. The reason the expense was chargedincorrectly to the first activity/account.

Cost transfers must be made within 90 days after the month in which the charge appears in DATATEL/Colleague. Cost transfers after 90 days will be allowed only if an appropriate justification for the lateness of the transfer is provided on the cost transfer form.

**NOTE:** The cost transfer will be returned for further documentation if sufficient justification and documentation to meet sponsor regulations and award terms and conditions are not provided.

Federal regulations strictly prohibit the transfer of costs from one project to another in order to:

- cover cost overruns with funds in other projects
- avoid restrictions incorporated in the award
- for other reasons of convenience

### APPROVALS REQUIRED FROM FEDERAL FUNDING AGENCIES

The PI of a federally-sponsored project is required to report deviations from budget and program plans, and request prior approvals directly from federal awarding agencies for any of the
following program- or budget-related reasons. The PI must contact ORSP (PAA) to discuss any of the following issues, if they arise, before contacting the federal agency:

- change in the scope or the objective of the project or program
- change in the PI
- absence for more than three months or a 25 percent reduction in time devoted to the project, by the approved PI
- additional federal funding
- transfer of funds allotted for training expense (direct payments to trainees – stipends, tuition, fees) to other categories of expense
- sub-award transfers, or subcontracting out of a substantive programmatic portion of work, unless described in the application and funded in the approved award.
- foreign travel
  - Foreign travel requires pre-approval by the sponsor. The federal government defines foreign travel as any travel outside the United States, territories and possessions, and Canada. Other sponsors may specifically define foreign travel in the contractual documents.

TIME AND EFFORT REPORTING

Effort reporting is a process mandated by the federal government to verify that direct labor charges to federally sponsored agreements are reasonable and reflect actual work performed. The PI must certify time and effort expended on his/her award/s. At present, the University complies with the effort reporting requirements through the use of hard copy time and effort reports. In the future, the University will work toward establishing a web-based effort reporting tool, which will streamline the process and promote increased accuracy, accountability, and compliance with the policy.

The University’s Time and Effort Reporting Policy (See Section 2 of the Grants & Contracts Resource Guide and Policy Manual or online at http://orsp.kean.edu) requires certification three times a year. To implement the policy, time and effort reports are distributed by the Office of Research and Sponsored Programs for each reporting period: for the fall semester, for the spring semester, and for summer. The time and effort report details for each employee the accounts from which the employee has been paid on externally sponsored projects. It also includes any mandatory or voluntary committed cost sharing required as a condition of the award. The effort report also includes accounting information for other institutional activities undertaken by the employee. The effort report must be certified by the employee or an individual who has direct knowledge of the employee’s total effort.

Note that failure to comply with effort reporting requirements can result in serious penalties for the individual certifying to effort and/or for the University. This can include financial audit disallowances and in some cases criminal charges may be brought against an individual certifying to a falsified effort report. It is therefore incumbent on the University and individual certifiers to maintain and document how individuals spend their time on federally sponsored research.
PROJECT REPORTING

As discussed in the “Implementation Steps” section above, the reporting requirements for the project are established in the award documents. When a project is funded, the Post-Award Administrator (PAA) in ORSP (Brenda Dunlop) prepares a project and financial reporting schedule based on the funder’s requirements. A copy of this schedule is provided to the Project Director, Grants Accounting, and all other participants at the initial award meeting. It is the responsibility of the PI/PD to comply with all sponsor requirements for timely progress and final performance reports, paying particular attention to deadlines and to the sponsor requirements for content. The PAA will make every effort to remind the PI/PD when a report is due.

A copy of all interim and final programmatic reports must be sent to the PAA in ORSP for review before they are submitted to the sponsor.

Financial reports are prepared and submitted by Grants Accounting. If requests for financial reports are received by the PI, he/she must contact the PAA in ORSP (Brenda Dunlop) who will coordinate with Grants Accounting to ensure the accuracy and consistency of reporting. Grants Accounting is responsible for submitting any financial reports; however, all financial reports must be reviewed by the Project Director and ORSP (PAA) prior to submission to the funding agency.

It is the responsibility of the PI to arrange for internal and/or external project evaluators, who are employed to conduct selective or comprehensive evaluation of grant-funded projects. The selection of evaluators should be done at the time of proposal preparation if at all possible and reflected in the budget for the project. The PI must submit copies of all evaluation reports to ORSP.

(Private funding) ORSP provides support to PIs in the preparation of corporate and foundation reports, reviews the reports, and submits them. PIs should contact ORSP with any questions about reporting requirements for funding received from private sources (foundations, corporations, etc.)

A copy of all reports must be maintained by the Project Director and will also be maintained by ORSP.

CLOSING OUT THE AWARD

The PI should plan ahead for the final closeout of a grant. It is helpful to use a 60-day target to prepare for the conclusion of the project and the closeout of the account.

Procedure

No-Cost Extensions

1. If the PI feels it is not feasible to complete the project on the original schedule, the PI must notify ORSP as soon as he/she is aware that the project will not be finished by the original end date. It may be possible to extend the award at no additional cost to the sponsor.
2. No-cost extensions cannot be requested simply because there are unexpended funds available.
3. ORSP will work with the PI to obtain appropriate approval from the sponsor for a no-cost extension.
4. In all such cases, the extension must be requested well before the original termination date for the award; extension requests submitted after the termination date are rarely approved.

Final Project Report
5. The PI must submit a final technical project report to the sponsor, following the reporting requirements as to format and content. The final report must be submitted to ORSP for review before submission to the funding agency.

Note: NSF requires a “Public Outcomes Report” to be entered at the research.gov website within 90 days after the award expiration. The report is 200-800 words for the public describing the nature of the project and outcomes, including intellectual merit and broader impacts.

6. Final reports must be submitted in a timely manner. Late reports put the University at a risk of being non-compliant which may jeopardize future funding to both the PI and to the University.
7. A copy of the final performance report must be sent to ORSP to include in the award folder.

Closing the Award Account
8. Especially in the final stages of a project, the PI must work closely with ORSP to ensure funds are available in the proper budget categories to complete the final project activities.
10. Expenses incurred after the end date of the grant will be not allowed.
11. Any funds remaining in the account at the end date normally must be returned to the sponsor.
12. The final financial report will be prepared by Grants Accounting or ORSP.

Procedure for Private Funding
Procedures for closing out private funding awards (e.g., from foundations or corporations) are discussed with the PI at the initial award meeting. ORSP assists the PI in the preparation of final reports, reviews and submits them. PIs should contact ORSP with any questions they may have about final reporting requirements and closing awards from private funding sources.

RECORD RETENTION

GENERAL UNIVERSITY COMPLIANCE INFORMATION

STATE AND FEDERAL REGULATIONS

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

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.

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.

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.
This section contains University policies and procedures related to sponsored projects and associated documents and forms that may be required. This Resource Guide and Manual should be used as the reference manual for all award-related management practices.

Since the time of printing some of the information you will find in this Resource Guide and Manual may have been updated. Please refer to the electronic copy of this document, posted on the ORSP web site at http://orsp.kean.edu, for current information.

List of Policies:

1. ARRA Reporting
2. Budgeting and Budget Revisions
3. Cost Sharing / Matching
4. Cost Transfers
5. Financial Conflict of Interest
6. Intellectual Property
7. Purchasing
8. Records Retention
9. Released Time
10. Research Misconduct Allegations
11. Student Stipends and Scholarships
12. Time and Effort Reporting
KEAN UNIVERSITY
OFFICE OF RESEARCH AND SPONSORED PROGRAMS

Policy Name: AMERICAN RECOVERY AND REINVESTMENT ACT (ARRA) REPORTING

Approval Authority: Office of Vice President, Institutional Advancement and Research

Originally Issued: July 28, 2011

Revised/Updated:

1. Policy Statement

This policy establishes the requirements for the reporting of funding through the American Recovery and Investment Act (ARRA) for sponsored projects.

Reason/Purpose for Policy

This document describes University policy with regard to the reporting of funding received through the American Recovery and Investment Act for sponsored projects.

Policy Applies To

This policy applies to all University personnel who have designated signatory authority to file reports on behalf of the University for ARRA funding.

Contacts

A. Office of Research and Sponsored Programs
B. Vice President, Institutional Advancement and Research

4. The Policy

A. Definitions:

The American Recovery and Reinvestment Act (ARRA) provided funds for public New Jersey Institution of Higher Education. This act has significant requirements for transparency and accountability.

The federal government required that ARRA reporting be completed on a quarterly basis. The University requires that ARRA reporting comply with federal guidelines.
B. Applicability:

In compliance with federal guidelines, the following data will be obtained and retained when reporting for all sponsored projects funded through ARRA.

1. Award Number
2. DUNS
3. Cost Center
4. Congressional District
5. Legal Name, Address, City, State, Zip
6. Funding Agency Code
7. Awarding Agency Code
8. Program Source (TAS) Code
9. CFDA
10. Amount of Award
11. Award Date
12. Award Description
13. Total Number of Sub Awards less than $25,000/award
14. Total Amount of Sub Awards less than $25,000/award
15. Total Number of Sub Awards to Individuals
16. Total Amount of Sub Awards to Individuals
17. Total Number of Payments to Vendors less than $25,000/award
18. Total Amount of Payments to Vendors less than $25,000/award
19. Project Name or Project Title
20. Quarter Activities/Project Description
21. Project Status
22. Total Federal Amount ARRA Funds Received/Invoiced
23. Number of Jobs Created
24. Description of Jobs Created
25. Total Federal Amount of ARRA Expenditure
26. Total Federal ARRA
27. Activity
28. Vendor Payments in Excess of $25,000.
KEAN UNIVERSITY

OFFICE OF RESEARCH AND SPONSORED PROGRAMS

Policy Name: BUDGETING AND BUDGET REVISIONS

Approval Authority: Office of Vice President, Institutional Advancement and Research

Originally Issued: July 28, 2011

Revised/Updated:

1. Policy Statement

This policy establishes the requirements of and includes the procedures for development and establishment of budgets as well as budget revisions pertaining to externally funded grants and contracts.

2. Reason/Purpose for Policy

The correct allocation of budget to the appropriate activity/account is important in the management of the University’s resources, including all categories of restricted funds, and is of special significance for federally supported programs. Federal regulations (OMB circulars A-21, A-110 and A-133, and the Federal Acquisition Regulations) and the terms and conditions of other sponsors specify that budgets are allocated to the correct activity/account. This fiscal management practice is equally applicable to the use of University funds.

3. Policy Applies To

This policy applies to the Office of Research and Sponsored Programs, Grants Accounting, Budget Office and personnel who have designated signatory to request budget revisions to externally funded grants and contracts.

4. Contacts

A. Office of Research and Sponsored Programs
B. Vice President, Institutional Advancement and Research

5. The Policy

A. Definitions:
The Office of Research and Sponsored Programs (ORSP) is charged with the responsibility of developing and implementing all budgets pertaining to externally funded grants and contracts.

**Reasonable costs** - (OMB Circular A-21) A cost may be considered reasonable if the nature of the goods or services acquired or applied, and the amount involved therefore, reflect the action that a prudent person would have taken under the circumstances prevailing at the time the decision to incur the cost was made.”

**Allocable costs** - (OMB Circular A-21) “A cost is allocable to a particular cost objective if the goods or services involved are chargeable or assignable to such cost objective in accordance with relative benefits received or other equitable relationship. Subject to the foregoing, a cost is allocable if (1) it is incurred solely to advance the work under the sponsored agreement; (2) it benefits both the sponsored agreement and other work of the institution, in proportions that can be approximated through use of reasonable methods, or (3) it is necessary to the overall operation of the institution and, in light of the principles provided in this Circular, is deemed to be assignable in part to sponsored projects.”

**Allowable costs** – Costs that are allowable under the sponsor award terms.

**B. Procedure:**

1. **Pre-Award**

a. All budgets for externally sponsored grants and contracts will be prepared by the Office of Research and Sponsored Programs (ORSP) and will comply with the funding agency guidelines.

b. An internal budget will be prepared regardless of funding source and filed with the pending grant application in the Office Research and Sponsored programs (ORSP).

c. The internal budget figures will then be transferred/uploaded to the proper form used by the funding agency.

d. In conjunction with the Project Director/Principal Investigator, a budget narrative/justification will be prepared by the Office of Research and Sponsored Programs (ORSP). The budget narrative/justification will then be uploaded to the grant application by ORSP. The budget narrative/justification will comply with the funding agency guidelines.
2. Post-Award

a. Once an award is made by the funding agency, the original application is pulled from the pending file.

b. The amount of the award is then reconciled to the budget that was submitted to the funding agency.

c. Once the budget is reconciled with the award amount, ORSP prepares a Request to Establish a Cost Center form based on the approved budget.

d. Budgets will be allocated only to cost categories that are allocable and allowable to the grant or contract under the funding agency guidelines.

d. The Request to Establish a Cost Center form along with the award notice, internal budget, and the funding agency budget form is then forwarded to the University Grant Accountant for review and then forwarded to the Budget Office for creation of the cost center and booking of the budget.

e. The Budget Office then informs ORSP of the cost center that has been established for the grant or contract.

f. ORSP then meets with the Project Director/Principal Investigator to review the terms of the award and discusses the cost center and allowable object codes for which they can expend funds.

3. Budget Revisions/Re-budgeting

a. Budget revisions are initiated in writing by the Project Director/Principal Investigator or a designee to ORSP. In some cases a budget revision will be initiated by the Grants Post-Award Administrator or Grants Accountant if they find an error during the day to day monitoring of the expenditures and budget of the grant or contract.

b. When a budget revision is needed, a memo or email should be submitted to ORSP for approval. ORSP will determine whether the transfer of funds is allowable by the funding agency. ORSP will also determine whether the request is reasonable and allocable. ORSP will receive funding agency approval if needed.

c. Budget revision requests will be denied if the request to transfer funds is to allocate funds to cost categories that are not allocable or allowable to the grant or contract.

c. The memo or email request must contain a full explanation and justification for the budget revision, along with any supporting documentation
d. Once approved by ORSP, the request is sent to the Budget Office to make a journal entry to effect the budget revision.
1. Policy Statement

This policy establishes the requirements of the University regarding Cost Sharing related to all externally funded awards and agreements from federal, state and private agencies. It includes the procedures for allowable costs and compliance with sound fiscal management practices as well as regulations applicable to externally funded projects.

2. Reason/Purpose for Policy

If a commitment of the University resources is made in a proposal text/description it is cost share. Cost share commitments, even if they are not included in the project budget, will be administered in accordance with this policy. The policy was developed for the following purposes:

- To provide information to the University community regarding the contractual, financial, and administrative implications that result for the commitment to cost share.
- To provide guidance regarding the circumstances in which committed cost sharing is permitted by the University, including what kind of services, expenditures, or assets may be cost shared.
- To establish procedures by with the University can identify the Cost Sharing commitments it makes as a condition of obtaining external funding and demonstrate that it has fulfilled such commitments.
- To establish procedure for recording cost-shared expenditures in the University’s accounting system in order to identify Cost Sharing as required by OMB Circular A-21, “Cost Principles for Higher Education.”

Cost sharing, match and in-kind contributions are terms that refer to project costs that are supported by funding sources other than the primary sponsor. Although the terms are sometimes used interchangeably, the University defines direct cost sharing as out-of-pocket project costs contributed by the
University. *Match* is defined as funding that is pledged to match a portion of the primary sponsor’s funding and may be in the form of cash or a third party in-kind contribution. *In-kind contribution* refers to non-cash contributions that are not recorded in the University’s accounting system but be can be assessed a cash value.

The purpose of this policy is to inform principal investigators, administrators and staff about the circumstances under which cost sharing is allowable.

3. **Policy Applies to:**

This policy applies to all University personnel who are eligible to submit proposals for external funding.

4. **The Policy**

A. **Definitions:**

Cost sharing is the portion of the total project of an externally funded agreement/award that is contributed by the University and / or other non-federal resources but not reimbursed by the sponsor. Cost sharing can only be added to the proposal if it is required by the sponsor as one of the eligibility criteria to submit an application. Cost sharing, match and in-contributions are terms that refer to project costs that are supported by funding sources other than the primary sponsor. Although the terms are sometimes used interchangeably, the University defines *direct cost sharing* as out-of-pocket projects costs contributed by the University. *Match* is defined as funding that is pledged to match a portion of the primary sponsor’s funding and may be in the form of cash or a third party in-kind contribution. *In-kind contribution* refers to non-cash contributions that are not recorded in the University’s accounting system but be can be assessed a cash value.

**Mandatory Cost Sharing** is required by the sponsor as a condition of obtaining a grant agreement.

**Voluntary Cost Sharing** is not required by the sponsor but is committed by the University in the proposal.

*Voluntary cost sharing will not be supported by the University because of the following:*  

- Funding agencies have documented that voluntary cost sharing will not enhance for promote the grant application.  
- It is prohibited to include voluntary cost-sharing commitments in all components of both solicited and unsolicited National Science Foundation proposals.
B. **Applicability:**

In compliance with OMB Circular A-110 C.23, to be acceptable as cost sharing, expenditures must satisfy all of the following criteria:

1. Must be verifiable from official University records.
2. Not be used as cost sharing for any other sponsored program.
3. Be necessary and reasonable for proper and efficient accomplishment of the project.
4. Allowable under A-21 (i.e., no phone charges, administrative salaries, general office supplies or office equipment).
5. Be incurred during the effective date of the grant.
6. Not paid by the federal government under another award.

C. **Sources for University Cost Sharing/Match**

Cost sharing match is normally in the form of a direct cost that would otherwise be charged to the grant or contract, such as salary, capital equipment, or other direct cost items. Cost sharing may also take the form of waived or reduced Facilities & Administrative (F&A) costs.

1. Faculty or other project personnel effort (related salaries and fringe)
2. Laboratory supplies
3. Travel Expenses
4. Equipment
5. Space
6. Third party contributions (subawardees or other collaborating organizations)
7. Unrecovered F&A costs (i.e. when F&A is waived or reduced)

The following would be considered appropriate funds, i.e., cash, that the University may use to meet Cost Sharing/matching commitments.

1. Gifts
2. Endowment
3. Unrestricted departmental funds
D. **Costs that are NOT ACCEPTABLE as Cost Sharing / Match**

1. Costs pledged as Cost Sharing/March for another funded project.

2. Costs funded by another sponsored program.

3. Costs of construction or renovation of University buildings.

4. Costs that are included and reimbursed through the F&A rate (administrative salaries, office supplies, library expenses, and operations and maintenance expenses).

5. Salary dollars above a regulatory cap (e.g., NIH salary cap).


7. Otherwise unfunded salary for effort that extends beyond the contractual appointment (i.e. unfunded summer months for faculty with 10 month academic appointments).

8. Any cost not deemed to be necessary and reasonable for the proper and efficient accomplishment of project or program objectives.

**Impacts of Cost Sharing**

Cost sharing reduces the University’s ability to maximize its reimbursement from external sponsors. In addition, there are negative F&A calculation and administrative impacts when committing to Cost Sharing.

5. **Contacts**

   A. Office of Research and Sponsored Programs  
   B. Vice President Institutional Advancement and Research

6. **Cost Sharing Process**

   A. All requests for cost sharing / match must be approved by the Office of Research and Sponsored Programs and the Vice President for Institutional Advancement and Research.

   B. Once an award is made, at the request of the Office of Research and Sponsored Programs, a matching cost center will be established by the University Budget Office under fund 11.

   C. The matching cost center will be set-up in Datatel and be used to track all direct salary and non-salary cost share/match expenses.
KEAN UNIVERSITY
OFFICE OF RESEARCH AND SPONSORED PROGRAMS

Policy Name: COST TRANSFERS
Approval Authority: Office of Vice President, Institutional Advancement and Research
Originally Issued: September 12, 2006
Revised/Updated: June 27, 2011; August 9, 2011

1. Policy Statement

This policy establishes the requirements of and includes the procedures for allowable transfer of costs from one activity/account to another in compliance with sound fiscal management practices as well as regulations applicable to externally funded projects.

2. Reason/Purpose for Policy

The correct allocation of charges to the appropriate activity/account is important in the management of the University’s resources, including all categories of restricted funds, and is of special significance for federally supported programs. Federal regulations (OMB Circulars A-21, A-110 and A-133, and the Federal Acquisition Regulations) and the terms and conditions of other sponsors specify that expenditures are charged to the correct activity/account. This fiscal management practice is equally applicable to the use of University funds. Occasionally expenses are charged to an incorrect activity/account and, with adequate justification, it is allowable to transfer costs to the correct activity/account.

The purpose of this policy is to inform both principal investigators and administrators about the circumstances under which cost transfers are allowable and to describe how to submit a retroactive cost transfer request (either for salary and wage cost transfers or non-salary and wage cost transfers), whereby appropriate costs may be transferred, with justification and documentation, between activities/accounts in compliance with the financial policies of the University and with existing regulations applicable to federal and private sponsored or other restricted funds.

Specifically this policy addresses:

• The importance of timely transfers to correct errors or for other allowable reasons after the errors or need for the transfer of cost is discovered.
• The determination of when cost transfers are allowable and when cost transfers are unallowable.

• The circumstances under which a cost transfer may be allowable or unallowable.

• The procedures required for late cost transfers.

• A description of what documentation is required to support cost transfers.

3. Policy Applies To

This policy applies to all University personnel who have designated signatory authority to charge activities/accounts.

4. Contacts
   A. Office of Research and Sponsored Programs
   B. Vice President, Institutional Advancement and Research

5. The Policy

A. Definitions:

Cost transfer: A cost transfer is an after-the-fact reallocation of the cost associated with a transaction from one activity/account to another. All costs are supposed to be charged to the correct activity/account when they are incurred. However, occasions arise when a cost transfer is a legitimate corrective method to assign appropriate costs to activities/accounts.

Late cost transfer: A late cost transfer is a correction made more than 90 days after the month in which the charge appears in the Datatel/Colleague system.

Allowable cost transfers: To be considered allowable, cost transfers must meet the following criteria:

(1) Must benefit the activity/project – The expenses being transferred must have benefited the activity/project to which it is being moved.

(2) Be completed and submitted in a timely manner - Costs should be transferred as soon as the error or need for the cost transfer is discovered, but no later than 90 days after the month in which the charge appears in the Datatel/Colleague

(3) Be fully documented and have appropriate signatures – Cost transfer requests must be accompanied by a statement that explains the reasons for the transfer. In rare instances there may be cost transfer requests beyond the 90-day period. In such cases, the request must also include the reasons for both the
delay in processing the correction and the late submission of the transfer request. Explanations such as “to correct error” or “to transfer to correct project” are insufficient to justify the transfer of costs.

(4) Conform to University and sponsor allowable standards – The cost to be transferred must be an allowable cost under the University’s financial policies and/or sponsor award terms.

Reasonable costs - (OMB Circular A-21) “A cost may be considered reasonable if the nature of the goods or services acquired or applied, and the amount involved therefore, reflect the action that a prudent person would have taken under the circumstances prevailing at the time the decision to incur the cost was made.”

Allocable costs - (OMB Circular A-21) “A cost is allocable to a particular cost objective if the goods or services involved are chargeable or assignable to such cost objective in accordance with relative benefits received or other equitable relationship. Subject to the foregoing, a cost is allocable if (1) it is incurred solely to advance the work under the sponsored agreement; (2) it benefits both the sponsored agreement and other work of the institution, in proportions that can be approximated through use of reasonable methods, or (3) it is necessary to the overall operation of the institution and, in light of the principled provided in this Circular, is deemed to be assignable in part to sponsored projects.”

Allowable costs – Costs that are allowable under the sponsor award terms.

B. Implementation:

Timely Transfers: Transfers of cost between activities/accounts to correct errors or for other allowable reasons should be made promptly after the error or need for the transfer of cost is discovered. In the case of sponsored awards, they must be made prior to the submission of the final expenditure report to the sponsor. The appropriate paperwork to correct the error should be submitted as promptly as possible. Entries made long after the original charge raise serious questions concerning the propriety of the entries and are subject to cost disallowance.

Timeliness is especially important when an erroneous distribution affects an activity/account that is funded by the federal government. All corrections must be made on a timely basis (i.e., within 90 days). Late cost transfers are particularly vulnerable to audit and require extra supporting justification or may be deemed unallowable by sponsor and governmental regulations.

Late Cost Transfers: A correction made more than 90 days after the month in which the charge appears in the Datatel/Colleague is considered a “late cost transfer.” Because of audit issues, late cost transfer requests should be rare and be based on extraordinary circumstances. For a late cost transfer to be considered, the request
must include a detailed justification for the lateness of the transfer. This justification also must explain the delay in processing the correction.

C. Applicability:

Cost transfers are allowable under the following circumstances:

Error Correction: Errors may include clerical errors (such as typographical errors or transposition of activity/account digits). Other errors may be detected upon review of monthly financial statements. It may be determined, for example, that a payroll distribution had not been updated, and an individual’s effort had been redirected, or a purchase had been charged to an activity/account different from that which ultimately benefited from the use of the items purchased. All errors should be corrected as soon as they are detected and within 30 days after the month in which the charge appears in the Datatel/Colleague.

Transfers between account expenditure code categories or between object codes set up under a prime account: Examples of these kinds of transfers include transferring a charge (that was incorrectly posted) from one object code to another object code or to correctly categorize the nature of an expense (e.g., supplies vs. equipment).

Costs benefiting more than one activity: When two or more closely related activities are being undertaken simultaneously, it may be difficult to distribute charges correctly among the activity/account when the expenditure is initially made when the correct distribution will best be made based upon an actual usage analysis. In these cases, a cost transfer from the originally charged activity/account to another activity/account may be made provided that the cost transfer meets the following criteria:

(1) The initial charge could appropriately have been made to the other activity/account as the cost represents proper and allowable charges to that activity/account.

(2) The charge is contemplated in the approved budgets of both activities/accounts.

(3) The explanation makes it clear why a particular charge is appropriate to either activity/account. This should include documentation which contains a full explanation and justification for the entry and the certification of the propriety of the entry by the principal investigator or responsible administrator.

Pre-award costs (Sponsored Projects): When advance accounts are established for sponsored projects, they will be established in the appropriate ledger; consequently cost transfers are not required for pre-award costs.
Non-competing continuation or incrementally funded award (Sponsored Projects): A non-competing continuation award or incrementally funded fails to materialize and charges have been incurred. Costs incurred subsequent to the anticipated effective date of the award will need to be transferred to other appropriate funds.

Cost transfers are unallowable under the following circumstances:

Unspent Balances: Costs generally may not be transferred to activities/ accounts with unspent funds unless the account benefited from the expense that was originally wrongly assigned to an activity/account. (Note: Even if this test is met, only in rare circumstances will such transfers be allowed between sponsored project accounts.)

Costs incurred after the end date of sponsored project: Costs incurred after the end date of a sponsored project are not allowable and may not be transferred to another sponsored activity/account. Unless made in error, these costs must be transferred to other appropriate accounts, such activities/accounts supported with University funds.

D. Procedure and Documentation:

Cost transfers are initiated in writing by the Project Director/Principal Investigator or a designee to the Office of Research and Sponsored Programs. In some cases a cost transfer will be initiated by the Grants-Post Award Administrator or Grants Accountant if they find an error during the day to day monitoring of expenditures to sponsored projects.

When a cost transfer is needed, a memo or email should be submitted to the Office of Research and Sponsored Programs for approval, the cost transfer request will then be forwarded to Grants Accounting to make a correcting journal entry to effect the transfer.

Retroactive personnel cost transfers for correction of labor and benefit charges require particular attention. Revisions to the effort (and corresponding dollars) of personnel charged or credited to a sponsored award account, must be carefully justified for a cost transfer to be approved.

The memo or email transfer request must contain a full explanation and justification for the transfer, along with relevant supporting documentation.

The documentation should address the following:

1. That the expense directly benefits the receiving activity/account.
2. That the expense is allowable.
3. The reason the expense was charged incorrectly to the first activity/account.
Cost transfers must be made within 90 days after the month in which the charge appears in Datatel/Colleague. Cost transfers after 90 days will be allowed only if an appropriate justification for the lateness of the transfer is provided on the cost transfer form.

*NOTE:* The cost transfer be returned for further documentation if sufficient justification and documentation to meet sponsor regulations and award terms and conditions are not provided.

Federal regulations strictly *prohibit* the transfer of costs from one project to another in order to:

- Cover cost overruns with funds in other projects.
- Avoid restrictions incorporated in the award.
- For other reasons of convenience.
KEAN UNIVERSITY

OFFICE OF RESEARCH AND SPONSORED PROGRAMS

Policy Name: INVESTIGATOR SIGNIFICANT FINANCIAL INTEREST DISCLOSURE POLICY

Approval Authority: Office of Vice President, Institutional Advancement and Research

Issued: November 3, 2010; September 21, 2011

1. Policy Statement

This policy establishes the requirements of the University regarding financial interest disclosure on sponsored project proposals.

2. Reason/Purpose for Policy

Federal regulations require institutions of higher education to have policies and procedures in place that ensure that investigators disclose and significant financial interest that may present an actual or potential conflict of interest in relation to externally sponsored projects. Such disclosures must be made prior to the submission of the proposal for funding, and institutions must develop specific mechanisms by which conflicts of interest will be reviewed and satisfactorily managed, reduced, or eliminated prior to acceptance of an award. In addition, if a new reportable significant conflict of interest arises at any time during the period after the submission of the proposal through the period of the award, the filing of a disclosure is also required. To provide information to the University community regarding the contractual, financial, and administrative implications that result for the commitment to cost share.

3. Policy Applies to:

This policy applies to all investigators and their spouses and dependent children. "Investigator" is defined as the principal investigator, project director, co-principal investigators, and any other person at the University who is responsible for the design, conduct, or reporting of research or educational activities funds, or proposed for funding, by an external source. This policy applies to all University personnel who are eligible to submit proposals for external funding.
4. The Policy

A. Elements Subject to Disclosure

Each investigator must disclose all significant financial interests:

- that would reasonably appear to be directly and significantly affected by the research or educational activity funded, or proposed for funding, by an external sponsor; or
- in entities where financial interests would reasonably appear to be directly and significantly affected by such activities; or
- related to the investigator’s institutional responsibilities.

“Significant financial interests” means anything of monetary value, including, but not limited to, salary or other payment for services (e.g. consulting fees or honoraria); equity interests (e.g. stocks, stock options or other ownership interests); the occurrence of any reimbursed travel or sponsored travel related to Institutional responsibilities (not required for travel this is reimbursed or sponsored by a federal, state, or local government agency, an Institution of Higher Education as defined at 20 U.S.C. 1001(a), an academic teaching hospital, a medical center, or a research institute that is affiliated with an Institution of Higher Education); and intellectual property rights (e.g. copyrights and royalties from such rights).

The term does not include:

- salary, royalties or other remuneration from the University;
- income from seminars, lectures, or teaching engagements sponsored by and service on advisory or review panels for a federal, state, or local government agency, an Institution of Higher Education as defined at 20 U.S.C. 1001 (a), an academic teaching hospital, a medical center, or a research institute that is affiliated with an Institution of Higher Education.
- income from investment vehicles, such as mutual funds and retirement accounts, as long as the Investigator does not directly control the investment decisions made in these vehicles.
- financial interest in business enterprises or entities if the value of such interests do not exceed $5,000 (or $5,000 per annum if such interest represent salary, fees, or other continuing payments) including any equity interest in non-publicly traded entities.

5. Disclosure Procedures

In accordance with federal regulations, all investigators with a potential conflict of interest as described above will identify the fact and make disclosure of the conflict prior to submission of the proposal. Investigators will submit the Financial Interest Disclosure Form to the Office of Research and Sponsored Programs.
This form must be completed for external grant applications and progress report submissions. The completed form must be provided to the Office of Research and Sponsored Programs BEFORE an external grant application or progress report can be signed for a paper or electronic submission. (Multiple copies of this form may be submitted with the application or report if necessary or more convenient.)

This form is NOT to be submitted to the sponsoring agency or any external institution or entity.

**Principal Investigator/Project Director Name:**

**Department/School:**

**Phone:** [ ]  **Email:**[ ]

**Funding Agency:**

**Project Title:**

---

**Human Subjects:** [ ] Yes  [ ] No  
**Animals:** [ ] Yes  [ ] No

**Need for Commitment of University Cost Share or Match:** [ ] Yes  [ ] No

**Released Time:** [ ] Yes  [ ] No

Indicate by check marks that you agree to the following statements

- [ ] The information submitted within this application is true, complete and accurate to the best of my knowledge.
- [ ] I understand that any false, fictitious statements and claims may subject me to criminal, civil, or administrative penalties.
- [ ] I agree to accept responsibility for the scientific conduct of the project and to provide the required progress reports if a grant is awarded as a result of the application.
- [ ] I have received a copy of the University’s Intellectual Property Policy and acknowledge my obligations under that policy.
- [ ] I have received a copy of the University’s Financial Conflict of Interest Policy and have completed and attached the required Financial Disclosure Form.
- [ ] I understand that the University will rely upon the above representations

---

**Signature of Principal Investigator/Project Director** [ ] **Date** [ ]

**Signature of co-Principal Investigator** [ ] **Date** [ ]

**Signature of co-Principal Investigator** [ ] **Date** [ ]

Please return the **original** signed and completed form to: Office of Research and Sponsored Programs, Townsend 130
INVESTIGATOR FINANCIAL & OTHER PERSONAL INTERESTS DISCLOSURE FORM – Part 1

PROJECT TITLE:

Principal Investigator: ___________________ DEPT: ___________________ PHONE: ___________________

Funding Agency or Sponsor: ___________________ Project Amount: ___________________ Start Date: ___________________

Type:  ☐ Research  ☐ Education/Training  ☐ Service  ☐ Other

NOTHING TO DISCLOSE: CHECK "NO" COLUMN BELOW

I, my spouse, domestic partner, children, parents, and siblings who reside in the same household do not have any financial or other personal interests (as defined on the reverse side) that could be affected by this research or training activity.

DISCLOSURE TO BE MADE: CHECK "YES" COLUMN BELOW

I and/or my spouse, domestic partner, children, parents, and siblings who reside in the same household DO/DOES have financial or other personal interests (as defined on the reverse side) that could be affected by this research or training activity, as itemized on Part 2 of this form.

I certify that the information on this form is correct; that I have read and understood the Kean University Investigator Significant Financial Disclosure Policy; that, to the best of my knowledge, all required disclosure of financial and other personal interests has been made herein; that I will complete a Disclosure Form on an annual basis during the duration of the research, or more frequently as new interests are obtained or if my situation with respect to potential conflict of interest otherwise changes since my original disclosure, and submit it to the office of Research & Sponsored Programs; that I will comply with any conditions or restrictions imposed by Kean to manage, reduce or eliminate conflicts of interest caused by my interests.

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USE ADDITIONAL FORM(S) FOR ADDITIONAL INVESTIGATORS.

☐ This project involves a contract, subcontract or collaboration with an outside institution or group.

☐ Attached is a written assurance from an appropriate official of this outside entity that individuals from the outside entity who will participate in this project comply with the outside entity's investigator conflict-of-interest policy and that such policy meets the requirements of the PHS (42 CFR Part 50, Subpart F).

☐ In the event the outside entity has no investigator conflict-of-interest policy, attached are a written assurance from an appropriate official of this outside entity that individuals from the outside entity who will participate in this project comply with Kean University's Investigator Significant Financial Interest Disclosure policy, plus all Kean Disclosure Forms completed by these individuals.

Signature of Dean (or VPAA if Dean is PI or co-PI) ___________________ Date ________________

Signature of VPAA (if project involves more than one college) ___________________ Date ________________

(continued)
INSTRUCTIONS AND DEFINITIONS

EACH investigator must disclose all significant financial interests that would reasonably appear to be directly and significantly affected by the research or educational activity proposed.

EACH "investigator," as defined below, on a research or training must complete his/her section of the Disclosure Form which must then be submitted with the proposal to the Office of Research & Sponsored Programs, and, when human subjects are involved, to the IRB, and, when animal models are involved, to the IACUC. This requirement pertains to both funded and unfunded research or training activity.

The term "investigator" means:

- the principal investigator,
- co-principal investigators, co-investigators, and
- any other University personnel who, in the course of their association with the University are or will be responsible for the design, conduct, administration, collaboration, analysis and/or reporting of either research or training activities funded or proposed for funding by any sponsor, or of unsponsored research or training activities. These persons may include faculty, non-faculty employees, research associates, technicians, consultants, graduate and other students.

(NOTE: If one or more such individuals had not been named at the time of proposal submission, a form or forms must be subsequently completed by the(se) individual(s) and submitted by the principal investigator to the Office of Research & Sponsored Programs.)

The term "interest" means any financial or other personal involvement of the investigator, his or her spouse, domestic partner, children, parent, or siblings who reside in the same household that could be affected by the investigator’s research, including, but not limited to:

- salary, consulting fees; honoraria or other payment for services (excluding salary or other remuneration from the University);
- financial interests in business enterprises or entities if the value of such interest exceeds $5,000 (or $5,000 per annum is such interest represents salary, fees, or other continuing payments) or represents any ownership interest for any one enterprise or entity when aggregated for the investigator and the investigator’s spouse and dependent children;
- equity interests such as stock, stock options or other ownership rights (excluding interests of any amount in publicly traded, diversified mutual funds, pension funds, or other institutional investment funds over which the faculty member does not exercise control);
- intellectual property rights such as patents and copyrights; and royalties from such rights (excluding royalties from the University);
- contracts, licensing and other agreements;
- employment and services, relationships or positions, even if uncompensated. Examples include but are not limited to Director, Trustee, Corporate Officer, and Advisory Board member.

If there is a financial or other personal interest requiring disclosure, provide on Part 2 of this form all relevant details about the relationship of the interest to the project, and sufficient information to determine if a conflict of interest exists, and how such a conflict of interest might be managed, reduced or eliminated. Use additional pages if needed. Be as specific as possible.
INVESTIGATOR FINANCIAL & OTHER PERSONAL INTERESTS DISCLOSURE FORM – PART 2

PROJECT TITLE:

PRINCIPAL INVESTIGATOR: ___________________________ DEPT: ___________________________ PHONE: ___________________________

FUNDING AGENCY OR SPONSOR: ___________________________ PROJECT AMOUNT: ___________________________ START DATE: ___________________________

TYPE: ☐ RESEARCH ☐ EDUCATION/TRAINING ☐ SERVICE ☐ OTHER

NAME OF "INVESTIGATOR" MAKING DISCLOSURE (see definition of "investigator" on the reverse side):

DISCLOSURE TO BE MADE: (I and/or my spouse, domestic partner, children, parents, and siblings who reside in the same household DO/DOES HAVE financial or other personal interests (as defined on the reverse side) that could be affected by this research or training activity, as itemized below):

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<td>OTHER OWNERSHIP RIGHTS</td>
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<td>ADVISORY BOARD</td>
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<td>OTHER</td>
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I certify that the above information is correct; that I have read and understood the KEAN Policy on Investigator Conflict of Interest; that, to the best of my knowledge, disclosure of all required financial and other personal interests has been made herein; that I will complete a Disclosure Form on an annual basis during the duration of the research or more frequently as new interests are obtained or if my situation with respect to potential conflict of interest otherwise changes since my original disclosure, and submit it to the Research Dean or Vice President; that I will comply with any conditions or restrictions imposed by KEAN to manage, reduce or eliminate conflicts of interest caused by my interests.

Signature of Investigator Making Disclosure ___________________________ Date ___________________________

Signature of Department Chair or School Director ___________________________ Date ___________________________

Signature of Dean (or VPAA if interested party is a Dean) ___________________________ Date ___________________________
INSTRUCTIONS AND DEFINITIONS

EACH investigator must disclose all significant financial interests that would reasonably appear to be directly and significantly affected by the research or educational activity proposed.

EACH "investigator," as defined below, on a research or training must complete his/her section of the Disclosure Form which must then be submitted with the proposal to the Office of Research & Sponsored Programs, and, when human subjects are involved, to the IRB, and, when animal models are involved, to the IACUC. This requirement pertains to both funded and unfunded research or training activity.

The term "investigator" means:

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- co-principal investigators, co-investigators, and
- any other University personnel who, in the course of their association with the University are or will be responsible for the design, conduct, administration, collaboration, analysis and/or reporting of either research or training activities funded or proposed for funding by any sponsor, or of unsponsored research or training activities. These persons may include faculty, non-faculty employees, research associates, technicians, consultants, graduate and other students.

(NOTE: If one or more such individuals had not been named at the time of proposal submission, a form or forms must be subsequently completed by the(se) individual(s) and submitted by the principal investigator to the Office of Research & Sponsored Programs.)

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- equity interests such as stock, stock options or other ownership rights (excluding interests of any amount in publicly traded, diversified mutual funds, pension funds, or other institutional investment funds over which the faculty member does not exercise control);
- intellectual property rights such as patents and copyrights; and royalties from such rights (excluding royalties from the University);
- contracts, licensing and other agreements;
- employment and services, relationships or positions, even if uncompensated. Examples include but are not limited to Director, Trustee, Corporate Officer, and Advisory Board member.

If there is a financial or other personal interest requiring disclosure, provide on Part 2 of this form all relevant details about the relationship of the interest to the project, and sufficient information to determine if a conflict of interest exists, and how such a conflict of interest might be managed, reduced or eliminated. Use additional pages if needed. Be as specific as possible.
Intellectual Property Policy
Kean University
Approved 12.4.10
Kean University Board of Trustees

I. Introduction

Kean University's ("University") policy on intellectual property is intended to encourage, support and motivate research, scholarship, creative activities, innovation and the development of new ideas by defining, recognizing and protecting respective rights and obligations; providing incentives and assistance in commercializing intellectual property where applicable; and, providing for the fair distribution of benefits.

The University recognizes that one part of its mission as an interactive public university is to serve as a major resource for regional advancement. Therefore, the University seeks to encourage and reward activities that may lead to the development of intellectual property for the public good.

This policy applies to all University employees, faculty and non-faculty, and anyone using university facilities under the supervision of university employees, as well as to undergraduate and graduate students who receive compensation from the University as research assistants and/or laboratory assistants.

II. Definitions

A. Intellectual Property

Intellectual property ("IP") is a term used to describe creations of the human intellect. The term "intellectual property" broadly includes, but is not limited to: inventions, discoveries, processes, know-how, machines, designs, composition of matter (including chemical compounds and microorganisms), asexually propagated plant varieties, methods, formulae, software, databases, writings, literary works, books, journal articles, art works, music, films, and architecture. Intellectual Property may be protected under four general categories of law: Patents, Trademarks, Copyrights, and Trade Secrets. For purposes of this policy, intellectual property means copyrighted materials, patentable materials, software, trademarks, service marks and trade secrets, whether or not formal protection under law is sought.

B. Patent

A patent is an exclusive right officially granted by a government to an inventor to make or sell an invention. Patents protect inventions that, by definition, are novel, useful and not obvious to one skilled in the art. A patent gives the owner the right to exclude others from making, using, or selling an invention. Patent applications must be filed with the U.S. Patent and Trademark Office ("USPTO"). Patent rights in the United States begin when the patent is granted by the USPTO and expire 20 years after the application for the patent was filed with the Office.

C. Copyright

Copyright is the legal right of authors, artists, or publishers to control the use and reproduction of their original works. Copyrights protect the tangible expression of original literary and artistic works such as books, papers, photographs, music, movies, and software. Copyright exists automatically when a work is created. Copyrighted works may be registered with the U.S. Copyright Office in the Library of Congress.
III. Ownership of Intellectual Property

A. Inventions, Discoveries and Improvements

All inventions, discoveries and improvements, whether or not patentable, that are made, conceived, or reduced to practice in whole or in part by faculty or staff (including student research assistants) or by non-employees who participate in research projects at the University, using the facilities, equipment, funds or other resources of Kean University or who participate in research projects for the University regardless of whether University facilities are being used, will be the sole property of Kean University. All original data, records, and other documents relating to the invention will be the sole property of the University.

The University does not claim intellectual property rights to inventions by employees that are unrelated to their responsibilities or assignments and that were invented or improved without the use of University resources.

B. Copyrights

Copyrightable works that also qualify for protection under patent laws will be owned by the University and governed by the Inventions, Discoveries and Improvements section of this policy. The University’s copyright ownership rights herein are subject to any applicable collective negotiations agreement that provides for an employee’s ownership of copyrightable works. To the extent that this policy is inconsistent with such an agreement, that agreement, and not this policy, will control with respect to any employee to whom the agreement applies.

1. Traditional Academic Copyrightable Works

Scholarly and Artistic Works: All works that have traditionally belonged to faculty such as scholarly books, monographs, and journal articles, and artistic works such as musical compositions and artwork, created with their individual effort, with only incidental use of University resources, and published in pursuit of their research, in whatever format they are created, print or electronic, continue to belong to faculty and the University makes no claim to them.

Courseware: Faculty members hold copyright to all course materials they create on their own initiative in the course of their teaching responsibilities using resources ordinarily available to all or most faculty members. Course materials include materials in print, in electronic format or posted to a website.

Kean University reserves a royalty-free, non-transferable right to use all scholarly and artistic works and pedagogical materials created by faculty during the course of their employment at Kean, for academic and research purposes.

Works for Hire: All works that are created as a condition of employment (see description below) will be the sole property of the University.
2. **Substantial Use of University Resources**

Kean University may elect to own the copyright on works created using substantial University resources (this does not apply to traditional scholarly or artistic work). The use of substantial University resources refers to the use of University funds, facilities, equipment or other resources which might not be ordinarily available to all or most faculty members.

Use of substantial University resources may include internal research funding, paid or released time awarded for the specific purposes of supporting the creation of the copyrightable work, use of University laboratories, specialized equipment or unique facilities, and dedicated assistance by University employees. This is a listing of examples and is not intended to be complete.

Faculty members who expect to use substantial University resources in the creation of a copyrightable work are encouraged to consult with his or her dean for advice. Deans may consult the Office of the Vice President, Institutional Advancement & Research which will, whenever feasible, make a determination on copyright before the work is created and inform the faculty member of this determination as expeditiously as possible.

3. **Works Created as a Condition of Employment**

A “work for hire” under copyright law is:

- work prepared by an employee within the scope of his/her employment (examples include a software programmer, graphic artist, script writer, etc.)

- or, if the work is created by an independent contractor or freelancer, the work may be considered a work for hire only if all of the following conditions are met:
  - the work must come within one of the nine limited categories of works considered works for hire under copyright law (US Copyright Act of 1976):
    1. contribution to a collective work
    2. part of a motion picture or other audiovisual work
    3. translation
    4. supplementary work
    5. compilation
    6. instructional text
    7. test
    8. answer material for a test
    9. atlas
  - the work must be specially ordered or commissioned
  - there must be a written agreement between the parties specifying that the work is a work made for hire.

C. **Sponsor-Supported Efforts**

The rights of the University may be subject to the terms of a sponsored research project, contract or
other agreement. To the fullest extent allowed under such agreements, the University will be the owner of all inventions or improvements conceived or reduced to practice in the performance of the sponsored work. If not specified, the University owns the intellectual property.

D. Other Efforts

Intellectual Property developed by faculty or staff under "other efforts", which may include consulting for outside organizations or collaborating with non-university personnel, can result in joint ownership of the IP by the University and other persons or their employers. Protection and possible commercialization of jointly owned IP can be difficult without prior agreement among the potential inventors. Accordingly, any outside agreement must be provided to the University for approval, and any outside agreement must include a statement that the faculty or staff member has intellectual property obligations to the University and a copy of this policy should be attached to the outside agreement.

IV. Disclosure of Intellectual Property

University employees are required to promptly disclose the development of all intellectual property in writing, through a fully-completed invention disclosure form, to the Vice President, Institutional Advancement & Research.

This timely and confidential disclosure requirement is intended to protect the rights of the inventor and the University. The United States has a “first to invent” patent system rather than a “first to file” system. Therefore, it is essential to formally document your invention through the completion of the invention disclosure form as soon as possible after you conceive it.

These disclosures are confidential and must be made prior to any public disclosure including submission for publication or attempt to patent, presentation at a professional meeting, and any private disclosure to a commercial entity or investor. The publication of an invention starts a one-year clock running on the right to file for patent protection in the United States and automatically bars filing for patent protection in almost every other country. In a global economy, loss of foreign patent rights can substantially diminish the economic value of your invention.

V. Invention and Copyright Agreements

This policy constitutes an understanding which is binding on University faculty, staff, students, and others as a condition of their use of University resources or participation in University research programs. Where the University has an obligation to disclose the creation of intellectual property to a sponsor, or where the University itself will acquire rights under this policy, it will require a formal invention and copyright agreement.

VI. Procedure for Requesting Return of Rights

The University will make a decision whether or not to initiate the filing of patent application within 120 days after receiving the invention disclosure form and will notify the inventor of its decision. If the University decides not to file a patent application, the inventor may request a transfer of title. This request must be made in writing to the Vice
President, Institutional Advancement & Research. The Vice President may ask for the recommendation of the University's Intellectual Property Committee before either granting the request or advising the inventor that the University will file for patent protection.

If the University obtains a patent but makes no effort to commercially develop the invention within a three (3) year period, the inventor may request a transfer of title. This request must be made in writing to the Vice President, Institutional Advancement & Research. The Vice President may ask for the recommendation of the University's Intellectual Property Committee before either granting the reassignment of ownership back to the inventor or advising the inventor of the University's plans for commercial development of the invention. If the request to return title is granted, the University will retain a 10% interest in the patent.

VII. Royalties and Proceeds Distribution

Realizing financial return from intellectual property usually requires licensing those rights to interested companies. The University shares royalties and other income from intellectual property after it has recovered direct costs related to processing the patent or copyright application and costs of commercializing the property.

Net revenues from commercialization will be paid 50% to the inventors/creators/authors and 50% to the University.

In the case of multiple authors/creators/inventors, net revenues will be divided equally unless the authors/creators/inventors unanimously agree in writing to a different distribution, which is accepted by the University.

VIII. Administration

The Vice President, Institutional Advancement & Research (or designee) is responsible for the administration of Kean University's Intellectual Property Policy. The University's Intellectual Property Committee makes recommendations to the Vice President, Institutional Advancement & Research on matters regarding University policy and intellectual property. The Finance Committee of the Board of Trustees reviews and approves patent agreements.

The Intellectual Property Committee is comprised of five members: two appointed / elected by the Faculty Senate, selected from full-time tenure-track or tenured faculty; one member appointed by President; one member appointed by the Provost/Vice President for Academic Affairs; one member appointed by the Vice President, Institutional Advancement & Research.

IX. Appeals

Appeals of an Intellectual Property decision must be made to the University's President (or designee) in writing within thirty (30) days of written notice of a decision. The determination made by the President or the President's designee constitutes the University's final decision regarding any appeal.
X. Review and Amendments to the Policy

The Intellectual Property Committee shall periodically review this policy. This policy may be amended at anytime by the Kean University Board of Trustees or the Executive Committee of the Board of Trustees. Intellectual property that is already developed or under development at the time that an amendment to the policy is adopted will not be bound by the terms of the amendment without the voluntary written consent of both the author/creator/inventor and the University.

Adopted: December 4, 2010
KEAN UNIVERSITY

OFFICE OF RESEARCH AND SPONSORED PROGRAMS

Policy Name: PURCHASE EXPENDITURE REQUESTS AND APPROVALS FOR INTERNALLY AND EXTERNALLY SPONSORED PROJECTS

Approval Authority: Office of Vice President, Institutional Advancement and Research

Originally Issued: May, 2011

1. Policy Statement

This policy establishes the initiation of purchase expenditure requests and approvals of all purchase expenditures for internally and externally sponsored projects.

Reason/Purpose for Policy

The purpose of this policy is to inform principal investigators, project directors, administrators, and support staff of the newly established purchases approval chain and dollar thresholds with regard to internally and externally sponsored projects.

Policy Applies To

This policy applies to all University personnel who have designated authority to initiate or approve purchase expenditures on internally and externally sponsored projects. This policy applies to sponsored projects only.

3. Contacts

A. Office of Research and Sponsored Programs

B. Vice President, Institutional Advancement and Research

4. The Policy

A. Definitions:

Delegation of Authority: The President of the University has approved the delegation of authority described in this policy with regard to the dollar thresholds and approval chain for all purchase expenditure requests for internally and externally sponsored projects.

Purchasing Authority: University Purchasing has been given the authority to conduct and conclude negotiations for the purchase or lease of all supplies, equipment, and services to fulfill the requirement of the University.
University Purchasing is responsible to procure all goods and services in a fair, competitive, and equitable basis, without undue delay, in accordance with the University’s procurement policies.

**Office of Research and Sponsored Program (ORSP) Authority:** ORSP is charged with the responsibility of approving all requests for expenditures for internally and externally funded projects. ORSP ensures that all requests for expenditures are allocable and allowable per approved budgets for all internally and externally sponsored projects as well as compliance with University purchasing policies.

**B. Procedure for Internally and Externally Sponsored Projects**

The following approval procedure for internally and externally sponsored projects supersedes the approval procedures in both the Office of Business Services Policy and Procedures Manual and the University Purchasing Department Website. This procedure applies to sponsored projects only.

(1) For all internally and externally sponsored projects, once the grant award has been formally accepted, ORSP initiates the establishment of a cost center for the award and, under that cost center, establishes budgets by line item categories based on the approved award. Once established, expenditures and requests for expenditures within each line item category cannot exceed the budget unless a budget transfer is made (see Policy for Budget Revisions).

Cost centers for University internally sponsored projects will be in the 14 fund; cost centers for Foundation internally sponsored projects will be in the 23 fund; and externally sponsored projects will be in the 21-28 funds depending on the funding agency.

(2) ORSP initiates the designees who will be authorized to have DATATEL access for requests for expenditures. The PI/PD and one designee from his or her department are given access to the established cost center. If an additional designee is needed, then a request must be submitted to ORSP in writing.

(3) Per University purchasing policy, all requests for external supplier purchases for goods and services must be entered in the DATATEL system to initiate an online requisition.

(4) The PI/PD or designee enters the online requisition, which is then converted to a purchase order through the approval process.

(5) The approvals and dollar thresholds required to convert a requisition to a purchase order for all internally and externally sponsored projects are listed below.

- PI/PD (as Cost Center Director) approval for all requisitions.
- GRANT approval for all requisitions.
• ORSP approval if requisition is $500 or more.
• VP Institutional Advancement and Research approval for requisitions between $1,000 and $10,000.
• Exec. VP Operations for requisitions over $10,000.
• The President must approve all requisitions or $1,000,000 or more.
• **Requisitions exceeding the State bid threshold (currently $30,700) must follow the State competitive bidding process requirements. Contact ORSP for guidance before attempting to enter a requisition.**
• **Requisitions for the purchase of computer equipment (object code 5077) and computer software (object code 5034) must have OCIS approval regardless of dollar amount.**

**Approvals String – All Sponsored Programs**

- Bid process includes BOT approval
- Over $10,000 Exec. VP, Operations (*bid process triggered at $30,700)
- Over $1,000 VPIA&R approval
- Over $500 ORSP approval
- All Computer Equipment Requisitions OCIS approval
- All requisitions PI/PD approval and GRANT approval
KEAN UNIVERSITY

OFFICE OF RESEARCH AND SPONSORED PROGRAMS

Policy Name: Records Retention Policy for Internally and Externally funded Grants and Contracts.

Approval Authority: Office of Vice President, Institutional Advancement and Research

Originally Issued: March 16, 2011

1. Policy Statement

Pursuant to the records and retention policy established by the State of New Jersey for four year colleges, this document establishes a policy for Kean University for records retention with regard to grants and contracts whether they are awarded internally or externally. This policy is in accordance with the state government, and federal government codes, statutes, and regulations.

2. Reason/Purpose for Policy

This document describes University policy with regard to records retention for internally and externally funded grants and contracts.

3. Policy Applies To

This policy applies to the Office of Research and Sponsored Programs (ORSP), General Accounting, Grants Accounting, Budget Office, Student Financial Services and any other unit providing services for externally and internally funded grants and contracts.

4. Related Documents

State of New Jersey Records Retention Schedule

5. Contacts

A. Office of Research and Sponsored Programs
B. Vice President, Institutional Advancement and Research

6. The Policy

The University requires that records be retained in accordance with the table below:
<table>
<thead>
<tr>
<th>Record Title and Description</th>
<th>Length of Retention</th>
<th>Unit Retained In</th>
<th>Disposition</th>
</tr>
</thead>
<tbody>
<tr>
<td>Financial Aid Files (Grants and Scholarships approved and awarded through ORSP)</td>
<td>7 years after termination of the grant agreement. Files will then be destroyed.</td>
<td>Student Financial Services, PD/PI</td>
<td>Destroy</td>
</tr>
<tr>
<td>Financial Aid Files (Grants and Scholarships submitted by ORSP and not awarded)</td>
<td>3 years</td>
<td>Student Financial Services, PD/PI</td>
<td>Destroy</td>
</tr>
<tr>
<td>State, Federal and Private Grant File (including program file for grant proposal and implementation. Containing but not limited to: correspondence, grant award, request for cost center establishment, faculty pay, reporting, and other supporting documentation)</td>
<td>7 years after termination of the grant</td>
<td>ORSP</td>
<td>Destroy</td>
</tr>
<tr>
<td>State, Federal and Private Grant File – Funded</td>
<td>7 years after termination of the grant</td>
<td>ORSP/Grants Accounting</td>
<td>Destroy</td>
</tr>
<tr>
<td>State, Federal and Private Grant File – Unfunded</td>
<td>3 years</td>
<td>ORSP</td>
<td>Destroy</td>
</tr>
<tr>
<td>Purchase Orders</td>
<td>7 years after termination of the grant</td>
<td>Purchasing</td>
<td>Destroy</td>
</tr>
<tr>
<td>Budget Revision</td>
<td>7 years after termination of the grant</td>
<td>Budget Office/ORSP</td>
<td>Destroy</td>
</tr>
<tr>
<td>Record Title and Description</td>
<td>Length of Retention</td>
<td>Unit Retained In</td>
<td>Disposition</td>
</tr>
<tr>
<td>------------------------------</td>
<td>-------------------------------------------------</td>
<td>---------------------------</td>
<td>-------------</td>
</tr>
<tr>
<td>Check Request Form</td>
<td>7 years after termination of the grant</td>
<td>General Accounting</td>
<td>Destroy</td>
</tr>
<tr>
<td>Contracts and Amendments</td>
<td>7 years after termination of the grant</td>
<td>ORSP/Grants Accounting</td>
<td>Destroy</td>
</tr>
<tr>
<td>Journal Entries</td>
<td>7 years after termination of the grant</td>
<td>ORSP/Grants Accounting</td>
<td>Destroy</td>
</tr>
<tr>
<td>Invoices</td>
<td>7 years after termination of the grant</td>
<td>General Accounting</td>
<td>Destroy</td>
</tr>
<tr>
<td>Budget Entries</td>
<td>7 years after termination of the grant</td>
<td>Budget Office/ORSP</td>
<td>Destroy</td>
</tr>
<tr>
<td>Travel documents</td>
<td>7 years after termination of the grant</td>
<td>General Accounting/ORSP</td>
<td>Destroy</td>
</tr>
<tr>
<td>Time and Effort Reporting</td>
<td>7 years after termination of the grant</td>
<td>ORSP</td>
<td>Destroy</td>
</tr>
</tbody>
</table>
KEAN UNIVERSITY

OFFICE OF RESEARCH AND SPONSORED PROGRAMS

Policy Name: GRANT-FUNDED RELEASED TIME AND SUMMER SALARY

Approval Authority: Office of Vice President, Institutional Advancement and Research

Issued: July, 2008

1. Policy Statement

This policy establishes the requirements of and includes the procedures for budgeting released time for grant-funded projects. This policy applies to all regular faculty of the University whose compensation is charged in whole or in part to an internally or externally sponsored project of any type (including non-federal sponsors) and/or who provide cost-shared effort to an externally sponsored project. It also applies to summer salary payments charged to internally or externally sponsored projects (including non-federal sponsors).

2. Reason/Purpose for Policy

This document describes the University's policy with regard to grant funded released time and summer salary payments.

3. Policy Applies To

This policy applies to all University regular faculty whose compensation is properly chargeable in whole or in part to an internally or externally sponsored project of any type.

4. Related Documents

Sponsor Policies

5. Contacts

A. Office of Research and Sponsored Programs
B. Vice President, Institutional Advancement and Research
6. **The Policy**

The University requires that released time or summer salary payment requests be fully supported in the budget for internally and externally funded projects. Grant-funded released time or summer salary will only be approved if the dollar amount is fully supported by the internally or externally funded project. Activity reports will reflect the distribution of activity expended by employees.

- Released time will be calculated as a percentage of the academic base salary of a full-time faculty member and the required full teaching load of 24 credits. For example: A faculty member academic base salary is $80,000 and is requesting 6 credits academic released time. 6 credits are 25% of the full teaching load of 24 credits; therefore 25% of the faculty academic base salary plus fringe benefits must be requested from the grant budget.

- Summer salary will be calculated at the current negotiated overload rate for the faculty rate plus fringe benefits.

- Anyone receiving released time from any internally or externally funded project cannot also receive overload payments during the academic year for teaching or research.

- Percent of effort used as cost share/match cannot be used toward released time or summer salary payments.

- Summer salary and released time can be paid from multiple funding sources and is based on the approved budgets of the funded projects.
RESEARCH INTEGRITY POLICY: PROCEDURES FOR RESPONDING TO ALLEGATIONS OF RESEARCH MISCONDUCT

KEAN UNIVERSITY

World-Class Education

OFFICE OF RESEARCH & SPONSORED PROGRAMS
Approval Authority: Office of Vice President, Institutional Advancement & Research
Originally Issued: July 1, 2001
Revised/Updated: January 2011

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I. Introduction

A. Institutional Context

Kean University is committed to promoting the highest standards of research ethics and integrity within its community, across all disciplines and areas of study. Its policies and procedures will not only assure compliance with federal laws governing the conduct of research but also foster continual, intellectual and artistic exchange and development.

As researchers/scholars/artists, members of the Kean University faculty seek to discover, develop, and communicate new knowledge, in an environment of intellectual honesty and free inquiry. To that end, they commit to developing and continually enhancing their scholarship, cognizant of the special responsibility in their areas of study to seek and state the truth as they see it and of the obligation to exercise critical self-discipline and judgment.

Developing new knowledge and understanding is achieved by building upon the knowledge gained from others and the works created by others; as such, members of the faculty appropriately recognize in their published or exhibited works the published or exhibited works of others, conversations with colleagues, and student efforts as applicable. They present their own data only after thorough verification through standard data gathering techniques. They exercise extreme caution when using data or information reported by others, and they are guided only by the truth when evaluating the works of others.

NOTE: The University's policy on research integrity is consistent with the Kean policy on professional conduct and is in compliance with the federal research misconduct policy (published by the Office of Science and Technology Policy; Federal Register: December 6, 2000; Volume 65, Number 235: pages 76260-76264) and with the Code of Federal Regulations, Title 42 (Public Health), Part 50, Sections 50-102-104 and Code of Federal Regulations, Title 45 (Public Welfare), Part 689 (see Appendices). It is adopted closely from the Model Policy and Procedures for Responding to Allegations of Scientific Misconduct published by the U.S. Department of Health & Human Services' Office of Research Integrity (ORI) (http://ori.hhs.gov/publications/handbooks.shtml). While the latter is designed to address issues of research misconduct in projects supported or seeking support from the U.S. Department of Health & Human Services', the policy applies to research misconduct at Kean University in scholarship and science as well as for internally and externally supported projects.

B. Scope

This policy and the associated procedures apply to all individuals at Kean University who are engaged in research that is internally or externally supported, or for which external support is sought. In particular, this policy is in consonance with the U.S. Public Health Service (PHS) regulation 42 C.F.R. Part 50, Subpart A, which applies to any research, research-training or research-related grant or cooperative agreement with PHS or a federal research grant.

This policy applies to any person paid by, under the control of, or affiliated with Kean University, such as scientists, trainees, technicians and other staff members, students, fellows, or guest researchers or collaborators. This policy applies to work or related efforts completed while serving or acting in their capacity as a Kean employee. The policy and associated procedures will normally be followed when an
allegation of possible misconduct in science is received by an institutional official. Particular circumstances in an individual case may dictate variation from the normal procedure deemed in the best interests of the University and the federal, state or private granting agency. Any change from normal procedures also must ensure fair treatment to the subject of the inquiry or investigation. Any significant variation should be approved in advance by the Kean University Research Integrity Officer, Office of Research and Sponsored Programs.

A finding of research misconduct requires that there be a significant departure from the accepted practices of the relevant research community. The misconduct or behavior in question must have been determined to been committed intentionally, knowingly, or recklessly. The allegation must be proven by a preponderance of the evidence with the burden of proof lying with the institution. The respondent has the burden of proving any and all affirmative defenses raised.

The willing destruction, absence of, or respondent's failure to provide research records adequately documenting the questioned research is evidence of research misconduct, as long as the institution can establish that the respondent intentionally, knowingly, or recklessly had research records and destroyed them, had the opportunity to maintain the records but did not do so, or maintained the records and failed to produce them in a timely manner and that the respondent's conduct constitutes a significant departure from accepted practices of the relevant research community.

According to the Department of Health and Human Services (DHHS) in section 103 of 42 CFR section 93, there is a six year limitation on allegations of research misconduct. Allegations are no longer valid if more than six years have lapsed since its original occurrence. There are exceptions to this rule which are laid out by the DHHS. The first exception is the subsequent use exception. This occurs when the respondent continues or renews any incident of alleged research misconduct that occurred before the six-year limitation through the citation, republication or other use for the potential benefit of the respondent of the research record that is alleged to have been fabricated, falsified, or plagiarized.

II. Definitions

A. Allegation means any written or oral statement or other indication of possible scientific misconduct made to an institutional official.

B. Conflict of interest means the real or apparent interference of one person's interests with the interests of another person, where potential bias may occur due to prior or existing personal or professional relationships.

C. Ethics refer to principles which dictate and specify what is considered right and wrong behavior.

D. Fabrication is making up false data or statements when reporting data.

E. Falsification is knowingly furnishing incorrect information, distorting data, or failure to provide all necessary information.

F. Fraud is an act of purposefully deceiving or misrepresenting research, scholarly, or academic activities.
G. *Good faith allegation* means an allegation made with the honest belief that scientific misconduct may have occurred. An allegation is not in good faith if it is made with reckless disregard for or willful ignorance of facts that would disprove the allegation.

H. *Indemnification* is protection against possible legal suit or damage, or compensation for incurred damage.

I. *Inquiry* means gathering information and initial fact-finding to determine whether an allegation or apparent instance of scientific misconduct warrants an investigation.

J. *Investigation* means the formal examination and evaluation of all relevant facts to determine if misconduct has occurred, and, if so, to determine the responsible person and the seriousness of the misconduct.

K. *Multiple presentations and publications* of the same data are considered misconduct when the original publications are not cited.

L. *ORI* means the Office of Research Integrity, the office within the U.S. Department of Health and Human Services (DHHS) that is responsible for the scientific misconduct and research integrity activities of the U.S. Public Health Service.

M. *Plagiarism* is the copying from another source, published or unpublished, without proper credit and/or authorization.

N. *PHS* means the U.S. Public Health Service, an operating component of the DHHS.

O. *PHS regulation* means the Public Health Service regulation establishing standards for institutional inquiries and investigations into allegations of scientific misconduct, which is set forth at 42 C.F.R. Part 50, Subpart A, entitled "Responsibility of PHS Awardee and Applicant Institutions for Dealing With and Reporting Possible Misconduct in Science."

P. *PHS support* means PI-IS grants, contracts, or cooperative agreements or related applications.

Q. *Research Integrity Officer* means the institutional official responsible for assessing allegations of scientific misconduct and determining when such allegations warrant inquiries and for overseeing inquiries and investigations.

R. *Research misconduct* is the fabrication, falsification, or plagiarism in proposing, performing, or reviewing research, or in reporting research results (Department of Health and Human Services, 2005). This does not include honest error or honest differences in interpretations or judgments of data.
S. Research record means any data, document, computer tile, memory storage device, or any other written or non-written account or object that reasonably may be expected to provide evidence or information regarding the proposed, conducted, or reported research that constitutes the subject of an allegation of scientific misconduct. A research record includes, but is not limited to, grant or contract applications, whether funded or unfunded; grant or contract progress and other reports; laboratory notebooks; notes; correspondence; videos; photographs; X-ray film; slides; biological materials; computer files and printouts; manuscripts and publications; equipment use logs; laboratory procurement records; animal facility records; human and animal subject protocols; consent forms; medical charts; and patient research files.

T. Respondent means the person against whom an allegation of scientific misconduct is directed or the person whose actions are the subject of the inquiry or investigation. There can be more than one respondent in any inquiry or investigation.

U. Retaliation means any action that adversely affects the employment or other institutional status of an individual that is taken by an institution or an employee because the individual has, in good faith, made an allegation of scientific misconduct or of inadequate institutional response thereto or has cooperated in good faith with an investigation of such allegation.

V. Scholarly or Scientific misconduct or misconduct in science means fabrication, falsification, plagiarism, or other practices that seriously deviate from those that are commonly accepted within the scientific community for proposing, conducting, or reporting research. It does not include honest error or honest differences in interpretations or judgments of data.

W. Complainant means a person who makes an allegation of scientific misconduct. The Complainant can remain anonymous throughout the whole process. Their allegation must be made in writing to the Research Integrity Officer. In terms of their anonymity, they can choose to remain anonymous to everyone except but the Research Integrity Officer.

III. Rights and Responsibilities

A. Research Integrity Officer

Either the Director or the Assistant Director of the Office of Research and Sponsored Programs will serve as the Research Integrity Officer with the primary responsibility of implementing the procedures set forth in this document. The Research Integrity Officer must be qualified to handle the procedural requirements involved and is sensitive to the varied demands made on those who conduct research, those who are accused of misconduct, and those who report apparent misconduct in good faith.

The Research Integrity Officer will appoint and chair the inquiry and investigation committees and ensure that necessary and appropriate expertise is secured to carry out a thorough and authoritative evaluation of the relevant evidence in an inquiry or investigation. The Research Integrity Officer will attempt to ensure that confidentiality is maintained. He/she will assist inquiry and investigation committees and all institutional personnel in complying with these procedures and with applicable standards imposed by government or external funding sources. The Research Integrity Officer is also responsible for maintaining files of all documents and evidence and for the confidentiality and the security of the tiles.
The Research Integrity Officer will report to ORI as required by regulation and keep ORI apprised of any developments during the course of the inquiry or investigation that may affect current or potential DHHS funding for the individual(s) under investigation or that PHS needs to know to ensure appropriate use of Federal funds and otherwise protect the public interest.

B. Complainant

The Complainant will have the opportunity to remain anonymous throughout the entire procedure. The role of a complainant is limited. Once the complainant has made an allegation of research misconduct, that person does not participate in the proceeding other than as a witness. They have an opportunity to testify before the inquiry and investigation committees in this capacity. They also have the right to review portions of the inquiry and investigation reports pertinent to his/her allegations or testimony, to be informed of the results of the inquiry and investigation, and to be protected from retaliation. Also, if the Research Integrity Officer has determined that the Complainant may be able to provide pertinent information on any portions of the draft report, these portions will be given to the Complainant for comment.

The Complainant is responsible for making allegations in good faith, maintaining confidentiality, and cooperating with an inquiry or investigation. They also have the right to be protected from any retaliation for their role in bringing these charges to light or their role in the subsequent inquiry or investigation.

New Jersey law prohibits an employer from taking any retaliatory action against an employee because they act as a Complainant. According to the Whistleblower Act (N.J.S.A. 34:19-4) the University has the obligation to protect the Complainant from any retaliation. This is true when the employee provides information to, or testifies before, any public body conducting an investigation, hearing or inquiry into any violation of law, or a rule of regulation issued under the law by the employer of another employer.

C. Respondent

The respondent will be informed of the allegations when an inquiry is opened and notified in writing of the final determinations and resulting actions. The respondent will also have the opportunity to be interviewed by and present evidence to the inquiry and investigation committees, to review the draft inquiry and investigation reports, and to have the advice of counsel.

Investigations will be conducted in a manner that will ensure fair treatment to the respondent(s) in the investigation and confidentiality to the extent possible without compromising public health and safety or thoroughly carrying out the inquiry or investigation. Institutional employees may consult with legal counsel or a non-lawyer personal adviser (who is not a principal or witness in the case) to seek advice.

Legal counsels and advocates will act as representatives or support persons and will not have active roles as participants in the inquiry process; they will not participate in the discussions of the committee. Attorneys will not be permitted to examine or to cross-examine witnesses before the committee.
The respondent is responsible for maintaining confidentiality and cooperating with the conduct of an inquiry or investigation. If the respondent is not found guilty of violating the university standards of research integrity, he or she has the right to receive institutional assistance in restoring his or her reputation.

D. Deciding Official

The Vice President for Institutional Advancement and Research will serve as the Deciding Official and will receive the inquiry and/or investigation report and any written comments made by the respondent or the Complainant on the draft report. The Deciding Official will consult with the Research Integrity Officer or other appropriate officials and will determine whether to conduct an investigation, whether misconduct occurred, whether to impose sanctions, or whether to take other appropriate administrative actions.

IV. General Policies and Principles

A. Responsibility to Report Misconduct

All employees or individuals associated with Kean University should report observed, suspected, or apparent research misconduct to the Research Integrity Officer or Vice President for Institutional Advancement and Research. If an individual is unsure whether a suspected incident falls within the definition of scientific misconduct, he or she may call or write the Research Integrity Officer to discuss the suspected misconduct informally. If the circumstances described by the individual do not meet the definition of scientific misconduct, the Research Integrity Officer will refer the individual or allegation to other offices or officials with responsibility for resolving the problem. At any time, an employee may have confidential discussions and consultations about concerns of possible misconduct with the Research Integrity Officer and will be counseled about appropriate procedures for reporting allegations.

B. Protecting the Complainant

The Research Integrity Officer will monitor the treatment of individuals who bring allegations of misconduct or of inadequate institutional response thereto, and those who cooperate in inquiries or investigations. The Research Integrity Officer will ensure that these persons will not be retaliated against in the terms and conditions of their employment or other status at the institution and will review instances of alleged retaliation for appropriate action. Employees should immediately report any alleged or apparent retaliation to the Research Integrity Officer. Also, the institution will protect the privacy of those who report misconduct in good faith to the maximum extent possible. For example, if the Complainant requests anonymity, the institution will make an effort to honor the request during the allegation assessment or inquiry within applicable policies and regulations and state and local laws, if any. The Complainant will be advised that if the matter is referred to an investigation committee and the Complainant's testimony is required, anonymity may no longer be guaranteed. Institutions are required to undertake diligent efforts to protect the positions and reputations of those persons who, in good faith, make allegations.
C. Protecting the Respondent

Inquiries and investigations will be conducted in a manner that will ensure fair treatment to the respondent(s) in the inquiry or investigation and confidentiality to the extent possible without compromising public health and safety or thoroughly carrying out the inquiry or investigation. Institutional employees accused of scientific misconduct may consult with legal counsel or a non-lawyer personal adviser (who is not a principal or witness in the case) to seek advice.

D. Cooperation with Inquiries and Investigations

Institutional employees will cooperate with the Research Integrity Officer and other institutional officials in the review of allegations and the conduct of inquiries and investigations. Employees have an obligation to provide relevant evidence to the Research Integrity Officer or other institutional officials on misconduct allegations.

E. Preliminary Assessment of Allegations

Upon receiving an allegation of scientific misconduct, the Research Integrity Officer will immediately assess the allegation to determine whether there is sufficient evidence to warrant an inquiry, whether external funding support is involved, or whether the allegation falls under the PHS definition of scientific misconduct. The Research Integrity Officer should consult with university counsel or other institutional officials at this point to determine if there is enough evidence to warrant further actions being taken at this time. University counsel will be told immediately of any allegations being made against a member of the Kean community. If there is enough evidence to move ahead, then the inquiry phase will be initiated.

F. Allegations Not Made in Good Faith

If relevant, the Vice President for Institutional Advancement and Research will determine whether the complainant's allegations of research misconduct were made in good faith. If an allegation was not made in good faith, the Vice President for Institutional Advancement and Research will determine whether any administrative action should be taken against the complainant.

V. Conducting the Inquiry

A. Initiation and Purpose of the Inquiry

Following the preliminary assessment, if the Research Integrity Officer determines that the allegation provides sufficient information to allow specific follow-up, involves external funding, or falls under the PHS definition of scientific misconduct, he or she will immediately initiate the inquiry process. In initiating the inquiry, the Research Integrity Officer should identify clearly the original allegation and any related issues that should be evaluated. The respondent will be informed in writing of the inquiry and will be told at that time the individuals who will comprise the inquiry committee. This notification will serve as the start date/initiation for the inquiry/investigation process. The purpose of the inquiry is to make a preliminary evaluation of the available evidence and testimony of the respondent,
Complainant, and key witnesses to determine whether there is sufficient evidence of possible scientific misconduct to warrant an investigation. Once an inquiry is initiated, the university has 60 days to complete the inquiry. The respondent has the opportunity to choose individuals who they want to testify on their behalf. In this case these individuals would be considered key witnesses and can be questioned by the inquiry committee. The purpose of the inquiry is not to reach a final conclusion about whether misconduct definitely occurred or who was responsible. The findings of the inquiry must be set forth in an inquiry report.

B. Sequestration of the Research Records

After determining that an allegation falls within the definition of misconduct in science and/or involves PHS or other external funding, the Research Integrity Officer must ensure that all original research records and materials relevant to the allegation are immediately secured. The Research Integrity Officer may consult as appropriate with ORI for advice and assistance in this regard.

C. Appointment of the Inquiry Committee

After determining whether or not to proceed with an inquiry, the Research Integrity Officer, in consultation with other institutional officials as appropriate, will appoint a Research Integrity Inquiry Committee. The committee will represent a cross-section of the colleges and academic disciplines on campus. The committee will contain between 6 and 8 members, not including the Research Integrity Officer who will act as chairperson. Members will consist of mostly senior faculty who are either previous or present Institutional Review Board members. The Research Integrity Officer will notify the respondent of the committee membership as soon as the inquiry is initiated. If the respondent submits a written objection to any appointed member of the inquiry committee or expert based on bias or conflict of interest within 10 days, the Research Integrity Officer will determine whether to replace the challenged member or expert with a qualified substitute.

The Respondent has the opportunity to review the initial committee and present an objection to any members in writing. This objection must be given in writing and must occur prior to the first inquiry meeting. The respondent will only have one chance to review and submit an objection. The Research Integrity Officer will convene the Committee within 14 calendar days of the initiation of the inquiry. The Committee will interview the principals and key witnesses and conduct the inquiry. Members of the Inquiry Committee who have real or apparent biases or conflicts of interest in the case will be excused from service on the case in question and replaced by others to help evaluate the evidence and issues related to the allegation.

D. Charge to the Committee and the First Meeting

The Research Integrity Officer will prepare a charge for the inquiry committee that describes the allegations and any related issues identified during the allegation assessment and states that the purpose of the inquiry is to make a preliminary evaluation of the evidence and testimony of the Respondent, Complainant (only if they decide to come forward), and key witnesses to determine whether there is sufficient evidence of possible research misconduct to warrant an investigation as required by the PHS regulation. The purpose is not to determine whether research misconduct definitely occurred or who was
responsible. At the committee’s first meeting, the Research Integrity Officer will review the charge with the committee, discuss the allegations, any related issues, and the appropriate procedures for conducting the inquiry, assist the committee with organizing plans for the inquiry, and answer any questions raised by the committee. The Research Integrity Officer and institutional counsel will be present or available throughout the inquiry to advise the committee as needed.

E. Inquiry Process

The inquiry committee will normally interview the Respondent and key witnesses as well as examining relevant research records and materials. If the Complainant chooses so, they can be interviewed as well at this stage. If they decide to not come forward, then their request for anonymity will be respected. The inquiry committee will evaluate the evidence and testimony obtained during the inquiry. After consultation with the Research Integrity Officer and institutional counsel, the committee members will decide whether there is sufficient evidence of possible research misconduct to recommend further investigation. The scope of the inquiry does not include deciding whether misconduct occurred or conducting exhaustive interviews and analyses.

VI. The Inquiry Report

A. Elements of the Inquiry Report

A written inquiry report must be prepared that states the name and title of the committee members and witnesses, if any; the allegations; the PHS or external support or prospective support; a summary of the inquiry process used; a list of the research records reviewed; summaries of any interviews; a description of the evidence in sufficient detail to demonstrate whether an investigation is warranted or not; and the committee’s determination as to whether an investigation is recommended and whether any other actions should be taken if an investigation is not recommended. Institutional counsel will review the report for legal sufficiency.

B. Comments on the Draft Report by the Respondent and the Complainant

The Research Integrity Officer will provide the Respondent with a copy of the draft inquiry report for comment and rebuttal and will provide the Complainant, if he or she is identifiable, with portions of the draft inquiry report that address their role and opinions in the investigation as well as a summary of the inquiry findings.

1. Confidentiality

The Research Integrity Officer may establish reasonable conditions for review to protect the confidentiality of the draft report.

2. Receipt of Comments

Within 14 calendar days of their receipt of the draft report, the Complainant and Respondent will provide their comments, if any, to the inquiry committee. Any comments that the Complainant or Respondent submits on the draft report will become part of the final inquiry report and record.
the comments, the inquiry committee may revise the report as appropriate.

C. Inquiry Decision and Notification

1. Decision by the Deciding Official

The Research Integrity Officer will transmit the final report and any comments from the committee to the Vice President for Research and Institutional Advancement, who will make the determination of whether findings from the inquiry provide sufficient evidence of possible research misconduct to justify conducting an investigation. The inquiry is completed when the Vice President for Research and Institutional Advancement makes this determination, which must be made within 60 days of the initiation of the inquiry. Any extension of this period will be based on good cause and recorded in the inquiry file.

2. Notification

The Research Integrity Officer will notify both the Respondent and the Complainant in writing of the decision of the Vice President for Research and Institutional Advancement regarding whether to proceed to an investigation and will remind them of their obligation to cooperate in the event an investigation is opened. The Research Integrity Officer will also notify all appropriate institutional officials of the Vice President for Research and Institutional Advancement's decision. University counsel and the President will be two of the institutional officials notified of the progression to an investigation.

D. Time Limit for Completing the Inquiry Report

The inquiry committee will normally complete the inquiry and submit its report in writing to the Vice President for Research and Institutional Advancement within the 60 calendar days limit following the initiation of the inquiry process. Extensions should only be granted if the Research Integrity Officer decides there is good cause for an extension. Extensions may occur if the committee needs more time to evaluate evidence or come to a decision on a specific case. If an extension occurs, the reason for the extension will be entered into the records of the case and the report. During this time, the respondent also will be notified of the extension.

E. Reporting to ORI on the decision to initiate an investigation

The University has 30 days to notify ORI that an investigation is warranted. At this time the University will provide ORI in writing the following information: The name and position of the respondent, the description of allegations of research misconduct, PHS support, basis for recommending that the alleged actions warrant investigation, and any comments on the report by the respondent or Complainant.

VII. Conducting the Investigation

A. Timeline of the Investigation

The written notification that the allegation is proceeding to the next stage is the initiation of the
investigation phase. Respondents will be informed in writing from the Research Integrity Officer that it has been decided that an investigation will be opened. They will be informed of the allegations against them. The process will also be explained so that they know exactly what to expect. The investigation committee will be appointed and the process initiated within 30 days of the completion of the inquiry, if findings from that inquiry provide a sufficient basis for conducting an investigation.

B. Purpose of the Investigation

The purpose of the investigation is to explore in detail the allegations, to examine the evidence in depth, and to determine specifically whether misconduct has been committed, by whom, and to what extent. The investigation will also determine whether there are additional instances of possible misconduct that would justify broadening the scope beyond the initial allegations. This is particularly important where the alleged misconduct involves clinical trials or potential harm to human subjects or the general public or if it affects research that forms the basis for public policy, clinical practice, or public health practice. The findings of the investigation will be set forth in an investigation report.

C. Sequestration of the Research Records

The Research Integrity Officer will immediately sequester any additional pertinent research records that were not previously sequestered during the inquiry. This sequestration should occur before or at the time the respondent is notified that an investigation has begun. The need for additional sequestration of records may occur for any number of reasons, including the institution's decision to investigate additional allegations not considered during the inquiry stage or the identification of records during the inquiry process that had not been previously secured. The procedures to be followed for sequestration during the investigation are the same procedures that apply during the inquiry.

D. Appointment of the Investigation Committee

The investigation committee will be appointed and the process initiated within 30 days of the completion of the inquiry, if findings from that inquiry provide a sufficient basis for conducting an investigation. The Research Integrity Officer, in consultation with other institutional officials as appropriate, will appoint an investigation committee and subsequently notify the Respondent of its existence within 14 days of the initiation of the investigation. The investigation committee should consist of at least three and typically three to five individuals (not counting the Research Integrity Officer) who do not have real or apparent conflicts of interest in the case, are unbiased, and have the necessary expertise to evaluate the evidence and issues related to the allegations, interview the principals and key witnesses, and conduct the investigation. These individuals may be scientists, administrators, subject matter experts, lawyers, or other qualified persons, and they may be from inside or outside the institution. They can be from the same department or college as the respondent. Individuals appointed to the investigation committee may also have served on the inquiry committee.

If the Respondent submits a written objection to any appointed member of the investigation committee or expert, the Research Integrity Officer will determine whether to replace the challenged member or expert with a qualified substitute. The Respondent has 14 days after the notification to notify the Research Integrity Officer in writing of any objection to the committee that they have.
C. Charge to the Committee and the First Meeting

1. Charge to the Committee

The Research Integrity Officer will define the subject matter of the investigation in a written charge to the committee that describes the allegations and related issues identified during the inquiry; defines the research misconduct; and, identifies the name of the respondent. The charge will state that the committee is to evaluate the evidence and testimony of the respondent, complainant, and key witnesses to determine whether, based on a preponderance of the evidence, scientific misconduct occurred and, if so, to what extent, who was responsible, and its seriousness. During the investigation, if additional information becomes available that substantially changes the subject matter of the investigation or would suggest additional respondents, the Research Integrity Officer, will determine whether it is necessary to notify the respondent of the new subject matter or to provide notice to additional respondents.

2. The First Meeting

The Research Integrity Officer, with the assistance of institutional counsel, will convene the first meeting of the investigation committee to review the charge, the inquiry report, and the prescribed procedures and standards for the conduct of the investigation, including the necessity for confidentiality and for developing a specific investigation plan. The investigation committee will be provided with a copy of these instructions and, where PHS or external funding is involved, the PHS regulation.

E. Investigation Process

The investigation will normally involve examination of all documentation including, but not necessarily limited to, relevant research records, computer files, proposals, manuscripts, publications, correspondence, memoranda, and notes of telephone calls. Whenever possible, the committee should interview the respondents(s), and other individuals who might have information regarding aspects of the allegations.

In regards to interviewing the Complainant (if he or she is identifiable), the committee will have the opportunity to interview them only if the Complainant agrees to be interviewed by the committee. If he/she choose to remain anonymous to the committee, any interviews will be conducted solely by the Research Integrity Officer. The Complainant will have the opportunity to have University counsel present for these interviews if they choose. This interview will be transcribed by the Research Integrity Officer and entered into the file.

Interviews of the respondent should be tape recorded or transcribed from notes. All other interviews should be transcribed, tape recorded, or summarized. Summaries or transcripts of the interviews should be prepared, provided to the interviewed party for comment or revision, and included as part of the investigatory file.

The investigation plan will determine the sequence of events. The respondent will be told in writing exactly what to expect and when they should be present for the meeting. The plan for the rest of the process will be laid out with a schedule of events. This will include dates and times for any meetings or
formal interviews. The number of meetings required is something that will have to be evaluated on a case-by-case basis. Depending on the volume of material to review and the number of individuals involved in the investigation, the Research Integrity Officer will determine the number of meetings to be held. Hearings which are required for the respondent or any witnesses will be laid out at this time.

VIII. The Investigation Report

A. Elements of the Investigation Report

The report will be sent to the Vice President for Institutional Advancement and Research for appropriate university action. In addition, if the case under review relates to an externally-funded project, the funding agency will be notified of the investigation. The final report, including sanctions imposed and administrative actions, will also be submitted to ORI (if applicable) and must describe the policies and procedures under which the investigation was conducted, describe how and from whom information relevant to the investigation was obtained, state the findings, and explain the basis for the findings. The report will include the actual text or an accurate summary of the views of any individual(s) found to have engaged in misconduct as well as a description of any sanctions imposed and administrative actions taken by the University.

B. Comments on the Draft Report

1. Respondent

The Research Integrity Officer will provide the respondent with a copy of the draft investigation report for comment and rebuttal. The respondent will be allowed 30 calendar days to review and comment on the draft report. The respondent's comments will be attached to the final report. The findings of the final report should take into account the respondent's comments in addition to all the other evidence.

2. Complainant

The Research Integrity Officer will provide the Complainant, if he or she is identifiable, with those portions of the draft investigation report that address the Complainant's role and opinions in the investigation. The report should be modified, as appropriate, based on the Complainant's comments.

3. Institutional Counsel

The draft investigation report will be transmitted to the institutional counsel for a review of its legal sufficiency. Comments should be incorporated into the report as appropriate.

4. Confidentiality

In distributing the draft report, or portions thereof, to the respondent and complainant, the Research Integrity Officer will inform the recipient of the confidentiality under which the draft report is made available and may establish reasonable conditions to ensure such confidentiality. For example, the Research Integrity Officer may request the recipient to sign a confidentiality statement or to come to his or her office to review the report.
C. Institutional Review and Decision

Based on a preponderance of the evidence, the Vice President of Institutional Advancement and Research will make the final determination whether to accept the investigation report, its findings, and the recommended institutional actions. If this determination varies from that of the investigation committee, the Vice President of Institutional Advancement and Research will explain in detail the basis for rendering a decision different from that of the investigation committee in the institution's letter transmitting the report to ORI. The explanation from the Vice President for Institutional Advancement and Research should be consistent with the PHS definition of research misconduct, the institution's policies and procedures, and the evidence reviewed and analyzed by the investigation committee. The Vice President for Institutional Advancement and Research may also return the report to the investigation committee with a request for further fact-finding or analysis. Their determination, together with the investigation committee's report, constitutes the final investigation report for purposes of ORI review. When a final decision on the case has been reached, the Research Integrity Officer will notify both the respondent and the complainant in writing. In addition, the Vice President for Institutional Advancement and Research will determine whether law enforcement agencies, professional societies, professional licensing boards, editors of journals in which falsified reports may have been published, collaborators of the respondent in the work, or other relevant parties should be notified of the outcome of the case. The Research Integrity Officer is responsible for ensuring compliance with all notification requirements of funding or sponsoring agencies.

D. Transmittal of the Final Investigation Report to ORI

After comments have been received and the necessary changes have been made to the draft report, the investigation committee should transmit the final report with attachments, including the respondent's and complainant's comments, to the Vice President for Institutional Advancement and Research, through the Research Integrity Officer.

E. Time Limit for Completing the Investigation Report

An investigation should ordinarily be completed within 120 days of its initiation, with the initiation being defined as the date of the written notification that the process is moving into the investigation phase. This period includes conducting the investigation, preparing the report of findings, making the draft report available to the subject of the investigation for comment, submitting the report to the Vice President for Institutional Advancement and Research for approval, and submitting the report to the ORI.

IX. Requirements for Reporting to ORI

1. The University's decision to initiate an investigation will be reported in writing to the funding agency and Director, ORI, on or before the date the investigation begins. At a minimum, the notification should include the name of the person(s) against whom the allegations have been made, the general nature of the allegation as it relates to the PHS definition of scientific misconduct, and the PHS applications or grant number(s) involved. ORI will also be notified of the final outcome of the investigation and be provided with a copy of the investigation report. Any significant variations from the provisions of the
University's policies and procedures will be explained in any reports submitted to ORI.

2. If the University plans to terminate an inquiry or investigation for any reason without completing all relevant requirements of the PHS regulation, the Research Integrity Officer will submit a report of the planned termination to the funding agency and ORE, including a description of the reasons for the proposed termination.

3. If the University determines that it will not be able to complete the investigation in 120 days, the Research Integrity Officer will submit to ORI a written request for an extension that explains the delay, reports on the progress to date, estimates the date of completion of the report, and describes other necessary steps to be taken. If the request is granted, the Research Integrity Officer will file periodic progress reports as requested by the ORI.

4. When PHS funding or applications for funding are involved and an admission of research misconduct is made, the Research Integrity Officer will contact ORI for consultation and advice. Normally, the individual making the admission will be asked to sign a statement attesting to the occurrence and extent of misconduct. When the case involves PHS funds, the University will not accept an admission of scientific misconduct as a basis for closing a case or not undertaking an investigation without prior approval from ORI.

5. The Research Integrity Officer will notify ORI at any stage of the inquiry or investigation if:

A. there is an immediate health hazard involved;
B. there is an immediate need to protect Federal funds or equipment;
C. there is an immediate need to protect the interests of the person(s) making the allegations or of 4. the individual(s) who is the subject of the allegations as well as his/her co-investigators and associates, if any;
D. it is probable that the alleged incident is going to be reported publicly; or
E. the allegation involves a public health sensitive issue, e.g., a clinical trial; or
F. there is a reasonable indication of possible criminal violation. In this instance, the institution must inform ORI within 24 hours of obtaining that information.

X. Appeal Process

Appeal is a review of the record previously compiled and is available only to consider new evidence, contentions that the investigatory process was flawed, or contentions that the evidence in the record taken as a whole did not substantially support the findings of the process. The respondent is entitled to one appeal only. The appeal will be made in writing to the University President, as final agency head. They must inform the Research Integrity Officer of their intention to appeal the decision. Appeals must be completed within a 120 day period after the completion of the investigation. If the University is unable to complete any appeals within this time period, they must notify ORI in writing and request an extension for a request.

When investigating an appeal, the President will receive copies of all relevant and pertinent material to the investigation, including transcripts of all interviews as well as minutes from all of the adjoined sessions. Based on their review of this information, the President may accept, reject, or modify the initial decision.
XI. Institutional Administrative Actions

Kean University will take appropriate administrative actions against individuals when an allegation of misconduct has been substantiated. If the Vice President for Institutional Advancement and Research determines that the alleged misconduct is substantiated by the findings, he or she will decide on the appropriate actions to be taken, after consultation with the Research Integrity Officer. The actions will be consistent with the University's policy on professional conduct and may include:

- Withdrawal or correction of all pending or published abstracts and papers emanating from the research where scientific misconduct was found.
- Removal of the responsible person from the particular project, letter of reprimand, special monitoring of future work, probation, suspension, salary reduction, or initiation of steps leading to possible rank reduction or termination of employment;
- Restitution of funds by the responsible parties as appropriate.

XII. Other Considerations

A. Termination of Institutional Employment or Resignation Prior to Completing Inquiry or Investigation

The termination of the respondent's institutional employment, by resignation or otherwise, before or after an allegation of possible research misconduct has been reported, will not preclude or terminate the misconduct procedures. If the respondent, without admitting to the misconduct, elects to resign his or her position prior to the initiation of an inquiry, but after an allegation has been reported, or during an inquiry or investigation, the inquiry or investigation will proceed. If the respondent refuses to participate in the process after resignation, the committee will use its best efforts to reach a conclusion concerning the allegations, noting in its report the respondent's failure to cooperate and its effect on the committee's review of all the evidence.

B. Restoration of the Respondent's Reputation

If the institution finds no misconduct and ORI concurs, after consulting with the respondent, the Research Integrity Officer will undertake reasonable efforts to restore the respondent's reputation. Depending on the particular circumstances, the Research Integrity Officer should consider notifying those individuals aware of or involved in the investigation of the final outcome, publicizing the final outcome in forums in which the allegation of research misconduct was previously publicized, or expunging all reference to the research misconduct allegation from the respondent's personnel file. Any institutional actions to restore the respondent's reputation must first be approved by the Vice President for Institutional Advancement and Research.

C. Protection of the Complainant and Others

Regardless of whether the institution or ORI determines that research misconduct occurred, the Research Integrity Officer will undertake reasonable efforts to protect complainants who made allegations of scientific misconduct in good faith and others who cooperate in good faith with inquiries and investigations of such allegations. Upon completion of an investigation, the Vice President for
Institutional Advancement and Research for Academic Affairs will determine, after consulting with the complainant, what steps, if any, are needed to restore the position or reputation of the complainant. The Research Integrity Officer is responsible for implementing any steps the Vice President for Institutional Advancement and Research for Academic Affairs approves. The Research Integrity Officer will also take appropriate steps during the inquiry and investigation to prevent any retaliation against the Complainant.

D. Interim Administrative Actions

Institutional officials will take interim administrative actions, as appropriate, to protect Federal funds and ensure that the purposes of the Federal financial assistance are carried out.

XIII. Record Retention

After completion of a case and all ensuing related actions, the Research Integrity Officer will prepare a complete file, including the records of any inquiry or investigation and copies of all documents and other materials furnished to the Research Integrity Officer or committees. The Research Integrity Officer will keep the file for three years after completion of the case to permit later assessment of the case. ORI or other authorized DHHS personnel will be given access to the records upon request.

XIV. APPENDICES

A. Code of Federal Regulations Title 42 (Public Health) - Part 50 - Policies of General Applicability
B. Code of Federal Regulations Title 50 (Public Welfare) - Part 689 - Research Misconduct
C. Timeline
<table>
<thead>
<tr>
<th>Phase</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>I. Allegation to Inquiry</strong></td>
<td>Once an allegation is made, the Research Integrity Officer has to determine whether or not to proceed to the inquiry phase. There is no time limit. However, once the inquiry is initiated, the clock starts.</td>
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<tr>
<td><strong>II. Inquiry Phase – 60 Days in total</strong></td>
<td></td>
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<tr>
<td>A. Committee Assembly – 14 Days</td>
<td>After an inquiry is initiated, the Research Integrity Officer has 14 days to put together a committee to address the concern and notify the respondent of the make up of this committee.</td>
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<tr>
<td>B. Respondent’s Objection – 10 Days</td>
<td>After being notified, the respondent has 10 days to put forth a written objection to any of the committee members on the inquiry committee.</td>
</tr>
<tr>
<td>C. Draft Report Review – 14 Days</td>
<td>After the committee reviews the material and issues its draft of the report, the respondent and the Complainant have 14 days to make any comments on the draft before it is submitted to the deciding official.</td>
</tr>
<tr>
<td><strong>III. Inquiry to Investigation Phase – 30 Days</strong></td>
<td>If deciding to move forward, the institution has 30 days to notify ORI in writing that an investigation is warranted.</td>
</tr>
<tr>
<td><strong>IV. Investigation Phase – 120 Days</strong></td>
<td>The respondent will be notified in writing that an investigation will be commenced. At this time the investigation does not start without the knowledge of the respondent.</td>
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<td></td>
<td>The Investigation has to be initiated within 30 days after the commencement of the inquiry. Within that 30 day period the respondent has to be notified and a start date has to be announced.</td>
</tr>
<tr>
<td></td>
<td>The investigation has to be completed within 120 days.</td>
</tr>
<tr>
<td>A. Notification of Committee – 14 days</td>
<td>Within 14 days of the initiation of the investigation, the Reserch Integrity Officer</td>
</tr>
<tr>
<td>B. Objection of Committee Members - 14 days</td>
<td>After receiving this notification the respondent has 14 days on top of this to notify the Research Integrity Officer in writing of any objection to the constitution of the committee.</td>
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<td>---------------------------------------------</td>
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<tr>
<td>C. Rebuttal – 30 days after report</td>
<td>After the report is written, it will be sent to the respondent and Complainant for them for comment and rebuttal. They have 30 days to read and provide their comments before it is sent off to the VP for Institutional Advancement and Research for the Institutional Review and Decision.</td>
</tr>
<tr>
<td>V. Submission to ORI</td>
<td>Before the end of the 120 day period, the final report should be submitted to the ORI. If the process will not be competed within the 120 day period, the Research Integrity Officer will submit to ORI a written request that explains the delay, reports on the progress to date, estimates the date of completion of the report, and describes other necessary steps to be taken. If the extension is granted, the Research Integrity Officer will file periodic progress reports as requested by the ORI.</td>
</tr>
<tr>
<td>VI. Appeal – 120 Day limit</td>
<td>Appeals can be made after the report is submitted to ORI. Any and all appeals will be made to the President. Must be completed within a 120 day time limit.</td>
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KEAN UNIVERSITY

OFFICE OF RESEARCH AND SPONSORED PROGRAMS

Policy Name: PAYMENT OF STIPENDS/SCHOLARSHIPS FROM INTERNALLY AND EXTERNALLY FUNDED PROJECTS

Approval Authority: Office of Vice President, Institutional Advancement and Research

Issued: August 9, 2011

1. Policy Statement

This policy establishes the requirements of and includes the procedures for budgeting released time for grant-funded projects. This policy applies to all full-time undergraduate and Graduate Students whose compensation is charged in whole or in part to an internally or externally sponsored project of any type.

2. Reason/Purpose for Policy

This document describes the University’s policy with regard to payment of stipends and scholarships to students from internally and externally funded projects.

3. Policy Applies To

This policy applies to all University undergraduate and graduate students who receive stipends from internally funded projects and stipends/scholarships from externally funded projects.

4. Contacts

A. Office of Research and Sponsored Programs
B. Vice President, Institutional Advancement and Research

5. The Policy

The University requires that undergraduate and graduate students who receive stipend payments or scholarships be treated differently as to their method of payment.

The Office of Research and Sponsored Programs (ORSP) will manage the payment process and all questions relating to the process of payments for stipends/scholarships for internally and externally funded projects should be addressed to the Grants Post-Award Administrator.
Graduate Students who receive a 12-month assistantship are not eligible to receive stipend payments.

Graduate Students who receive a 9-month assistantship are eligible to receive stipend payments only in summer following the termination of the assistant for the academic year.

Definitions

- Stipends are defined as receiving payment for performing some type of work or a promise of work from an internally or externally funded project. Stipends in this category will be taxed and payment will be made through payroll. A W2 form will be sent to the student for tax reporting purposes.
- Scholarships are defined as a sum of money or other aid granted to a student, because of merit, need, etc., to pursue his or her studies. Scholarships in this category will be processed through financial aid/student accounting. A 1098T form will be sent to the student for tax reporting purposes.

6. Procedure

Stipend Payment processing for internally and externally sponsored projects

- The Project Director/Principal Investigator has the responsibility of insuring that all paperwork required to process the stipend payment is completed properly and receives all the needed approvals.
- The Project Director/Principal Investigator should contact the Grants Post-Award Administrator.
- The following documents are needed to process a stipend payment:
  a. Stipend Contract
  b. W4 form
  c. Copy of the student’s social security card.
- All completed documents should be forwarded to the Grants Post-Award Administrator for processing.

Scholarship Payment process for externally funded project

- It is the responsibility of the Project Director/Principal Investigator to coordinate scholarship payments with the Student Financial Services and to inform Scholarship Director that the scholarship is available so that it can be advertised.
KEAN UNIVERSITY

OFFICE OF RESEARCH AND SPONSORED PROGRAMS

Policy Name: TIME AND EFFORT REPORTING

Approval Authority: Office of Vice President, Institutional Advancement and Research

Originally Issued: September 12, 2006

Revised/Updated: November 3, 2010

1. Policy Statement

This policy establishes the requirements of and includes the procedures for recording and reporting employee time and effort in accordance with Office of Management and Budget (OMB) Circular A-21 “Principles for Determining Costs Applicable to Grants, Contracts, and Other Agreements with Educational Institutions.” This policy applies to all regular faculty and staff of the University whose compensation is charged in whole or in part to an externally sponsored project of any type (including non-federal sponsors) and/or who provide cost-shared effort to an externally sponsored project.

2. Reason/Purpose for Policy

Effort reporting is a process mandated by the federal government to verify that direct labor charges to federally sponsored agreements are reasonable and reflect actual work performed. In compliance with the federal Cost Accounting Standards, the University’s policy extends the effort reporting requirements to all sponsored agreements. Effort reporting is also required to ensure that indirect charges to federal awards are reasonable.

OMB Circular A-21 includes regulatory requirements for the reporting and certification of faculty effort associated with Federal organized research projects and other activities. Effort directly related to organized research and all other activities must be identified in the University’s effort distribution/reporting process.

Failure to comply with OMB Circular A-21’s effort reporting requirements can result in serious penalties for the individual certifying to effort and/or the University. This can include financial audit disallowances and in some cases criminal charges may be brought against an individual certifying to a falsified effort report. It is therefore incumbent on the University and individual certifiers to maintain and document how individuals spend their time on federally sponsored research.
This document describes the University's policy with regard to effort reporting. Since one component of effort reporting relates to cost-sharing, a companion policy on cost-sharing will be forthcoming shortly.

3. **Policy Applies To**

   This policy applies to all University regular faculty and staff whose compensation is properly chargeable in whole or in part to an externally sponsored project of any type.

4. **Related Documents**

   Payroll Policy

   Human Resource Policy

   Cost Transfer Policy

5. **Contacts**

   A. Office of Research and Sponsored Programs
   B. Vice President, Institutional Advancement and Research

6. **The Policy**

   The University uses the "After the Fact Activity Records" method to meet the OMB Circular A-21 requirements for reporting effort. Under this method, the reporting will reflect the percentage of distribution of the employee's activity.

   The OMB Circular A-21 standards for an "After the Fact Activity Records" system include the following:

   - Activity reports will reflect the distribution of activity expended by employees.
   - The reports will reflect an after the fact reporting of the percentage distribution of activity of employees.
   - An individual's workload will reflect categories of activities expressed as a percentage distribution and must add up to 100% of total effort.
   - The system will provide for modification of an individual's salary or salary distribution, commensurate with any significant (over 5%) changes in the employee's activities.
   - Periodically, a statement will be signed by the employee, project director/principal investigator, or responsible individual, using suitable means of verification that the work was performed, and stating that salaries and wages charged to organized research as direct charges, and to other categories of activities (including instruction/departmental research and administration) are reasonable in relation to the work performed.
• The system will provide for independent internal evaluations to ensure the system’s effectiveness and compliance.

THE UNIVERSITY’S AFTER THE FACT ACTIVITY SYSTEM

The University will comply with the effort reporting requirements through the use of hard copy time and effort reports. In the future, the University will work toward establishing a web-based effort reporting tool, which will streamline the process and promote increased accuracy, accountability, and compliance with the policy.

To implement the policy, time and effort reports are distributed by the Office of Research and Sponsored Programs for each reporting period. The University has elected to provide effort reports three times a year: for the Fall semester, the Spring semester, and the Summer.

The time and effort report details for each employee the accounts from which the employee has been paid on externally sponsored projects. It also includes any mandatory or voluntary committed cost sharing required as a condition of the award. The effort report also includes accounting information for other institutional activities undertaken by the employee.

The effort report must be certified by the employee or an individual who has direct knowledge of the employee’s total effort. In implementing this requirement, the following criteria establish the certification process:

• Faculty members will certify their own effort reports. Other staff paid on a sponsored account will be certified by the project director/principal investigator of that account, or a formally designated responsible certifier who has direct knowledge of the employee’s total effort. Only a dean may formally designate a responsible certifier; for a faculty member, only a department or center director, or a dean or vice president, could be designated as a responsible certifier.

• In the rare case when an individual is not in a position to certify effort (e.g., illness, termination, etc.), the certification may be provided by the formally designated responsible certifier having direct knowledge of an employee’s total effort.

• Only the signatures of either the project director/principal investigator or the formally designated certifier are acceptable. Per signatures, or signature of clerical or secretarial staff are not acceptable.

PROCEDURES AND FORMS USED IN THE CERTIFICATION SYSTEM

The actual effort distribution of faculty should reflect the percentage of actual time spent on the individual’s various activities (see section below on Effort Reporting Categories) expressed as a percentage of total effort, not hours. The total effort may not exceed 100% and should include only those activities for which the individual receives regular compensation from the University, including salaries charged to sponsored agreements. *(NOTE: The total effort does not include additional compensation, for example, for teaching courses outside of the teaching load)*
associated with the regular appointment.) The amount of effort should include the portion of time for which the PD/PI/University has made a mandatory commitment as a condition of receiving the award, even if (s)he receives no direct academic base salary support for the project.

The calculation for faculty effort is based on their ten-month or twelve month regular salary, regardless of payout over ten or twelve months.

Time and Effort Reporting forms (see attached model form) will be distributed three times a year, generally thirty (30) days after the completion of the Fall and Spring semesters and the Summer period. If the percentage efforts entered on the form for the activities listed are the same as, or differ by 5% more or less from, the percentages charged, then the form is signed and returned to the Office of Research and Sponsored Programs. All completed Time and Effort Reporting forms must be returned to the Office of Research and Sponsored Programs within thirty (30) days of the dates that appear at the top of the forms.

OTHER CONSIDERATIONS

Time and effort reports should reflect only the activity for which an individual is regularly compensated by the University. Therefore, external consulting or other outside professional activities should not be considered when, for example, assessing the faculty member’s total effort. OMB Circular A-21 states that professional services “provided outside the institution for non-institutional compensation” are not part of total effort for the purpose of the University’s effort reporting policy.

Additionally, the effort reporting process should not include incidental activities for which the individual receives no additional compensation. For example, a faculty member who edits technical journal for no fee should not include this activity when preparing the institutional effort report.

OMB CIRCULAR A-21 EFFORT REPORTING CATEGORIES

OMB Circular A-21 describes four major categories of effort (organized research, other sponsored activities, instruction/departmental research, administration), but allows effort to be certified in a way that identifies effort relating to Organized Research projects (direct charged and cost shared) separately from all other effort. The University requires, however, that all effort charged to sponsored projects be handled in the same manner. Therefore, the University’s labor distribution process combines all faculty effort into two categories:

- Organized Research/Other Sponsored Activities
- Institutional Activities, which includes all “residual” activities, such as Instruction/Departmental Research and Administration

1. **Organized Research** includes all research and development activities that are separately budgeted and accounted for, including cost sharing on sponsored projects. The category includes:
a. **Sponsored Research**: all research and development activities that are sponsored by Federal and non-Federal agencies and organizations. Includes research training (i.e., activities involving the training of individuals in research techniques) and cost sharing commitments which the Institute has made under organized research agreements.

b. **University Research**: all research and development activities that are separately budgeted and accounted for under an internal application of institutional funds.

c. **Other Sponsored Activities** including programs and projects funded by Federal and non-federal agencies and organizations which involve the performance of work other than Organized Research and Instruction (see below). Examples include community service programs, conferences and symposia, travel, etc.

d. **Cost Sharing**:
   
   1. **Mandatory Effort**: effort required by a sponsor to be included in a proposal as a condition of submission and is mandatory if the proposal is funded.
   
   2. **Voluntary Committed Effort**: effort offered by an institution in a proposal which is not required by the sponsor but becomes mandatory effort if the proposal is funded.

   [NOTE: There is an additional category of cost sharing, voluntary uncommitted effort: effort of by faculty or other researchers that is over and above that which is committed and budgeted for in a proposal and award if funded. This effort differs from mandatory or voluntary committed cost sharing effort, either of which is specifically pledged as part of the proposal submission and award acceptances processes. This effort is absorbed within institutional activities and is not reported under the cost sharing effort reporting.]

2. **Institutional Activities**, which includes the following categories:

   a. **Instruction and Departmental Research** includes the teaching and training activities of the institution and is comprised of the following:

   b. **Instruction**: Teaching and training (except research training) activities whether they are offered for credit toward a degree or on a non-credit basis.

   c. **Sponsored Instruction and Training**: Specific instructional or training activities established by grant, contract, or cooperative agreement.

   d. **Departmental Research**: Research, development, and scholarly activities that are not organized research and, consequently, are not separately budgeted and accounted for.

   e. **Administrative Activities**, including administrative and supporting services that benefit common or joint departmental activities but cannot be directly attributed to instruction, organized research, or sponsored activities. Administrative and support activities benefit instruction and research on an indirect basis and include:

      1. Proposal preparation
      2. Committee work
      3. Hiring and advising of personnel, including undergraduate, graduate students and other researchers
4. Administrative appointments (e.g., Director, Department Chair, etc.)

Differentiating between departmental research (research and development that is not separately budgeted and accounted for) and organized research (research and development that is separately budgeted and accounted for) is often difficult. To help distinguish departmental research from organized research one should first consider the characteristics of organized research activities. For example, organized research normally includes: a defined scope of work; a proposal and award process that normally includes a technical review, funding, notification; a line item budget; a project deliverable (progress reports, final report, etc); a defined start date and end date; and, some type of financial reporting. These events and requirements do not take place for departmental research activities.
This section contains University documents and forms that may be required to process or administer sponsored projects.

Since the time of printing some of these documents may have been updated. Please refer to the ORSP web site at http://orsp.kean.edu, for current documents and forms.

List of Forms:

1. ASSURANCE - Assurance Certification Form
2. CONCEPT - Grant Concept Form
3. CONFLICT OF INTEREST – Financial Conflict of Interest Disclosure Form
4. DATATEL - Access Request Form
5. INVENTION – Disclosure & Record of Invention
6. ORDER FORM – For Internal Awards
7. RESEARCH ACTIVITY REPORT – Internal Research Awards
8. RESEARCH SUPPORT - Research/Scholarly Support Request Form
9. STUDENT STIPENDS CONTRACT
10. TRAVEL SUPPORT - Travel Support Request Form
11. W-4
12. W-9
This form must be completed for external grant applications and progress report submissions. The completed form must be provided to the Office of Research and Sponsored Programs BEFORE an external grant application or progress report can be signed for a paper or electronic submission. (Multiple copies of this form may be submitted with the application or report if necessary or more convenient.)

This form is NOT to be submitted to the sponsoring agency or any external institution or entity.

**Principal Investigator/Project Director Name:**

**Department/School:**

**Phone:**  
**Email:**

**Funding Agency:**

**Project Title:**

<table>
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<th>_____Application / Project Amount:</th>
<th>_____Progress Report / Award #:</th>
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</table>

**Human Subjects:** Yes □ No □  
**Animals:** Yes □ No □

**Need for Commitment of University Cost Share or Match:** Yes □ No □

**Released Time:** Yes □ No □

Indicate by check marks that you agree to the following statements

- [ ] The information submitted within this application is true, complete and accurate to the best of my knowledge.
- [ ] I understand that any false, fictitious statements and claims may subject me to criminal, civil, or administrative penalties.
- [ ] I agree to accept responsibility for the scientific conduct of the project and to provide the required progress reports if a grant is awarded as a result of the application.
- [ ] I have received a copy of the University's Intellectual Property Policy and acknowledge my obligations under that policy.
- [ ] I have received a copy of the University's Financial Conflict of Interest Policy and have completed and attached the required Financial Disclosure Form.
- [ ] I understand that the University will rely upon the above representations

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**Signature of Principal Investigator/Project Director**

**Date**

**Signature of co-Principal Investigator**

**Date**

**Signature of co-Principal Investigator**

**Date**

Please return the original signed and completed form to: Office of Research and Sponsored Programs, Townsend 130
GRANT CONCEPT FORM

This form should be prepared by the prospective director/PI and sent, along with the project abstract, as an e-mail attachment to the Office of Research & Sponsored Programs orsp@kean.edu with the subject heading "Grant Concept Form". Please ask your dean to sign his/her approval for this grant concept below and submit a signed hard copy to Office of Research and Sponsored Programs, East Campus 205B.

Before completing, please read the information regarding the types of external funding requests that will be supported by the University, which is provided at the end of this form, and indicate by checkmark all that apply to your project.

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<th>PRINCIPAL INVESTIGATOR</th>
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<tr>
<td>Name of prospective director/PI:</td>
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<td>Department (DO NOT ABBREVIATE):</td>
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<td>E-mail: ___________________ Campus Phone: ________________</td>
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<td>Campus mailing address: ________________________________________</td>
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________________________   Date: ___________________
(Signature of PI)
________________________   Date: ___________________
(Signature of Dean)

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<tr>
<th>PROPOSED PROPOSAL INFORMATION</th>
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<tr>
<td>Title of proposed project:</td>
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<td>Proposed start date of project:</td>
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<td>Length of project:</td>
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<td>Identified funding sources (e.g. NSF):</td>
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<td>Estimated funding needed (for duration of project):</td>
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<th>ABSTRACT</th>
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<td>Attach an abstract about the proposed project, describing its goals and expected outcomes in one page or less. Address both the intellectual merit and the broader impact of your project.</td>
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Grant Proposal Requests Supported by Kean University

Institution Goals
(indicate by check mark all that apply to your project)

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 to advance one or more of the following institutional goals:

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

Categories of Funding
(indicate by check mark all that apply to your project)

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.

1. ____ Capital & Laboratory Equipment (e.g., science, health, technology; performing arts)
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., professional development)
5. ____ Community-based Programming (e.g., social services, K-12 outreach)
6. ____ High-visibility Centers, Institutes & Partnerships (e.g., Professional Impact NJ, NJ Center for Science, Technology and Mathematics Education)
INVESTIGATOR FINANCIAL & OTHER PERSONAL INTERESTS DISCLOSURE FORM – Part 1

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<td>PRINCIPAL INVESTIGATOR:</td>
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<td>PHONE:</td>
<td>FUNDING AGENCY OR SPONSOR:</td>
<td>PROJECT AMOUNT:</td>
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<td>RESEARCH</td>
<td>EDUCATION/TRAINING</td>
<td>SERVICE</td>
<td>OTHER</td>
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NOTHING TO DISCLOSE: CHECK "NO" COLUMN BELOW

I, my spouse, domestic partner, children, parents, and siblings who reside in the same household do not have any financial or other personal interests (as defined on the reverse side) that could be affected by this research or training activity.

DISCLOSURE TO BE MADE: CHECK "YES" COLUMN BELOW

I and/or my spouse, domestic partner, children, parents, and siblings who reside in the same household DO/DOES have financial or other personal interests (as defined on the reverse side) that could be affected by this research or training activity, as itemized on Part 2 of this form.

I certify that the information on this form is correct; that I have read and understood the Kean University Investigator Significant Financial Disclosure Policy; that, to the best of my knowledge, all required disclosure of financial and other personal interests has been made herein; that I will complete a Disclosure Form on an annual basis during the duration of the research, or more frequently as new interests are obtained or if my situation with respect to potential conflict of interest otherwise changes since my original disclosure, and submit it to the office of Research & Sponsored Programs; that I will comply with any conditions or restrictions imposed by Kean to manage, reduce or eliminate conflicts of interest caused by my interests.

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<th>NAME (PRINT &amp; SIGN) (see definition of &quot;Investigator&quot; on the reverse side)</th>
<th>NO</th>
<th>YES</th>
<th>DATE</th>
<th>NAME (PRINT &amp; SIGN) (see definition of &quot;Investigator&quot; on the reverse side)</th>
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USE ADDITIONAL FORM(S) FOR ADDITIONAL INVESTIGATORS.

☐ This project involves a contract, subcontract or collaboration with an outside institution or group.

☐ Attached is a written assurance from an appropriate official of this outside entity that individuals from the outside entity who will participate in this project comply with the outside entity's investigator conflict-of-interest policy and that such policy meets the requirements of the PHS (42 CFR Part 50, Subpart F).

☐ In the event the outside entity has no investigator conflict-of-interest policy, attached are a written assurance from an appropriate official of this outside entity that individuals from the outside entity who will participate in this project comply with Kean University's Investigator Significant Financial Interest Disclosure policy, plus all Kean Disclosure Forms completed by these individuals.

Signature of Dean (or VPAA if Dean is PI or co-PI) ___________________________ Date ________________

Signature of VPAA (if project involves more than one college) ______________________ Date ________________

(continued)
INSTRUCTIONS AND DEFINITIONS

EACH investigator must disclose all significant financial interests that would reasonably appear to be directly and significantly affected by the research or educational activity proposed.

EACH "investigator," as defined below, on a research or training must complete his/her section of the Disclosure Form which must then be submitted with the proposal to the Office of Research & Sponsored Programs, and, when human subjects are involved, to the IRB, and, when animal models are involved, to the IACUC. This requirement pertains to both funded and unfunded research or training activity.

The term "investigator" means:

- the principal investigator,
- co-principal investigators, co-investigators, and
- any other University personnel who, in the course of their association with the University are or will be responsible for the design, conduct, administration, collaboration, analysis and/or reporting of either research or training activities funded or proposed for funding by any sponsor, or of unsponsored research or training activities. These persons may include faculty, non-faculty employees, research associates, technicians, consultants, graduate and other students.

(NOTE: If one or more such individuals had not been named at the time of proposal submission, a form or forms must be subsequently completed by the(se) individual(s) and submitted by the principal investigator to the Office of Research & Sponsored Programs.)

The term "interest" means any financial or other personal involvement of the investigator, his or her spouse, domestic partner, children, parent, or siblings who reside in the same household that could be affected by the investigator's research, including, but not limited to:

- salary, consulting fees; honoraria or other payment for services (excluding salary or other remuneration from the University);
- financial interests in business enterprises or entities if the value of such interest exceeds $5,000 (or $5,000 per annum is such interest represents salary, fees, or other continuing payments) or represents any ownership interest for any one enterprise or entity when aggregated for the investigator and the investigator's spouse and dependent children;
- equity interests such as stock, stock options or other ownership rights (excluding interests of any amount in publicly traded, diversified mutual funds, pension funds, or other institutional investment funds over which the faculty member does not exercise control);
- intellectual property rights such as patents and copyrights; and royalties from such rights (excluding royalties from the University);
- contracts, licensing and other agreements;
- employment and services, relationships or positions, even if uncompensated. Examples include but are not limited to Director, Trustee, Corporate Officer, and Advisory Board member.

If there is a financial or other personal interest requiring disclosure, provide on Part 2 of this form all relevant details about the relationship of the interest to the project, and sufficient information to determine if a conflict of interest exists, and how such a conflict of interest might be managed, reduced or eliminated. Use additional pages if needed. Be as specific as possible.
INVESTIGATOR FINANCIAL & OTHER PERSONAL INTERESTS DISCLOSURE FORM – PART 2

PROJECT TITLE: 

PRINCIPAL INVESTIGATOR: 

DEPT: 

PHONE: 

FUNDING AGENCY OR SPONSOR: 

PROJECT AMOUNT: 

START DATE: 

TYPE:  

☐ RESEARCH  ☐ EDUCATION/TRAINING  ☐ SERVICE  ☐ OTHER 

NAME OF "INVESTIGATOR" MAKING DISCLOSURE (see definition of "investigator" on the reverse side): 

DISCLOSURE TO BE MADE: (I and/or my spouse, domestic partner, children, parents, and siblings who reside in the same household DO/DOES HAVE financial or other personal interests (as defined on the reverse side) that could be affected by this research or training activity, as itemized below.

<table>
<thead>
<tr>
<th>NATURE OF INTEREST</th>
<th>VALUE (DOLLAR AMOUNT)</th>
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<tbody>
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<td>INCOME</td>
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<td>CONSULTING FEES</td>
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<td>LECTURE FEES</td>
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<td>OTHER PAYMENT FOR EMPLOYMENT OR SERVICES</td>
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<td>OTHER</td>
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<tr>
<td>EQUITY</td>
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<td>STOCK, STOCK OPTIONS, WARRANTS (NUMBER OF SHARES: __________)</td>
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<tr>
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<tr>
<td>INTELLECTUAL PROPERTY</td>
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<td>LICENSING AND OTHER AGREEMENTS</td>
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<td>CONTRACTS</td>
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<td>BOARD OF DIRECTORS OR TRUSTEES</td>
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<td>ADVISORY BOARD</td>
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<td>OTHER</td>
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I certify that the above information is correct; that I have read and understood the KEAN Policy on Investigator Conflict of Interest; that, to the best of my knowledge, disclosure of all required financial and other personal interests has been made herein; that I will complete a Disclosure Form on an annual basis during the duration of the research or more frequently as new interests are obtained or if my situation with respect to potential conflict of interest otherwise changes since my original disclosure, and submit it to the Research Dean or Vice President; that I will comply with any conditions or restrictions imposed by KEAN to manage, reduce or eliminate conflicts of interest caused by my interests.

Signature of Investigator Making Disclosure ___________________________ Date ____________

Signature of Department Chair or School Director ___________________________ Date ____________

Signature of Dean (or VPAA if interested party is a Dean) ___________________________ Date ____________
KEAN UNIVERSITY
REQUEST FOR DATATEL USER ACCOUNT
DISTRIBUTED FINANCIALS

PLEASE PRINT ALL INFORMATION: (* Indicated REQUIRED Information)

*NAME: ____________________________ *TEL.EXT: ____________
   (Last)   (First)   (M.I.)   (Maiden)

*Faculty / Staff / Student ID#: ____________________________ *DEPARTMENT: ____________________________

* KEAN E-MAIL ADDRESS: ______________________________________

*EMPLOYMENT STATUS: ☐ STAFF ☐ FACULTY
   ☐ ADJUNCT ☐ ACADEMIC SPECIALIST
   ☐ †OTHER (specify): ____________________________ (Exp. Date: ____________)
   († Temporary Staff must receive approval by Human Resources and sign this form.)

*COLLEAGUE FINANCIALS ACCESS - Check all that apply:
   ☐ Requisition Maintenance (CF01)   ☐ Requisition/Purchase Order Inquiries (CF04)
   ☐ Receiving (CF02)       ☐ Budget Inquiries (CF05)
   ☐ Approvals (CF03)

*COST CENTERS: ____________________________

________________________________________________________________________
________________________________________________________________________
________________________________________________________________________

*APPROVALS:

DEPARTMENT HEAD: ____________________________ DATE: ____________

FINANCIAL SERVICES: ____________________________ DATE: ____________

COLLEAGUE FIXED ASSETS: ☐ Fixed Assets -- *Security Class: ____________________________

*APPROVALS:

DEPARTMENT HEAD: ____________________________ DATE: ____________

MODULE ADMINISTRATOR: ____________________________ DATE: ____________

IN SIGNING BELOW, I CERTIFY THAT I HAVE READ AND AGREE TO ABIDE BY THE KEAN UNIVERSITY POLICIES ON
ADMINISTRATIVE COMPUTING SECURITY AND ON THE CONFIDENTIALITY OF RECORDS. I WILL UTILIZE COMPUTERIZED
INFORMATION ONLY AS NECESSARY IN THE FULFILLMENT OF MY JOB RESPONSIBILITIES, AND I WILL PROTECT THE
CONFIDENTIALITY OF THAT INFORMATION. I AGREE THAT I WILL MAINTAIN THE PRIVACY OF MY USER ID AND PASSWORDS
AND THAT I WILL NOT ENABLE ANOTHER PERSON TO ACCESS INFORMATION USING MY ACCOUNT.

* EMPLOYEE SIGNATURE: ____________________________ DATE: ____________

OCIS USE ONLY

USER ID: ____________________________ INITIATOR: ____________________________

☐ New Colleague Account ☐ Colleague Security Updated

UNIX COMPLETED BY: ____________________________ DATE: ____________

COLLEAGUE COMPLETED BY: ____________________________ DATE: ____________

RELEASED TO: ____________________________ DATE: ____________

Notification: ☐ E-mail, Date Sent: ____________ ☐ Voice Message Left, Date: ____________

Revised: June 10, 2008
MODULE ADMINISTRATOR LIST
(For building locations, please refer to the “Campus Map” on the Kean University home page.)

Distributed Financials System
(PLEASE OBTAIN SEPARATE APPROVAL SIGNATURES FOR EACH MODULE YOU ARE REQUESTING ACCESS.)

Distributed Financials (3rd Floor Administration Bldg.)
- Dennis Oblack
- Sharon Pezarras
- Edgar Evans
- Patricia Powell

Fixed Assets (Maintenance Bldg. M-134)
- George Thorn
- Sharon Pezarras (3rd Floor Administration Bldg.)

Human Resources (Administration Bldg. 2nd Floor)
- Faruque Chowdhury
INSTRUCTIONS AND DEFINITIONS

EACH investigator must disclose all significant financial interests that would reasonably appear to be directly and significantly affected by the research or educational activity proposed.

EACH "investigator," as defined below, on a research or training must complete his/her section of the Disclosure Form which must then be submitted with the proposal to the Office of Research & Sponsored Programs, and, when human subjects are involved, to the IRB, and, when animal models are involved, to the IACUC. This requirement pertains to both funded and unfunded research or training activity.

The term "investigator" means:

- the principal investigator,
- co-principal investigators, co-investigators, and
- any other University personnel who, in the course of their association with the University are or will be responsible for the design, conduct, administration, collaboration, analysis and/or reporting of either research or training activities funded or proposed for funding by any sponsor, or of unsponsored research or training activities. These persons may include faculty, non-faculty employees, research associates, technicians, consultants, graduate and other students.

(NOTE: If one or more such individuals had not been named at the time of proposal submission, a form or forms must be subsequently completed by the(se) individual(s) and submitted by the principal investigator to the Office of Research & Sponsored Programs.)

The term "interest" means any financial or other personal involvement of the investigator, his or her spouse, domestic partner, children, parent, or siblings who reside in the same household that could be affected by the investigator's research, including, but not limited to:

- salary, consulting fees; honoraria or other payment for services (excluding salary or other remuneration from the University);
- financial interests in business enterprises or entities if the value of such interest exceeds $5,000 (or $5,000 per annum is such interest represents salary, fees, or other continuing payments) or represents any ownership interest for any one enterprise or entity when aggregated for the investigator and the investigator's spouse and dependent children;
- equity interests such as stock, stock options or other ownership rights (excluding interests of any amount in publicly traded, diversified mutual funds, pension funds, or other institutional investment funds over which the faculty member does not exercise control);
- intellectual property rights such as patents and copyrights; and royalties from such rights (excluding royalties from the University);
- contracts, licensing and other agreements;
- employment and services, relationships or positions, even if uncompensated. Examples include but are not limited to Director, Trustee, Corporate Officer, and Advisory Board member.

If there is a financial or other personal interest requiring disclosure, provide on Part 2 of this form all relevant details about the relationship of the interest to the project, and sufficient information to determine if a conflict of interest exists, and how such a conflict of interest might be managed, reduced or eliminated. Use additional pages if needed. Be as specific as possible.
DISCLOSURE AND RECORD OF INVENTION

The Disclosure and Record of Invention is an important legal document. Please take care in its preparation. Do not withhold any key elements of the invention. A complete description is essential to an enforceable patent. Submission of the Disclosure and Record of Invention Form is not the same as the filing of a patent application. Public disclosure, in any manner, before the date a formal patent application is filed automatically destroys patent rights in most foreign countries and starts a one-year clock running on the right to file for patent protection in the United States. NOTE: Distribution of copies of a completed form to third parties is expressly prohibited. Proprietary University information is contained in any completed form.

1. Title of the Invention

2. Names, addresses, and signatures of inventors (attach additional page if more than two inventors)

<table>
<thead>
<tr>
<th>Print Name</th>
<th>Print Name</th>
</tr>
</thead>
<tbody>
<tr>
<td>Signature</td>
<td>Signature</td>
</tr>
<tr>
<td>Department or School</td>
<td>Department or School</td>
</tr>
<tr>
<td>Building and Room</td>
<td>Building and Room</td>
</tr>
<tr>
<td>Address (if non-Kean employee)</td>
<td>Address (if non-Kean employee)</td>
</tr>
<tr>
<td>Telephone</td>
<td>Telephone</td>
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<tr>
<td>Email</td>
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</tbody>
</table>

3. When did you first conceive this invention?

4. What is the date of the first written record (notebook, letter, drawing, etc.) of this invention? Identify the document/s involved and location of each.

5. When did you first successfully test this invention?
6. Description of the Invention  
(Use additional pages if necessary. Sketches, photos, laboratory notebooks, and any other pertinent supporting documents should be attached to this disclosure form.)

   a. Purpose

   b. Description

   c. Use

   d. Novel features

   e. Advantages

   f. Immediate or future applications of the invention

7. Identify the closest existing patents or publications to this invention of which you are aware
8. Planned or prior publication (of ANY kind) or oral presentation or disclosure of this invention, Indicate when, under what circumstances (orally, in writing, by actual use or demonstration), and to whom.

9. Identify contribution of any organization or sponsor outside of Kean University to the invention (staff, money, equipment, facilities, materials). If grant funding was involved, identify the grant tile, source, and value of contribution.

10. Did you use any biological materials provided by a third party in the course or performance of this research? _____ Yes _____ No

   If yes, please describe:

11. Potential licensees or companies to be approached:
12. Technically Qualified Witnesses (two required)

I have read and understand this invention disclosure:

a. ____________________________________  _______________________
   Signature      Date
   __________________________________________________________________
   Print Name

b. ____________________________________  _______________________
   Signature      Date
   __________________________________________________________________
   Print Name

Submit completed form with ORIGINAL SIGNATURES and all supporting documents directly to:

Vice President, Institutional Advancement & Research
Kean University
1000 Morris Avenue
Townsend Hall, Room 129
Union, NJ  07083

If you do not receive an acknowledgement of receipt within 7 days, please call the Office of the Vice President of Institutional Advancement & Research at 908-737-3460
**INTERNAL AWARD ORDER FORM**

Please Check Appropriate Award Category: RTR ☐ UFRI ☐ SPF ☐ URC ☐ PRI ☐ PSC ☐

<table>
<thead>
<tr>
<th>Awardee Name</th>
<th>Department</th>
</tr>
</thead>
<tbody>
<tr>
<td>Phone:</td>
<td>Email:</td>
</tr>
</tbody>
</table>

Title of Proposal: ________________________________

Period of Award: ________________________________

Payee (Vendor):

Street Address: ________________________________

City, State, zip code: __________________________

Phone: ______________ Fax: ______________

Below please list services rendered or items for purchase. Attach appropriate receipts, price quotes or vendor information as necessary.

<table>
<thead>
<tr>
<th>Item No.</th>
<th>Item Description</th>
<th>Quantity</th>
<th>Amount</th>
</tr>
</thead>
<tbody>
<tr>
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</table>

Total

Signature of Awardee: ________________________________ Date: __________ format MM/DD/YYYY

*SHADED SECTIONS TO BE COMPLETED BY ORSP*

ORSP Approval: ________________________________ Date: __________ format MM/DD/YYYY

Cost Center: ________________________________
# Research Activity Report

Please check appropriate award category:

- [ ] RTR
- [ ] UFRI
- [ ] FFRA
- [ ] SPF
- [ ] PSC
- [ ] PRI

Choose the appropriate program:

- [ ] Monthly Report
- [ ] Quarterly Report
- [ ] Mid-year report
- [ ] Final Report

<table>
<thead>
<tr>
<th>Year:</th>
<th>Today's Date:</th>
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</tr>
</thead>
<tbody>
<tr>
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</table>

Name of Faculty Researcher: [ ]

Name of Student Researcher(s) (if applicable): [ ]

Name of the Project: [ ]

What were the goals of the project?: [ ]

What results did you achieve (be specific)? [ ]

How many credits of the reassigned time did you use toward this project?: [ ]

List (specify) any presentations or publications that have resulted from the work or that you plan to submit/complete in conjunction with this project: [ ]

What is the next step to carry out the project?: [ ]
<table>
<thead>
<tr>
<th>Describe the nature of the student-faculty interaction (if applicable)</th>
</tr>
</thead>
</table>

<table>
<thead>
<tr>
<th>Please specify external funding plan (include funding source and date of submission) (For PSC and FFRA awardees only)</th>
</tr>
</thead>
</table>
# Kean University
## Request for Research/Scholarly Support

### Cover Sheet

<table>
<thead>
<tr>
<th>Title of Proposal</th>
<th></th>
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</thead>
<tbody>
<tr>
<td>Brief Description (50 words)</td>
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</tr>
<tr>
<td>Category of Funding Requested</td>
<td></td>
</tr>
<tr>
<td>☐ Equipment</td>
<td>☐ Supplies</td>
</tr>
<tr>
<td>☐ Software</td>
<td>☐ Other</td>
</tr>
<tr>
<td>Total Amount Requested</td>
<td></td>
</tr>
<tr>
<td>Date Needed</td>
<td></td>
</tr>
<tr>
<td>Primary Contact</td>
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<tr>
<td>Department</td>
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<tr>
<td>Campus Address</td>
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<tr>
<td>Telephone Extension</td>
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<tr>
<td>Email</td>
<td></td>
</tr>
</tbody>
</table>

Signature: ___________________________________________ Date: ________________

**Office Use Only**

Research Support Package review: ______________________Date: ________________

ORSP

Approved: __________________________________ Date: ________________

Vice President Institutional Advancement & Research
Proposal

Describe the nature of the research or scholarly support requested, the reason for the request, and the desired outcome if support is granted. Limit your proposal to a maximum of two pages.

Federal Indirect costs Research and scholarship support funding may be requested to support early research with necessary supplies that are beyond normal department budgets; to strengthen external proposals by acquiring basic research equipment considered necessary by funders; and, to acquire software or licenses necessary for research and scholarship activities.
Kean University
Request for Research/Scholarly Support

Budget

Describe the items being requested in detail and the amount requested for each item. Indicate how each amount was estimated.

**Equipment (individual items over $500)**

<table>
<thead>
<tr>
<th>Description</th>
<th>Amount Requested</th>
<th>Estimate based on (e.g., list price from catalog, quote from vendor, other)</th>
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<tbody>
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**Supplies**

<table>
<thead>
<tr>
<th>Description</th>
<th>Amount Requested</th>
<th>Estimate based on (e.g., list price from catalog, quote from vendor, other)</th>
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</table>

**Software**

<table>
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<tr>
<th>Description</th>
<th>Amount Requested</th>
<th>Estimate based on (e.g., list price from catalog, quote from vendor, other)</th>
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**Other**

<table>
<thead>
<tr>
<th>Description</th>
<th>Amount Requested</th>
<th>Show calculation if hourly rate was used for estimate</th>
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**TOTAL AMOUNT REQUESTED** $ ___________
RESEARCH STIPEND CONTRACT

PAYEE INFORMATION

Date: 
Kean ID: 
Student Name: 
Street Address: 
City: State: Zip: 

DESCRIPTION

Payment of stipend for research performed on the project entitled ____________________ for the __________________________ semester. 

PAYMENT DETAILS

Total Stipend amount to be paid: $ 
Amount to be paid per pay period: $ 
Pay Period in which to begin payments (per attached schedule): 

FUNDING INFORMATION

Fund #: Cost Center #: Object Code #: 

APPROVALS

1. PD/PI: Date: 
Print Name: Date: 

2. Dean: Date: 
Print Name: Date: 

3. ORSP: Date: 
Print Name: Date: 

Kean University • 1000 Morris Avenue, Union, New Jersey 07083-0411 • 908-737-KEAN(5326) • www.kean.edu
# Research Stipend Contract

<table>
<thead>
<tr>
<th>PAY PERIOD</th>
<th>PAY DATE</th>
<th>STIPENDS DUE IN PAYROLL</th>
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</thead>
<tbody>
<tr>
<td>1</td>
<td>1/14/2011</td>
<td>1/3/2011</td>
</tr>
<tr>
<td>2</td>
<td>1/28/2011</td>
<td>1/18/2011</td>
</tr>
<tr>
<td>3</td>
<td>2/11/2011</td>
<td>1/31/2011</td>
</tr>
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<td>6/20/2011</td>
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<td>17</td>
<td>8/26/2011</td>
<td>8/15/2011</td>
</tr>
<tr>
<td>20</td>
<td>10/7/2011</td>
<td>9/26/2011</td>
</tr>
<tr>
<td>21</td>
<td>10/21/2011</td>
<td>10/11/2011</td>
</tr>
<tr>
<td>23</td>
<td>11/18/2011</td>
<td>11/7/2011</td>
</tr>
<tr>
<td>26</td>
<td>12/30/2011</td>
<td>12/19/2011</td>
</tr>
</tbody>
</table>
## Kean University
### Request for Travel Support

## Cover Sheet

<table>
<thead>
<tr>
<th>Event</th>
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</thead>
<tbody>
<tr>
<td>Location (City, State, Country)</td>
<td></td>
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<tr>
<td>Brief Description (50 words)</td>
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</tr>
<tr>
<td>Total Amount Requested</td>
<td></td>
</tr>
<tr>
<td>Date Needed</td>
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<tr>
<td>Primary Contact</td>
<td></td>
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<tr>
<td>Department</td>
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<tr>
<td>Campus Address</td>
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<td>Telephone Extension</td>
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<td>Email</td>
<td></td>
</tr>
</tbody>
</table>

Signature: ____________________________________________ Date: __________________ |

### Office Use Only

| Travel Support Package review: | Date: __________________ |
| ORSP | |
| Approved: | Date: __________________ |
| Vice President Institutional Advancement & Research | |
Travel Request

Describe the reason for the travel and how it relates to your research. Maximum one page.

Travel support funding may be requested for conference travel if you or your students are presenting at the conference; for professional meetings if you are your students are presenting or if you are an active committee member; to support field travel for data gathering necessary for research or publication; or, for training/professional development in support of your research activities or to improve your ability to secure external funding.
Travel Request

Describe the items being requested in detail (attendance fees, transportation, hotel, meals, etc.) and the amount requested for each item. Indicate how each amount was estimated.

1. Name: ___________________________ Department: ___________________________
   Faculty _____ Staff _____ Student _____ Other (describe) ______________________________

<table>
<thead>
<tr>
<th>Description</th>
<th>Amount Requested</th>
<th>Estimate based on</th>
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</table>

2. Name: ___________________________ Department: ___________________________
   Faculty _____ Staff _____ Student _____ Other (describe) ______________________________

<table>
<thead>
<tr>
<th>Description</th>
<th>Amount Requested</th>
<th>Estimate based on</th>
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</tr>
</tbody>
</table>

3. Name: ___________________________ Department: ___________________________
   Faculty _____ Staff _____ Student _____ Other (describe) ______________________________

<table>
<thead>
<tr>
<th>Description</th>
<th>Amount Requested</th>
<th>Estimate based on</th>
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</tr>
</tbody>
</table>

TOTAL AMOUNT REQUESTED $ __________
Form W-4 (2012)

Purpose. Complete Form W-4 so that your employer can withhold the correct federal income tax from your pay. Consider completing a new Form W-4 each year and when your personal or financial situation changes.

Exemption from withholding. If you are exempt, complete only lines 1, 2, 3, 4, and 7 and sign the form to validate it. Your exemption for 2012 expires February 18, 2013. See Pub. 505, Tax Withholding and Estimated Tax.

Note. If another person can claim you as a dependent on his or her tax return, you cannot claim exemption from withholding if your income exceeds $950 and includes more than $300 of unearned income (for example, interest and dividends).

Basic instructions. If you are not exempt, complete the Personal Allowances Worksheet below. The worksheets on page 2 further adjust your withholding allowances based on itemized deductions, certain credits, adjustments to income, or two-earners/multiple jobs situations.

Personal Allowances Worksheet (Keep for your records.)

A Enter “1” for yourself if no one else can claim you as a dependent.

B Enter “1” if:
• You are married, have only one job, and your spouse does not work; or
• You are single and have only one job; or
• Your wages from a second job or your spouse’s wages (or the total of both) are $1,500 or less.

C Enter “1” for your spouse. But, you may choose to enter “0-” if you are married and have either a working spouse or more than one job. (Entering “0-” may help you avoid having too little tax withheld.)

D Enter number of dependents (other than your spouse or yourself) you will claim on your tax return.

E Enter “1” if you will file as head of household on your tax return (see conditions under Head of household above).

F Enter “1” if you have at least $1,900 of child or dependent care expenses for which you plan to claim a credit.

G Child Tax Credit (including additional child tax credit). See Pub. 972, Child Tax Credit, for more information.

H For accuracy, complete all worksheets that apply.

W-4

Employee’s Withholding Allowance Certificate

Whether you are entitled to claim a certain number of allowances or exemption from withholding is subject to review by the IRS. Your employer may be required to send a copy of this form to the IRS.

1 Your first name and middle initial
2 Your social security number

3 Single Married Married, but withheld at higher Single rate.
4 If your last name differs from that shown on your social security card, check here. You must call 1-800-772-1213 for a replacement card.

5 Total number of allowances you are claiming (from line H above or from the applicable worksheet on page 2)

6 Additional amount, if any, you want withheld from each paycheck

7 I claim exemption from withholding for 2012, and I certify that I meet both of the following conditions for exemption.
• Last year I had a right to a refund of all federal income tax withheld because I had no tax liability, and
• This year I expect a refund of all federal income tax withheld because I expect to have no tax liability.

Employee’s signature

Date

For Privacy Act and Paperwork Reduction Act Notice, see page 2.
### Deductions and Adjustments Worksheet

**Note.** Use this worksheet only if you plan to itemize deductions or claim certain credits or adjustments to income.

1. Enter an estimate of your 2012 itemized deductions. These include qualifying home mortgage interest, charitable contributions, state and local taxes, medical expenses in excess of 7.5% of your income, and miscellaneous deductions.

   $11,900 if married filing jointly or qualifying widow(er)

2. Enter: $8,700 if head of household

3. Subtract line 2 from line 1. If zero or less, enter "-0-"

4. Enter an estimate of your 2012 adjustments to income and any additional standard deduction (see Pub. 505).

5. Add lines 3 and 4 and enter the total. (Include any amount for credits from the Converting Credits to Withholding Allowances for 2012 Form W-4 worksheet in Pub. 505.)

6. Enter an estimate of your 2012 nonwage income (such as dividends or interest)

7. Subtract line 6 from line 5. If zero or less, enter "-0-"

8. Divide the amount on line 7 by $3,800 and enter the result here. Drop any fraction.

9. Enter the number from the Personal Allowances Worksheet, line H, page 1.

10. Add lines 8 and 9 and enter the total here. If you plan to use the Two-Earners/Multiple Jobs Worksheet, also enter this total on line 1 below. Otherwise, stop here and enter this total on Form W-4, line 5, page 1.

### Two-Earners/Multiple Jobs Worksheet

**Note.** Use this worksheet only if the instructions under line H on page 1 direct you here.

1. Enter the number from line H, page 1 (or from line 10 above if you used the Deductions and Adjustments Worksheet)

2. Find the number in Table 1 below that applies to the LOWEST paying job and enter it here. However, if you are married filing jointly and wages from the highest paying job are $65,000 or less, do not enter more than "3"

3. If line 1 is more than or equal to line 2, subtract line 2 from line 1. Enter the result here (if zero, enter "-0-"

4. Enter the number from line 2 of this worksheet

5. Enter the number from line 1 of this worksheet

6. Subtract line 5 from line 4

7. Find the amount in Table 2 below that applies to the HIGHEST paying job and enter it here

8. Multiply line 7 by line 6 and enter the result here. This is the additional annual withholding needed.

9. Divide line 8 by the number of pay periods remaining in 2012. For example, divide by 26 if you are paid every two weeks and you complete this form in December 2011. Enter the result here and on Form W-4, line 6, page 1. This is the additional amount to be withheld from each paycheck.

#### Table 1

<table>
<thead>
<tr>
<th>Married Filing Jointly</th>
<th>All Others</th>
</tr>
</thead>
<tbody>
<tr>
<td>If wages from LOWEST paying job are—</td>
<td>Enter on line 2 above</td>
</tr>
<tr>
<td>$0 - $5,000</td>
<td>0</td>
</tr>
<tr>
<td>5,001 - 12,000</td>
<td>1</td>
</tr>
<tr>
<td>12,001 - 22,000</td>
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<tr>
<td>22,001 - 25,000</td>
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<td>48,001 - 55,000</td>
<td>7</td>
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<td>55,001 - 65,000</td>
<td>8</td>
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<tr>
<td>65,001 - 72,000</td>
<td>9</td>
</tr>
<tr>
<td>72,001 - 85,000</td>
<td>10</td>
</tr>
<tr>
<td>85,001 - 97,000</td>
<td>11</td>
</tr>
<tr>
<td>97,001 - 110,000</td>
<td>12</td>
</tr>
<tr>
<td>110,001 - 120,000</td>
<td>13</td>
</tr>
<tr>
<td>120,001 - 135,000</td>
<td>14</td>
</tr>
<tr>
<td>135,001 and over</td>
<td>15</td>
</tr>
</tbody>
</table>

#### Table 2

<table>
<thead>
<tr>
<th>Married Filing Jointly</th>
<th>All Others</th>
</tr>
</thead>
<tbody>
<tr>
<td>If wages from HIGHEST paying job are—</td>
<td>Enter on line 7 above</td>
</tr>
<tr>
<td>$0 - $35,000</td>
<td>0</td>
</tr>
<tr>
<td>35,001 - 90,000</td>
<td>1</td>
</tr>
<tr>
<td>90,001 - 170,000</td>
<td>2</td>
</tr>
<tr>
<td>10,060</td>
<td>2</td>
</tr>
<tr>
<td>3,130</td>
<td>3</td>
</tr>
<tr>
<td>$750</td>
<td>4</td>
</tr>
<tr>
<td>1,250</td>
<td>4</td>
</tr>
<tr>
<td>3,750</td>
<td>4</td>
</tr>
<tr>
<td>1,330</td>
<td>4</td>
</tr>
</tbody>
</table>

**Privacy Act and Paperwork Reduction Act Notice.** We ask for the information on this form to carry out the Internal Revenue laws of the United States. Internal Revenue Code sections 3402(f)(2) and 6109 and their regulations require you to provide this information; your employer uses it to determine your federal income tax withholding. Failure to provide a properly completed form will result in your being treated as a single person who claims no withholding allowances; providing fraudulent information may subject you to penalties. Routine uses of this information include giving it to the Department of Justice for civil and criminal litigation; to cities, states, the District of Columbia, and U.S. commonwealths and possessions for use in administering their tax laws; and to the Department of Health and Human Services for use in the National Directory of New Hires. We may also disclose this information to other countries under a tax treaty, to federal and state agencies to enforce federal nondrat criminal laws, or to federal law enforcement and intelligence agencies to combat terrorism.

You are not required to provide the information requested on a form that is subject to the Paperwork Reduction Act unless the form displays a valid OMB control number. Books or records relating to a form or its instructions must be retained as long as their contents may become material in the administration of any Internal Revenue law. Generally, tax returns and return information are confidential, as required by Code section 6103.

The average time and expenses required to complete and file this form will vary depending on individual circumstances. For estimated averages, see the instructions for your income tax return.

If you have suggestions for making this form simpler, we would be happy to hear from you. See the instructions for your income tax return.
Certification

1. The number shown on this form is my correct taxpayer identification number (or I am waiting for a number to be issued to me), and
2. I am not subject to backup withholding because: (a) I am exempt from backup withholding, or (b) I have not been notified by the Internal Revenue Service (IRS) that I am subject to backup withholding as a result of a failure to report all interest or dividends, or (c) the IRS has notified me that I am no longer subject to backup withholding, and
3. I am a U.S. citizen or other U.S. person (defined below).

Certification instructions. You must cross out item 2 above if you have been notified by the IRS that you are currently subject to backup withholding because you have failed to report all interest and dividends on your tax return. For real estate transactions, item 2 does not apply. For mortgage interest paid, acquisition or abandonment of secured property, cancellation of debt, contributions to an individual retirement arrangement (IRA), and generally, payments other than interest and dividends, you are not required to sign the certification, but you must provide your correct TIN. See the instructions on page 4.

Part II Certification

Under penalties of perjury, I certify that:

1. The number shown on this form is my correct taxpayer identification number (or I am waiting for a number to be issued to me), and
2. I am not subject to backup withholding because: (a) I am exempt from backup withholding, or (b) I have not been notified by the Internal Revenue Service (IRS) that I am subject to backup withholding as a result of a failure to report all interest or dividends, or (c) the IRS has notified me that I am no longer subject to backup withholding, and
3. I am a U.S. citizen or other U.S. person (defined below).

Note. If a requester gives you a form other than Form W-9 to request your TIN, you must use the requester’s form if it is substantially similar to this Form W-9.

Definition of a U.S. person. For federal tax purposes, you are considered a U.S. person if you are:

• An individual who is a U.S. citizen or U.S. resident alien,
• A partnership, corporation, company, or association created or organized in the United States or under the laws of the United States,
• An estate (other than a foreign estate), or
• A domestic trust (as defined in Regulations section 301.7701-7).

Special rules for partnerships. Partnerships that conduct a trade or business in the United States are generally required to pay a withholding tax on any foreign partners’ share of income from such business. Further, in certain cases where a Form W-9 has not been received, a partnership is required to presume that a partner is a foreign person, and pay the withholding tax. Therefore, if you are a U.S. person that is a partner in a partnership conducting a trade or business in the United States, provide Form W-9 to the partnership to establish your U.S. status and avoid withholding on your share of partnership income.
The person who gives Form W-9 to the partnership for purposes of establishing its U.S. status and avoiding withholding on its allocable share of net income from the partnership conducting a trade or business in the United States is in the following cases:

- The U.S. owner of a disregarded entity and not the entity,
- The U.S. grantor or other owner of a grantor trust and not the trust, and
- The U.S. trust (other than a grantor trust) and not the beneficiaries of the trust.

Foreign person. If you are a foreign person, do not use Form W-9. Instead, use the appropriate Form W-8 (see Publication 515, Withholding of Tax on Nonresident Aliens and Foreign Entities).

Nonresident alien who becomes a resident alien. Generally, only a nonresident alien individual may use the terms of a tax treaty to reduce or eliminate U.S. tax on certain types of income. However, most tax treaties contain a provision known as a “saving clause.” Exceptions specified in the saving clause may permit an exemption from tax to continue for certain types of income even after the payee has otherwise become a U.S. resident alien for tax purposes.

If you are a U.S. resident alien who is relying on an exception contained in the saving clause of a tax treaty to claim an exemption from U.S. tax on certain types of income, you must attach a statement to Form W-9 that specifies the following five items:

1. The treaty country. Generally, this must be the same treaty under which you claimed exemption from tax as a nonresident alien.
2. The treaty article addressing the income.
3. The article number (or location) in the tax treaty that contains the saving clause and its exceptions.
4. The type and amount of income that qualifies for the exemption from tax.
5. Sufficient facts to justify the exemption from tax under the terms of the treaty article.

Example. Article 20 of the U.S.-China income tax treaty allows an exemption from tax for scholarship income received by a Chinese student temporarily present in the United States. Under U.S. law, this student will become a resident alien for tax purposes if his or her stay in the United States exceeds 5 calendar years. However, paragraph 2 of the first Protocol to the U.S.-China treaty (dated April 30, 1984) allows the provisions of Article 20 to continue to apply even after the Chinese student becomes a resident alien of the United States. A Chinese student who qualifies for this exception (under paragraph 2 of the first protocol) and is relying on this exception to claim an exemption from tax on his or her scholarship or fellowship income would attach to Form W-9 a statement that includes the information described above to support that exemption.

If you are a nonresident alien or a foreign entity not subject to backup withholding, give the requester the appropriate completed Form W-8.

What is backup withholding? Persons making certain payments to you must under certain conditions withhold and pay to the IRS a percentage of such payments. This is called “backup withholding.” Payments that may be subject to backup withholding include interest, tax-exempt interest, dividends, broker and barter exchange transactions, rents, royalties, nonemployee pay, and certain payments from fishing boat operators. Real estate transactions are not subject to backup withholding.

You will not be subject to backup withholding on payments you receive if you give the requester your correct TIN, make the proper certifications, and report all your taxable interest and dividends on your tax return.

Payments you receive will be subject to backup withholding if:

1. You do not furnish your TIN to the requester,
2. You do not certify your TIN when required (see the Part II instructions on page 3 for details),
3. The IRS tells the requester that you furnished an incorrect TIN,
4. The IRS tells you that you are subject to backup withholding because you did not report all your interest and dividends on your tax return (for reportable interest and dividends only), or
5. You do not certify to the requester that you are not subject to backup withholding under 4 above (for reportable interest and dividend accounts opened after 1983 only).

Certain payees and payments are exempt from backup withholding. See the instructions below and the separate Instructions for the Requester of Form W-9.

Also see Special rules for partnerships on page 1.

Updating Your Information

You must provide updated information to any person to whom you claimed to be an exempt payee if you are no longer an exempt payee and anticipate receiving reportable payments in the future from this person. For example, you may need to provide updated information if you are a C corporation that elects to be an S corporation, or if you no longer are tax exempt. In addition, you must furnish a new Form W-9 if the name or TIN changes for the account, for example, if the grantor of a grantor trust dies.

Penalties

Failure to furnish TIN. If you fail to furnish your correct TIN to a requester, you are subject to a penalty of $50 for each such failure unless your failure is due to reasonable cause and not to willful neglect.

Civil penalty for false information with respect to withholding. If you make a false statement with no reasonable basis that results in no backup withholding, you are subject to a $500 penalty.

Criminal penalty for falsifying information. Willfully falsifying certifications or affirmations may subject you to criminal penalties including fines and/or imprisonment.

Misuse of TINs. If the requester discloses or uses TINs in violation of federal law, the requester may be subject to civil and criminal penalties.

Specific Instructions

Name

If you are an individual, you must generally enter the name shown on your income tax return. However, if you have changed your last name, for instance, due to marriage without informing the Social Security Administration of the name change, enter your first name, the last name shown on your social security card, and your new last name.

If the account is in joint names, list first, and then circle, the name of the person or entity whose number you entered in Part I of the form.

Sole proprietor. Enter your individual name as shown on your income tax return on the “Name” line. You may enter your business, trade, or “doing business as (DBA)” name on the “Business name/disregarded entity name” line.

Partnership, C Corporation, or S Corporation. Enter the entity’s name on the “Name” line and any business, trade, or “doing business as (DBA)” name on the “Business name/disregarded entity name” line.

Disregarded entity. Enter the owner’s name on the “Name” line. The name of the entity entered on the “Name” line should never be a disregarded entity. The name on the “Name” line must be the name shown on the income tax return on which the income will be reported. For example, if a foreign LLC that is treated as a disregarded entity for U.S. federal tax purposes has a domestic owner, the domestic owner’s name is required to be provided on the “Name” line. If the direct owner of the entity is also a disregarded entity, enter the first owner that is not disregarded for federal tax purposes. Enter the disregarded entity’s name on the “Business name/disregarded entity name” line. If the owner of the disregarded entity is a foreign person, you must complete an appropriate Form W-8.

Note. Check the appropriate box for the federal tax classification of the person whose name is entered on the “Name” line (Individual/sole proprietor, Partnership, C Corporation, S Corporation, Trust/estate).

Limited Liability Company (LLC). If the person identified on the “Name” line is an LLC, check the “Limited liability company” box only and enter the appropriate code for the tax classification in the space provided. If you are an LLC that is treated as a partnership for federal tax purposes, enter “P” for partnership. If you are an LLC that has filed a Form 8832 or a Form 2553 to be taxed as a corporation, enter “C” for C corporation or “S” for S corporation. If you are an LLC that is disregarded as an entity separate from its owner under Regulation section 301.7701-3 (except for employment and excise tax), do not check the LLC box unless the owner of the LLC (required to be identified on the “Name” line) is another LLC that is not disregarded for federal tax purposes. If the LLC is disregarded as an entity separate from its owner, enter the appropriate tax classification of the owner identified on the “Name” line.
Other entities. Enter your business name as shown on required federal tax documents on the “Name” line. This name should match the name shown on the charter or other legal document creating the entity. You may enter any business, trade, or DBA name on the “Business name/disregarded entity name” line.

Exempt Payee

If you are exempt from backup withholding, enter your name as described above and check the appropriate box for your status, then check the “Exempt payee” box in the line following the “Business name/disregarded entity name,” sign and date the form.

Generally, individuals (including sole proprietors) are not exempt from backup withholding. Corporations are exempt from backup withholding for certain payments, such as interest and dividends.

Note. If you are exempt from backup withholding, you should still complete this form to avoid possible erroneous backup withholding.

The following payees are exempt from backup withholding:

1. An organization exempt from tax under section 501(a), any IRA, or a custodial account under section 403(b)(7) if the account satisfies the requirements of section 401(f)(2),
2. The United States or any of its agencies or instrumentalities,
3. A state, the District of Columbia, a possession of the United States, or any of their political subdivisions or instrumentalities,
4. Foreign government or any of its political subdivisions, agencies, or instrumentalities, or
5. An international organization or any of its agencies or instrumentalities.

Other payees that may be exempt from backup withholding include:

6. A corporation,
7. A foreign central bank of issue,
8. A dealer in securities or commodities required to register in the United States, the District of Columbia, or a possession of the United States,
9. A futures commission merchant registered with the Commodity Futures Trading Commission,
10. A real estate investment trust,
11. An entity registered at all times during the tax year under the Investment Company Act of 1940,
12. A common trust fund operated by a bank under section 584(a),
13. A financial institution,
14. A middleman known in the investment community as a nominee or custodian, or
15. A trust exempt from tax under section 664 or described in section 4947.

The following chart shows types of payments that may be exempt from backup withholding. The chart applies to the exempt payees listed above, 1 through 15.

<table>
<thead>
<tr>
<th>IF the payment is for . . .</th>
<th>THEN the payment is exempt for . . .</th>
</tr>
</thead>
<tbody>
<tr>
<td>Interest and dividend payments</td>
<td>All exempt payees except for 9</td>
</tr>
<tr>
<td>Broker transactions</td>
<td>Exempt payees 1 through 5 and 7 through 13. Also, C corporations.</td>
</tr>
<tr>
<td>Barter exchange transactions and patronage dividends</td>
<td>Exempt payees 1 through 5</td>
</tr>
<tr>
<td>Payments over $600 required to be reported and direct sales over $5,000</td>
<td>Generally, exempt payees 1 through 7</td>
</tr>
</tbody>
</table>

1 See Form 1099-MISC, Miscellaneous Income, and its instructions.
2 However, the following payments made to a corporation and reportable on Form 1099-MISC are not exempt from backup withholding: medical and health care payments, attorneys’ fees, gross proceeds paid to an attorney, and payments for services paid by a federal executive agency.

Part I. Taxpayer Identification Number (TIN)

Enter your TIN in the appropriate box. If you are a resident alien and you do not have and are not eligible to get an SSN, your TIN is your IRS individual taxpayer identification number (ITIN). Enter it in the social security number box. If you do not have an ITIN, see How to get a TIN below.

If you are a sole proprietor and you have an EIN, you may enter either your SSN or EIN. However, the IRS prefers that you use your SSN.

If you are a single-member LLC that is disregarded as an entity separate from its owner (see Limited Liability Company (LLC) on page 2), enter the owner’s SSN (or EIN, if the owner has one). Do not enter the disregarded entity’s EIN. If the LLC is classified as a corporation or partnership, enter the entity’s EIN.

Note. See the chart on page 4 for further clarification of name and TIN combinations.

How to get a TIN. If you do not have a TIN, apply for one immediately. To apply for an SSN, get Form SS-5, Application for a Social Security Card, from your local Social Security Administration office or get this form online at www.ssa.gov. You may also get this form by calling 1-800-772-1213. Use Form W-7, Application for IRS Individual Taxpayer Identification Number, to apply for an ITIN, or Form SS-4, Application for Employer Identification Number, to apply for an EIN. You can apply for an EIN online by accessing the IRS website at www.irs.gov/businesses and clicking on Employer Identification Number (EIN) under Starting a Business. You can get Forms W-7 and SS-4 from the IRS by visiting IRS.gov or by calling 1-800-TAX-FORM (1-800-829-3676).

If you are asked to complete Form W-9 but do not have a TIN, write “Applied For” in the space for the TIN, sign and date the form, and give it to the requester. For interest and dividend payments, and certain payments made with respect to readily tradable instruments, generally you will have 60 days to get a TIN and give it to the requester before you are subject to backup withholding on payments. The 60-day rule does not apply to other types of payments. You will be subject to backup withholding on all such payments until you provide your TIN to the requester.

Note. Entering “Applied For” means that you have already applied for a TIN or that you intend to apply for one soon.

Caution: A disregarded domestic entity that has a foreign owner must use the appropriate Form W-8.

Part II. Certification

To establish to the withholding agent that you are a U.S. person, or resident alien, sign Form W-9. You may be requested to sign by the withholding agent even if item 1, below, and items 4 and 5 on page 4 indicate otherwise.

For a joint account, only the person whose TIN is shown in Part I should sign (when required). In the case of a disregarded entity, the person identified on the “Name” line must sign. Exempt payees, see Exempt Payee on page 3.

Signature requirements. Complete the certification as indicated in items 1 through 3, below, and items 4 and 5 on page 4.

1. Interest, dividend, and barter exchange accounts opened before 1984 and broker accounts considered active during 1983. You must give your correct TIN, but you do not have to sign the certification.

2. Interest, dividend, broker, and barter exchange accounts opened after 1983 and broker accounts considered inactive during 1983. You must sign the certification or backup withholding will apply. If you are subject to backup withholding and you are merely providing your correct TIN to the requester, you must cross out item 2 in the certification before signing the form.

3. Real estate transactions. You must sign the certification. You may cross out item 2 of the certification.
4. Other payments. You must give your correct TIN, but you do not have to sign the certification unless you have been notified that you have previously given an incorrect TIN. “Other payments” include payments made in the course of the requester’s trade or business for rents, royalties, goods (other than bills for merchandise), medical and health care services (including payments to corporations), payments to a nonemployee for services, payments to certain fishing boat crew members and fishermen, and gross proceeds paid to attorneys (including payments to corporations).

5. Mortgage interest paid by you, acquisition or abandonment of secured property, cancellation of debt, qualified tuition program payments (under section 529), IRA, Coverdell ESA, Archer MSA or HSA contributions or distributions, and pension distributions. You must give your correct TIN, but you do not have to sign the certification.

What Name and Number To Give the Requester

<table>
<thead>
<tr>
<th>For this type of account:</th>
<th>Give name and SSN of:</th>
</tr>
</thead>
<tbody>
<tr>
<td>1. Individual</td>
<td>The individual</td>
</tr>
<tr>
<td>2. Two or more individuals (joint account)</td>
<td>The actual owner of the account or, if combined funds, the first individual on the account</td>
</tr>
<tr>
<td>3. Custodian account of a minor (Uniform Gift to Minors Act)</td>
<td>The minor</td>
</tr>
<tr>
<td>4. The usual revocable savings trust (grantor is also trustee)</td>
<td>The grantor-trustee</td>
</tr>
<tr>
<td>a. So-called trust account that is not a legal or valid trust under state law</td>
<td>The actual owner</td>
</tr>
<tr>
<td>5. Sole proprietorship or disregarded entity owned by an individual</td>
<td>The owner</td>
</tr>
<tr>
<td>6. Grantor trust filing under Optional Form 1099 Filing Method 1 (see Regulation section 1.671-4(b)(2)(ii)(A))</td>
<td>The grantor</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>For this type of account:</th>
<th>Give name and EIN of:</th>
</tr>
</thead>
<tbody>
<tr>
<td>7. Disregarded entity not owned by an individual</td>
<td>The owner</td>
</tr>
<tr>
<td>8. A valid trust, estate, or pension trust</td>
<td>Legal entity</td>
</tr>
<tr>
<td>9. Corporation or LLC electing corporate status on Form 8832 or Form 2553</td>
<td>The corporation</td>
</tr>
<tr>
<td>10. Association, club, religious, charitable, educational, or other tax-exempt organization</td>
<td>The organization</td>
</tr>
<tr>
<td>11. Partnership or multi-member LLC</td>
<td>The partnership</td>
</tr>
<tr>
<td>12. A broker or registered nominee</td>
<td>The broker or nominee</td>
</tr>
<tr>
<td>13. Account with the Department of Agriculture in the name of a public entity (such as a state or local government, school district, or prison) that receives agricultural program payments</td>
<td>The public entity</td>
</tr>
<tr>
<td>14. Grantor trust filing under the Form 1041 Filing Method or the Optional Form 1099 Filing Method 2 (see Regulation section 1.671-4(b)(2)(ii)(B))</td>
<td>The trust</td>
</tr>
</tbody>
</table>

Note. If no name is circled when more than one name is listed, the number will be considered to be that of the first name listed.

Secure Your Tax Records from Identity Theft

Identity theft occurs when someone uses your personal information such as your name, social security number (SSN), or other identifying information, without your permission, to commit fraud or other crimes. An identity thief may use your SSN to get a job or may file a tax return using your SSN to receive a refund.

To reduce your risk:
- Protect your SSN,
- Ensure your employer is protecting your SSN, and
- Be careful when choosing a tax preparer.

If your tax records are affected by identity theft and you receive a notice from the IRS, respond right away to the name and phone number printed on the IRS notice or letter.

If your tax records are not currently affected by identity theft but you think you are at risk due to a lost or stolen purse or wallet, questionable credit card activity or credit report, contact the IRS Identity Theft Hotline at 1-800-908-4490 or submit Form 14039.

For more information, see Publication 4535, Identity Theft Prevention and Victim Assistance.

Victims of identity theft who are experiencing economic harm or a system problem, or are seeking help in resolving tax problems that have not been resolved through normal channels, may be eligible for Taxpayer Advocate Service (TAS) assistance. You can reach TAS by calling the TAS toll-free case intake line at 1-877-777-4778 or TTY/TDD 1-800-829-4059.

Protect yourself from suspicious emails or phishing schemes.

Phishing is the creation and use of email and websites designed to mimic legitimate business emails and websites. The most common act is sending an email to a user falsely claiming to be an established legitimate enterprise in an attempt to scam the user into surrendering private information that will be used for identity theft.

The IRS does not initiate contacts with taxpayers via emails. Also, the IRS does not request personal detailed information through email or ask taxpayers for the PIN numbers, passwords, or similar secret access information for their credit card, bank, or other financial accounts.

If you receive an unsolicited email claiming to be from the IRS, forward this message to phishing@irs.gov. You may also report misuse of the IRS name, logo, or other IRS property to the Treasury Inspector General for Tax Administration at 1-800-366-4484. You can forward suspicious emails to the Federal Trade Commission at: spam@uce.gov or contact them at www.ftc.gov/idtheft or 1-877-IDTHEFT (1-877-438-4338).

Visit IRS.gov to learn more about identity theft and how to reduce your risk.

Privacy Act Notice

Section 6109 of the Internal Revenue Code requires you to provide your correct TIN to persons (including federal agencies) who are required to file information returns with the IRS to report interest, dividends, or certain other income paid to you; the acquisition or abandonment of secured property; the cancellation of debt; or contributions you made to an IRA, Archer MSA, or HSA. The person collecting this form uses the information on the form to file information returns with the IRS, reporting the above information. Routine uses of this information include giving it to the Department of Justice for civil and criminal litigation and to cities, states, the District of Columbia, and U.S. possessions for use in administering their laws. The information also may be disclosed to other countries under a treaty, to federal and state agencies to enforce civil and criminal laws, or to federal law enforcement and intelligence agencies to combat terrorism. You must provide your TIN whether or not you are required to file a tax return. Under section 3406, payers must generally withhold a percentage of taxable interest, dividend, and certain other payments to a payee who does not give a TIN to the payer. Certain penalties may also apply for providing false or fraudulent information.
APPENDIX B: CHART OF ACCOUNTS RELATED TO GRANTS - EXPLANATORY INFORMATION

CHART OF ACCOUNTS
ALLOWABLE COSTS FOR INTERNALLY AND EXTERNALLY SPONSORED PROJECTS

**TWO DIGIT FUND NUMBER DESIGNATION**
- FUND 14-INTERNALLY SPONSORED PROJECTS
- FUND 21-PROJECTS FUNDED BY US DEPARTMENT OF EDUCATION
- FUND 22-PROJECTS FUNDED BY THE STATE (ALL DEPARTMENTS)
- FUND 23-PROJECTS FUNDED BY PRIVATE CORPORATIONS AND FOUNDATIONS
- FUND 28-PROJECTS FUNDED BY NSF AND NIH and other FEDERAL AGENCIES OTHER THAN THE USDOE

**5 DIGIT COST CENTER DESIGNATION**
The first number of the 5 digit cost center identifies the college the faculty member is from (for example a cost center beginning with a 1 designates that the faculty member belongs to the college of education).
The next four numbers are determined by using the next available numbers within the college.

<table>
<thead>
<tr>
<th>OBJECT CODE</th>
<th>DESCRIPTION</th>
<th>PROPER USE OF FUNDS</th>
</tr>
</thead>
<tbody>
<tr>
<td>5021</td>
<td>PRINTING/OFFICE SUPPLIES</td>
<td>Duplication, Printed Materials, Office Supplies, Small Equipment (other than for research) with a value less than $500. Object code cannot be used for externally funded research grants unless included in approved budget.</td>
</tr>
<tr>
<td>OBJECT CODE</td>
<td>DESCRIPTION</td>
<td>PROPER USE OF FUNDS</td>
</tr>
<tr>
<td>-------------</td>
<td>----------------------------------</td>
<td>-------------------------------------------------------------------------------------</td>
</tr>
<tr>
<td>5023</td>
<td>EDUCATIONAL SUPPLIES</td>
<td>Books, textbooks, CDs, DVDs, research supplies. This should also be used for NSF funded projects as part of Participant Costs-Other.</td>
</tr>
<tr>
<td>5028</td>
<td>STUDENT TRAVEL</td>
<td>Undergraduate and Graduate Students enrolled full-time at Kean University. This should also be used for NSF funded projects which fund student travel as part of Participant Support Costs.</td>
</tr>
<tr>
<td>5029</td>
<td>MILEAGE REIMBURSEMENT</td>
<td>Reimbursed at $.31/mile</td>
</tr>
<tr>
<td>5030</td>
<td>CONFERENCE TRAVEL</td>
<td>Academic Specialist, Full-Time Faculty and Staff.</td>
</tr>
<tr>
<td>5031</td>
<td>TELEPHONE</td>
<td>Only if approved by funding in original budget or budget revision.</td>
</tr>
<tr>
<td>5032</td>
<td>POSTAGE</td>
<td>Only if approved by funding in original budget or budget revision.</td>
</tr>
<tr>
<td>5034</td>
<td>COMPUTER SERVICES/SOFTWARE</td>
<td>Only if approved by funding in original budget or budget revision.</td>
</tr>
<tr>
<td>5036</td>
<td>PROFESSIONAL SERVICES</td>
<td>Honoraria, Consultants, External Evaluators, and Participant Fees</td>
</tr>
<tr>
<td>5037</td>
<td>ADVERTISING</td>
<td>Only if approved by funding in original budget or budget revision.</td>
</tr>
<tr>
<td>5038</td>
<td>RECEPTION</td>
<td>Food costs relating to workshops, conferences, symposia approved by the funding agency.</td>
</tr>
<tr>
<td>5039</td>
<td>SUBSCRIPTIONS/MEMBERSHIP DUES</td>
<td>Only if allowable by funding agency.</td>
</tr>
<tr>
<td>5041</td>
<td>REPAIR - EQUIPMENT</td>
<td>Repair and maintenance of research equipment</td>
</tr>
<tr>
<td>OBJECT CODE</td>
<td>DESCRIPTION</td>
<td>PROPER USE OF FUNDS</td>
</tr>
<tr>
<td>-------------</td>
<td>-------------------------------------------------</td>
<td>-------------------------------------------------------------------------------------</td>
</tr>
<tr>
<td>5044</td>
<td>RENTAL OF BUILDINGS AND GROUNDS</td>
<td>Rental of facilities for workshops, conferences, symposia approved by the funding agency</td>
</tr>
<tr>
<td>5060</td>
<td>SPECIAL PROJECTS</td>
<td>Sub-Contracts as approved by the funding agency</td>
</tr>
<tr>
<td>5076</td>
<td>EQUIPMENT-ALL OTHER</td>
<td>Office Equipment, Physical Plant, Furniture. Unallowable cost to externally funded projects.</td>
</tr>
<tr>
<td>5077</td>
<td>COMPUTER EQUIPMENT</td>
<td>Only if approved by funding in original budget or budget revision.</td>
</tr>
<tr>
<td>5084</td>
<td>INDIRECT COST</td>
<td>Only if allowable by funding agency.</td>
</tr>
<tr>
<td>5085</td>
<td>ADMINISTRATIVE COST</td>
<td>Only if allowable by funding agency.</td>
</tr>
<tr>
<td>5111</td>
<td>SALARY-ACADEMIC SPECIALIST</td>
<td>Includes research salaries</td>
</tr>
<tr>
<td>5112</td>
<td>SALARY-REGULAR/FULL-TIME EMPLOYEE</td>
<td>Includes research salaries</td>
</tr>
<tr>
<td>5113</td>
<td>SALARY-ADJUNCT FACULTY</td>
<td>Includes research salaries</td>
</tr>
<tr>
<td>5114</td>
<td>SALARY-GRADUATE ASSISTANT</td>
<td>Includes research salaries</td>
</tr>
<tr>
<td>5116</td>
<td>SALARY-FACULTY OVERLOAD/SUMMER SALARY</td>
<td>Includes research salaries</td>
</tr>
<tr>
<td>5118</td>
<td>SALARY-UNDERGRADUATE STUDENT AIDES</td>
<td>Includes research salaries</td>
</tr>
<tr>
<td>5120</td>
<td>STUDENT STIPENDS</td>
<td>Includes participant costs for NSF funded projects.</td>
</tr>
<tr>
<td>5147</td>
<td>SALARY-LABORATORY ASSISTANT (PART-TIME)</td>
<td>Research salary</td>
</tr>
<tr>
<td>5219</td>
<td>F.I.C.A</td>
<td>Includes payments for research salaries</td>
</tr>
<tr>
<td>5220</td>
<td>FRINGE BENEFITS</td>
<td>Includes payments for research salaries</td>
</tr>
<tr>
<td>8320</td>
<td>GRANTS-IN-AID</td>
<td>Tuition payments for Graduate Assistants and Scholarships</td>
</tr>
</tbody>
</table>

**PLEASE CONTACT THE GRANTS POST-AWARD ADMINISTRATOR WITH ANY QUESTIONS at 7-3345**