An Introduction to the ORSP

The mission of the Office of Research and Sponsored Programs (ORSP) is to stimulate, develop, support and manage efforts to enhance research and scholarly pursuits of faculty, staff and students at the University of Scranton. ORSP activities are guided by the principles of freedom of inquiry, pursuit of wisdom, integrity and truth, and personal growth and development of the university community. We foster excellence in sponsored projects by promoting best practices, policies, and procedures that ensure consistency and efficiency in our transactions with sponsors and partners.

ORSP reports to the Associate Provost for Academic Affairs and assists faculty members in securing external and internal funding for research activities, providing information related to scholarly enterprises, and helping to develop and implement policies related to research.

Some of the specific activities of ORSP include:
- Supervision of the grants approval and submission process for faculty and staff
- Coordination of research-related policies, including the following: human subjects; research misconduct; patents
- Administration, in conjunction with the Registrar's Office, of the Faculty/Student Research Program (FSRP)
- Administration of the Student Opportunities in Academic Research (SOAR) program
- Publications such as: *Grants Flyer* (annual), *Research Recharged Newsletters* (each semester)
- Oversight of intellectual property issues, including pursuit of patents

ORSP has put a packet of information together to provide you with basic knowledge regarding some of our activities. Contained herein, please find the following (click on item to take you to the page):

1. ORSP Timeline
2. Grant Proposal Development Handbook
3. GrantSelect
4. Books available through ORSP
5. Externally funded projects approval form (EFPA) and instructions
6. Subrecipient commitment form
7. CITI training instructions
8. IRB schedule AY 21-22 and sample IRBNET Forms
9. ORSP Faculty Grant-Writing Travel Awards and application
10. Internal Research Award guidelines and application
11. Sabbaticals
12. Patent Information
13. Student Opportunities in Academic Research (SOAR) information including: Faculty/Student Research Program (FSRP) application form, President's Fellowship for Summer Research, rHIP funding RFP, Student travel program policy and form, Celebration of Student Scholars information

Note: The items above may be examples from prior years. Current applications, calls for proposals, etc. will be sent via email.

Office of Research & Sponsored Programs 2021/2022 Timeline

June 2021

06/15: Faculty Scholarly Achievements Database Closes

July 2021

07/01: Faculty Scholarly Achievements Database Opens

August 2021

- Student Travel can be submitted any time
- Faculty Grant Writing Travel Awards can be submitted any time

September 2021

09/13: Faculty/Student Research program (FSRP) applications due for Fall term

09/15: Sabbaticals due to Department Chair*

09/22: Sabbaticals due to Dean*

- Research Seminar Series Fall Schedule Released

Sabbatical questions should be directed to the Provost Office

October 2021

10/01: Faculty Development Intersession Grants due*

10/29: Internal Research applications due

Faculty Development Grant questions should be directed to the Provost Office

November 2021

11/22: rHIP applications due

December 2021

Happy Holidays!

January 2022

01/17: Faculty/Student Research program (FSPR) applications due for Intersession

February 2022

02/10: Faculty/Student Research program (FSRP) applications due for Spring term

- Student Travel can be submitted any time
- Faculty Grant Writing Travel Awards can be submitted any time
- Research Seminar Series Spring Schedule Released

March 2022

03/11: President's Fellowship for Summer Research applications due

03/11: Faculty Development Summer Grants due*

03/31: Internal Research applications due

Faculty Development Grant questions should be directed to the Provost Office

April 2022

TBD: Celebration of Student Scholars applications due

May 2022

TBD: Celebration of Student Scholars

Contact the Office of Research & Sponsored Programs at orsp@scranton.edu or (570) 941-6353

https://www.scranton.edu/academics/provost/research/

Grant Proposal Development Handbook

The University of Scranton

Office of Research and Sponsored Programs

570-941-6353

570-941-6229 fax

http://matrix.scranton.edu/academics/provost/research/

Updated February 2022

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SECTION I: INTRODUCTION

This handbook is intended to serve as a guide for University faculty and staff in developing proposals for submission to external funding sponsors with a focus on the submission of competitive grant proposals. This handbook is intended to provide best practices for steps involved in planning a project, selecting an appropriate funding sponsor and opportunity, and developing a competitive proposal. In addition to the information presented here, Office of Research and Sponsored Programs (ORSP) staff are available to provide assistance and support throughout the proposal development process.

WHY GRANT FUNDS ARE AVAILABLE

Government and private agencies recognize the value of using academic expertise to assist them in meeting their goals and have provided funding to support a wide range of activities to expand scientific knowledge, promote social equality, and foster economic development. Government agencies disburse tax dollars to meet public needs that have been recognized by Congress or state legislatures. Agencies are charged with funding activities that fit within their predefined mission and concentrate on supporting worthwhile projects in order to persuade Congress or the state legislature that continued or increased funding each year is in the best interest of the state or nation. For this reason, government grants tend to be highly competitive and most come with a great deal of accountability.

Private organizations have much greater discretion in disbursing their funds, but are required to operate within the boundaries established by the Internal Revenue Service to maintain their tax-exempt status. Nongovernment agencies have clear ideas about the types of programs they want to support and absolute freedom to reject proposals that do not align with their interests. Many organizations focus their giving on the communities in which they are located while others have a broader reach.

Regardless of the source of funding, all sponsors want to spend their money wisely and support projects with the greatest promise of making a genuine contribution to their area(s) of concern. Sponsoring agencies may be concerned about a specific problem and are willing to invest money to help solve it. It is essential to propose a thoroughly planned project addressing a topic of interest to the agency and resulting in an outcome that can be objectively measured. Successful grant proposals are written by writers who understand the sponsoring agency's concerns and are convincing of their ability to contribute to solving an important problem.

TYPES OF SPONSORED PROJECTS

A *sponsored project* is one that is funded by an external organization as an award of financial assistance in support of a proposed program. The following are the most common types of sponsored projects:

- *Grant:* A grant is typically awarded in response to a proposal submitted in a situation where the sponsoring agency conveys a mission or overall purpose and allows applicants to propose unique projects that fit within that mission. Grants provide

flexibility and allow for creativity on the part of the applicant. Payments on awarded grant projects are typically made on a cost-reimbursement basis; occasionally, however, a check may be provided along with the award notification from non-government sources.

- *Contract:* A contract is typically awarded in response to a proposal submitted in a situation where the sponsoring agency identifies specifically what needs to be accomplished and invites applicants to submit proposals that describe a way to accomplish the specific task. The sponsoring agency reviews the proposals and selects the best applicant to complete the work that has been outlined. Payment for services on a contract is typically made on a cost-reimbursement basis. Sometimes, however, a sponsoring agency will outline a payment schedule (i.e., monthly or quarterly) in the contract or will issue payment based on the completion of specific tasks outlined in the contract.

- *Gift:* A gift is typically awarded for a specific purpose that has been proposed by the applicant or identified by the donor and that fits within a broadly defined area of interest for the donor (agency or individual). Funds are typically gifted for the purpose or project outlined by the applicant, but a gift is a voluntary, non-reciprocal donation. Donors can be individuals, corporations, or non-profit agencies, and restrictions are dictated by IRS regulations. Gift payments are usually made up-front when the award is made, and funds remaining at the end of a project are not typically required to be returned to the donor. Awards that are classified as gifts are routed for acceptance through the University Advancement Office rather than through ORSP.

A *sponsored agreement* is the mechanism through which sponsoring agencies award funding to provide direct services or to conduct research. Through all mechanisms, except a gift, the sponsor provides a legally binding award through a Notice of Grant Award, Memorandum of Understanding, contract, or letter indicating the amount to be awarded, as well as the conditions that must be met and guidelines that must be followed. The requirements associated with a sponsored project award vary widely from sponsor to sponsor. Generally, awards are made for a particular period of time with defined start and end dates. Awards usually include restrictions on the use of funds and on the reallocation of funds from one budget category to another. Most sponsoring agencies require periodic programmatic and financial reports, as well as final reports at the end of a project. Sponsors generally require completion of the project by the defined end date, but with appropriate justification, may allow for approval of extension requests that do not necessitate additional funding on their part (called a no-cost extension).

Most awards are made in response to a formally submitted proposal. *Solicited* proposals are in response to a sponsor-initiated call for proposals for a specific funding opportunity; they are generally subject to competitive review and must follow specific guidelines provided in the solicitation. *Unsolicited* proposals are most typical of private foundations who accept proposals at any time. In these situations, specific guidelines are generally not provided, but the applicant

has the flexibility to propose a project they believe to meet the organization's goals. The sponsor then determines whether to fund the project or request additional information from the applicant. Some government agencies also accept unsolicited proposals.

Competitive proposals are reviewed in competition with other proposals submitted under the same funding opportunity and must receive a high reviewer score in order to receive funding. The review process can vary considerably by sponsor, but reviews are often conducted by peer experts in the field. Agency staff typically reviews proposal submissions for compliance with application instructions and agency regulations, and only compliant proposals are forwarded for formal evaluation. Noncompetitive proposals are less common and typically result from a sponsor approaching someone at the University to complete a particular project. While noncompetitive proposals are not judged against other proposals, they are judged against the sponsor's expectations for the project and are not always funded.

University of Scranton - Office of Research and Sponsored Programs

Services Provided:

Funding Opportunity Identification
ORSP staff are available to provide individual assistance with locating funding sources and to demonstrate the process of using funding databases. Workshops on searching for grant funding are also scheduled on a regular basis. For more information about funding resources, please visit the Funding Sources section of the ORSP website.

Proposal Development
All individuals preparing grant proposals should make contact with ORSP as early in the process as possible. University approval must be obtained for all external grant proposals being submitted on behalf of the institution, and this office is the starting place for that process. Staff are available to help formulate a plan for proposal development, answer questions, and provide technical assistance throughout the process of developing a grant proposal. Assistance may include clarifying sponsors' submission requirements and interpreting university policies related to sponsored projects. Assistance will be provided for form completion and the use of electronic proposal submission systems. Information commonly needed for grant applications is available on the ORSP website under Grant Proposal Information.

Budget Preparation
ORSP staff are available to assist with developing budgets and to answer questions relating to salary increase estimates, fringe benefit rates, travel reimbursement rates, and other budget issues. Staff will work with individuals on a one-on-one basis to develop a budget that appropriately reflects the project's needs and ensures compliance with sponsor and University of Scranton policies and regulations.

Proposal Submission

After the completed proposal reaches ORSP with the necessary approving signatures (principal investigator and any co-investigators), staff will secure the necessary university administrative level approvals (Department Chair/Supervisor, Dean, university Treasurer, Provost), and make the final submission preparation, either hard copy or electronic. The various government and private agencies have specific electronic submission systems that require the interface of this office's electronic accounts for submission access. Again, it is vital to allow ORSP adequate lead time to ensure the appropriate permissions to successfully submit grant proposals in a timely fashion.

Post Award

ORSP manages the process of securing the necessary approvals to accept a grant award. After an award is accepted, please contact Marc Kudrich in the Treasurer's Office.

SECTION II: GETTING STARTED

A great idea that is based on solid science and scholarship is at the core of every successful grant proposal. No matter how well a proposal is presented, it will not be funded without a thoughtfully designed plan to achieve results. In a highly competitive grant environment, however, success requires much more than just a great idea. Good grantsmanship is essential to presenting ideas in a way that will convince reviewers of the project's merit and worthiness of funding.

PLANNING A PROJECT

Planning a successful project is an essential aspect of the grant-seeking process. It is important to understand the project for which funding is sought in order to effectively search for potential funding opportunities. The following are some important considerations that should be taken into account in the project planning process.

- Who will be involved in the project? Organize the project team early and communicate with all team members often. Keeping everyone involved and informed will help facilitate a successful proposal writing experience and will also create a solid foundation for the project's implementation if the proposal is funded.
- For whom is the project being undertaken? Understanding the target population and their needs can be very helpful in making a strong argument for the project's needs and is important in designing a project that will meet those needs.
- Why is the project being undertaken? Team members should be motivated to take on the project and should understand why the work is important.
- What will the project achieve? Having a goal in mind is essential to the project planning process. Team members should understand what the project will accomplish and be able to convey this in the grant proposal.
- How will the project's goals be achieved? Planning a course of action for meeting the outlined goals is an essential step and will provide the framework for the project's implementation.
- When will the goals be achieved? It is important to set up a timeframe in which the project will occur and determine how much time is needed to accomplish goals.
- What resources are needed for the project? Consideration should be given to what resources are already available, what can be secured without external funding, and what needs to be included in the funding request.

ASSESSING READINESS

Submitting a grant proposal for a project without being prepared to implement that project can be detrimental to the project and to the reputation of the investigator. Assessing readiness is an important step and can be helpful in identifying items that may need to be addressed prior to the submission of the proposal. The following are some issues that should be considered in the readiness assessment.

Qualifications

The qualifications of the principal investigator and/or project team are important in terms of convincing external reviewers of the applicant's ability to successfully conduct the project as well as ensuring that the team is not committing beyond the resources and expertise available. The role of the investigator includes both the technical expertise necessary for the project and the management experience to effectively manage the project team and financial resources.

Resources

The grant proposal must convince reviewers that sufficient resources are available for the project to be conducted with success. Resources include such items as office and laboratory space, equipment and instrumentation, supplies, other sources of support beyond that which is requested in the grant application. Resources can also be in the form of intellectual capital such as an empowered research environment and collaborations with colleagues. The applicant may not be ready if arrangements cannot be made to secure resources needed for the project that are not requested in the grant proposal.

Preliminary Data

Unless an application is being submitted to a program specifically targeting preliminary studies, it is important that investigators are able to demonstrate to reviewers that both the quality and quality of preliminary data indicate that the proposed project is likely to be successful. If such preliminary data is not available, efforts should be made to begin data collection prior to the submission of the proposal. If funding is needed for preliminary data, investigators may be able to apply for internal university research awards.

Time

Sufficient time commitments from the project team are critical to the success of any funded project. If the team does not have time available to devote to project activities, the project is not likely to achieve the results outlined in a grant proposal. Individuals should speak with supervisors early in the proposal preparation process to arrange for alternative schedules that allocate sufficient time for project activities. Investigators should always be cautious to avoid an over commitment of duties.

HELPFUL HINTS FOR NEW INVESTIGATORS

Concentrate on developing a focused, productive research program. Devote time and energy to your research program. Be focused in your research efforts so that your research track record is strong in the area in which you plan to pursue funding.

Apply for internal grant competitions for seed money. Internal funding can be an excellent source of seed funding to help build a new research program. The University's Faculty Research Committee holds grant competitions in the fall and spring semester annually. In addition to potentially securing the funding you need, by applying for an internal grant, you have the opportunity to practice your proposal writing skills on your own, have it reviewed by a committee of your peers, and get helpful feedback for your later use. These experiences will be helpful to you in pursuing external funding in the future.

Look for funding opportunities that primarily fund junior investigators. Sponsoring agencies realize how important new investigators are for the future of the research enterprise and are not likely to automatically disqualify you because of a junior faculty status. At the same time, however, they do want to ensure that you have the qualifications and experiences to conduct a project that is worth their funding. Many agencies have specific programs for junior faculty or new investigators for which more established investigators are not eligible to apply.

Collaborate on a project with a senior researcher, either at UofS or another institution. Working with another researcher who has more experience in your field can sometimes be an effective way to secure funds to support your research before you are ready to go after funding on your own. If there are no potential collaborators within your department or college, you may want to establish connections with faculty conducting similar research in other departments, with researchers at other institutions, or think about reestablishing connections with previous advisors or colleagues. Actively seek opportunities to collaborate on research efforts in your focus area, even if there is no funding involved.

Start small. Write proposals for small grant programs that may be less competitive and require less experience. Use these small projects to help you work your way up to larger, more competitive proposals after you have an established track record.

Find a Mentor. Look within your department for faculty with experience in successfully securing grant funds in areas similar to yours. They are likely to be able and willing to provide you with useful advice and provide guidance on your proposals to help increase competitiveness. Get to know other researchers in your field and take advantage of opportunities to learn from their experiences.

Have a Plan. Successful investigators understand the importance of a long-term strategy, and proposals that are put together at the last minute are rarely funded. Target a suitable funding agency. Talk to the program manager at the agency to discuss your ideas. Put together a well-written proposal prepared in accordance with the guidelines and expect to revise and resubmit if the proposal is not funded. Do not view an initial turn down as a rejection of your core ideas. Even the greatest ideas often need refinement.

Have Confidence. A lot of great ideas were never funded because someone lacked the confidence to put forward a proposal. **Good ideas do not just come up at large research universities; faculty with strong records of funding success exist at all types of institutions. You can be one of them.**

SECTION III: FUNDING SOURCE IDENTIFICATION

One of the most important decisions in the proposal development process is the selection of a funding sponsor that is appropriate for the project. Submitting a high quality proposal to an agency with no interest in the topic, for example, will mean that the proposal is not selected for funding regardless of its quality or the time that went into preparing it. Similarly, submitting a proposal to a highly competitive opportunity without taking the time to figure out what the program is willing to fund can be equally damaging to an otherwise meritorious proposal.

This section is intended to provide resources for searching for potential funding opportunities and issues that should be considered in making an informed decision about pursuing a particular opportunity. In addition to the information presented here, ORSP staff are available to provide one-on-one assistance with the search process as requested.

SEARCHING FOR FUNDING SOURCES

A variety of online resources are available for searching for funding sources. Before searching for funding, it can be helpful to make a thorough list of keywords that are related to the project. Searches will be most successful if both general and specific keywords are used and if several searches are conducted using different key terms. The following are some resources for locating funding searches.

GrantSelect

GrantSelect is an online database of funding opportunities such as grants (for programs, projects, planning, start-up, endowments, technical assistance, facilities and equipment, etc.), awards, and fellowships for example. Funding opportunities range from pure research grants to arts programs, biomedical and health care research, community services programs, children and youth programs, K-12 education funding, international programs, and operating grants for nonprofit organizations.

Sponsoring organizations include federal government agencies (including NIH, NSF, and many others), foundations and other nonprofit organizations, corporations and corporate foundations, research institutes, state agencies, and universities.

To get started login to GrantSelect at:
 http://www.grantselect.com/login.html (click on Institutional Login button)

Grants.gov

Grants.gov is the federal government's e-portal for locating and applying for federal grants. Grants.gov contains thousands of grant opportunities in more than 900 different programs. The database is fully searchable and users may also view recently added grant opportunities or most often viewed opportunities. A notification service is available that delivers new grant

announcements via email as they are released, and RSS feed is also available from the grants.gov website.

Networking with Colleagues

Word of mouth can be one of the most effective methods for locating funding sources. Simply asking others who have done similar projects how their projects are funded can help to identify potential sponsors. People are usually willing to share their experiences and ideas. Conference and professional meetings provide excellent opportunities for networking with others in your field.

General Internet Searches

General Internet searches, with the use of limited, specific keywords, can often yield valid results for funding opportunities, but it is important to carefully evaluate the type of website on which the information is found to be certain the information is valid. Legitimate grant opportunities will not request social security numbers, bank account information, or any other personal information. ORSP staff are available to assist in determining whether funding opportunities published on general Internet pages are legitimate.

Another useful function of a general Internet search is identifying programs or research occurring at other institutions that might be similar in nature to an applicant's proposed project. Funded projects will typically grant credit to the sponsoring agency on their websites, and this can be useful way to identify potential sponsors. In addition, making contact with individuals with similar interests often results in the sharing of information about how funding was secured for a particular project and could lead to collaborative opportunities for future projects.

EVALUATING FUNDING SOURCES

The decision to pursue a grant opportunity is an important one. The following are some important considerations in making an informed decision about whether to pursue a particular funding opportunity.

Eligibility

Eligibility is an important consideration because if the University is not eligible to apply for the funding opportunity, an application submitted from the University would be automatically rejected. Most grant competition announcements will include a section regarding applicant eligibility that will list specific types of entities that are qualified to compete for funding. In addition to applicant types, sponsoring agencies may concentrate funding in specific geographical locations or provide a list of eligible applicants. It is also important to consider whether the agency requires the submission of proposals from a consortium of applicants or if partners are required as part of the application process. If so, those partnerships should be in place prior to making a decision to pursue the opportunity.

Time Frame

A rushed proposal is not likely to be competitive with proposals from applicants who may have devoted substantially more time to preparing a proposal. It is important to ensure that enough time is available to gather needed resources, formulate a thorough research or service plan, develop any collaborative partnerships for the project, and secure support from supervisors and University officials. Most importantly, there must be sufficient time to develop a high-quality proposal that is likely to be competitive with others submitting for the same opportunity. When learning about a funding opportunity at the last minute, there is often a temptation to put together "something" and get it out the door by the deadline, but this approach is not always in the best interest of the applicant and can sometimes have a negative effect. For example, if a sloppily-prepared proposal is submitted to an external agency, it is likely to receive detrimental comments from the reviewers and program officers, who may remember the applicant negatively if a second proposal is submitted to a future competition, even if the second application is of a high quality. In addition, many agencies limit the number of times an application may be resubmitted, and the first rushed proposal may be one of only two chances to get a project funded by a particular agency.

Appropriateness

Choosing a sponsor with similar interests and concerns is an essential part of getting a proposal funded. It is important to ensure that the proposed project aligns clearly with the goals and priorities of the sponsoring agency. Most agencies have a clearly defined mission and purpose as well as specific priorities for each funding opportunity they sponsor, and this information is typically available both on the agency website and in the funding opportunity announcement. Another important consideration in determining the appropriateness of an opportunity is whether expertise and resources are available for successfully completing the project if the project is funded.

Likelihood of Success

Many funding opportunity announcements will include information about the number of projects to be funded, and some will also provide information about the number of applications received in past competitions. This information can be helpful in estimating the likelihood that a proposal will be selected for funding. In addition, many agencies provide a list of projects that have been funded under the program in the past, and many provide abstracts of those programs. This information can be helpful in determining whether the proposed project is similar to projects that have been funded by the agency in the past in terms of applicant agency type, funding requested, and project goals. Potential applicants may also wish to contact past grantees to inquire about their experience with the agency.

Types of Support

The majority of sponsoring agencies will provide support in the form of cash awards, but some grant programs award materials, equipment, or other types of support. Potential applicants should consider whether the amount of money being offered by the agency is sufficient for completing the project to be proposed for support. If not, the funding opportunity may not be appropriate for the project, or the project may need to be scaled back to fit within the funding

limitations. This same principle is applicable for the length of time the agency is willing to support the project. Work to be performed over a period of several years, for example, should not be proposed for funding from an agency that supports only one-year projects.

It is especially important to be aware of any cost sharing or matching requirements in the funding opportunity announcement. Cost share funds are required to be contributed by the applicant or a third party other than the sponsoring agency. If such funds are required as a condition of submitting a proposal, potential applicants need to secure University commitments for those funds prior to making a decision to pursue the opportunity. This reduces the risk of working on a proposal only to find that it cannot be submitted because there are no cost share funds that are available for the project.

Making the Decision

Before making the final decision about pursuing a grant opportunity, carefully consider the issues of eligibility, time, appropriateness, likelihood of success, and types of support to determine whether a project is a good fit for a particular funding opportunity. Be sure you can answer the following questions for the sponsor and address them in your proposal:

- Why are you asking us to fund this project?
- What is the need or problem?
- Why is the sponsor you have chosen the best choice for this project?
- Why is this project the best to serve the need or solve the problem?

COMMUNICATING WITH PROGRAM OFFICERS

With the exception of some small private agencies, most sponsoring agencies have individuals on their staff who are assigned to specific funding programs within their agencies. These individuals, typically referred to as program officers, can be an invaluable resource for learning about and understanding funding opportunities at sponsoring agencies. They usually have extensive experience with the grant proposal development process and overseeing funding competitions. They know the types of projects that are likely to be funded from within their agencies and can provide suggestions about shaping a project idea into something that could be funded. Before making contact with a program officer, it is important to do your homework about the agency, their overall mission, and their funding history and trends. You should always avoid contacting program officers with questions that could be answered through researching the agency's website. It is acceptable, however, to call for clarification of something published online or in application guidelines.

When contacting a program officer by phone, identify yourself, your affiliation with the University of Scranton, and your purpose for calling. Ask whether he or she is available for discussion or if you should call back. For example, "My name is Bob Jones, and I am an Assistant Professor of Biology at the University of Scranton. I am calling to discuss a funding opportunity and whether my idea is appropriate for this opportunity. Do you have some time available now or would you prefer that I call back at a more convenient time?" Another

effective method for making initial contact with a program officer is to send a short email to ask for a convenient time to call.

Once the program officer has confirmed his or her availability to talk with you, you should identify the funding opportunity about which you are calling and briefly describe your general idea, its significance, and its innovation. Ask for the program officer's thoughts regarding whether the idea fits with the funding opportunity. If it does not, he or she may be able to provide suggestions for shaping your idea into something that could be fundable by the agency or suggest alternative funding agencies. If you are not calling about a specific funding opportunity, ask if the agency has any funding opportunities currently open or expected to be released soon that might be a good fit with your areas of interest or project ideas.

Ask if the program officer is able to review an abstract, concept paper, or draft of proposal prior to submission. Some agencies allow, and even encourage, this practice, but others receive far too many applications to offer a pre-submission program officer review. Inquire about whether there are investigators funded by the agency in your area of interest whom you could contact to discuss their research and ask about the availability of previously funded proposals for review by potential applicants. Before hanging up, ask if you can call back if you have additional questions as you develop the proposal.

Most program officers, particularly those with federal agencies, are also very willing to schedule appointments to discuss funding opportunities and project ideas that may be related to their agency's mission. Program officers at federal agencies are usually stationed in Washington, D.C., so scheduling meetings with multiple program officers on the same day is a good use of time and resources. Meetings should be kept short (20-45 minutes), but enough time should be allowed in between scheduled meetings to ensure an on-time arrival for the following appointment even if the meeting extends longer than expected.

Before the visit, review the website of the agency, specific funding opportunities sponsored by the agency, and legislative priorities. Learn what kinds of projects the agency usually funds and what projects have been funded in recent years. At the start of the visit, introduce yourself, your general areas of interest, and your specific project ideas. Provide the program officer with an opportunity to respond. The remaining conversation should focus on questions you have about the agency's funding opportunities.

While contacting a program officer does not usually give you a competitive edge by making you privy to information that would not be disclosed to other prospective applicants, talking with a program officer can be helpful to you in better understanding the agency's funding programs and in shaping your proposal to be more competitive.

SECTION IV: DEVELOPING A PROPOSAL NARRATIVE

After making the decision to pursue a particular grant opportunity, it is important to ensure that the proposal is finished and ready for submission by the deadline.

Most sponsors will provide specific guidelines for proposal development. The following information is intended to provide guidance on sections that are common to grant proposals. This information is not intended to be prescriptive for any particular funding opportunity. In all cases, the sponsoring agency's guidelines and requirements should take precedence over the guidance presented in this section.

A quality proposal should seek to answer the following questions:

1. What do you intend to do?

2. Why is the work important?

3. What has already been done?

4. How will your work advance knowledge in the field?

5. How are you going to do the work?

FORMAT

Following the sponsor's guidelines is one of the most important tasks in grant proposal writing. Before beginning to write a grant proposal, it is important to download the sponsor's guidelines and other relevant information. Read all information provided by the sponsor (i.e., background information, authorizing legislation, etc.) while taking notes and highlighting important information. Make a list of information that will need to be secured from other sources. Keep the guidelines close and refer to them often during the proposal writing process.

The sponsor's outline for the narrative criteria should be followed, and the sponsor's specific requirements for each narrative section should be clearly outlined. If the application guidelines provide a list of review criteria that will be used in the review of proposals, use it as an outline for organizing the proposal. Carefully address each criteria with the intention of making it obvious for the reviewers to see that you have done so. If some sections of the proposal are worth more points than others, devote more energy to the sections that will earn the most points in the review process.

Adherence to formatting requirements is also important, including page limitations, spacing, font size and type, margin size specifications, and page numbering instructions. Some sponsors will not review proposals that do not follow the formatting instructions outlined in the guidelines. Electronic proposal submission systems may also automatically reject files that are not in compliance with agency guidelines; this means that a proposal can be rejected before it even reaches the sponsor's hands. In the grants process, there is nothing more disheartening than to pour tremendous energy into creating a high quality grant proposal only to find out

weeks later that the proposal was never reviewed because it did not follow the sponsoring agency's guidelines.

COVER PAGE

The cover page for a proposal is typically a form provided by the sponsoring agency. The following is a list of information that is commonly requested on grant proposal cover sheets that is common to all proposals submitted by the University:

- Organization Name: University of Scranton
- Address: 800 Linden Street, Scranton, PA 18510-2429
- Institutional Official Name: Jeffrey Gingerich, Ph.D. Provost & Sr VP Acad Affairs
- UEI: WV3XJPNFUL58
- Congressional District: PA-008
- Signature of Institutional Official

The following items requested on proposal cover sheets are unique to each project proposed for support:

- Sponsoring agency
- Funding opportunity #, title, or CFDA #
- Project title
- Requested funding amount
- Proposed project period
- Project director contact information

TITLE

The title of the project is the first thing reviewers read when considering whether to recommend a particular project for funding. The title should be reflective of the proposal as a whole and relevant to the funding opportunity. Some sponsors may limit the length of the title, and others may provide project titles. Try to avoid titles that are too short, too long, or too cute. Choose a title that is specific to your project and avoid titles that may be used by other applicants to the same funding opportunity. Provide enough detail for expert technical reviewers to know what lies ahead, but not so much that generalists in your field will not understand what the project involves.

The following examples illustrate the importance of finding the right balance in writing a project title:[1]

1. Too brief:
   "A Program to Help the Homeless"

2. Too long and convoluted:
   "A Program to Understand the Health Care Needs of Those Who are Homeless by Working with Four Homeless Shelters and Developing Educational Materials for Students in Dental Hygiene, Nursing, Occupational Therapy, and Physical Therapy Programs"

3. Just right:
   "A Community and Academic Partnership. A Program to Train Interdisciplinary Health Care Teams for Services to the Homeless Population"

TABLE OF CONTENTS

As a courtesy to reviewers, proposals should contain a table of contents that identifies the sections of the proposal and page numbers. If the sponsor provides guidelines for the table of contents, these should be followed precisely. Some sponsors will provide forms for the table of contents. If a table of contents is not requested or mentioned in the application guidelines, it should be assumed that it will count toward the page limits for the proposal narrative. If a table of contents is not required, it should be omitted if the space is needed for other more critical information in the proposal narrative.

ABSTRACT

The abstract should provide a summary of the information that is detailed in the proposal. Abstracts are important to reviewers, who use them as an introduction to a proposal before they begin reviewing and as a reminder when the project is discussed at a later time. The abstract should contain a synopsis of the project's goals and objectives and the activities that will be used to meet them. It should be a self-contained ready-for-publication document that is written for a nonscientific audience. Generally, the abstract is limited to one page or less, and many sponsors provide additional word limitations. It should be concise, yet comprehensive. The abstract is the most widely read component of the proposal; therefore, a great deal of attention should be given to its creation.

Abstracts of funded projects are often published on sponsor websites or otherwise made available to potential grantees and the general public. Abstracts may also be used to assign proposals to review panels and may be circulated as a separate item to key funding officials. Abstracts are also used internally for information sharing purposes.

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[1] From *Successful Grant Writing: Strategies for Health and Human Service Professionals* by Laura Gitlin and Kevin Lyons, 2008

INTRODUCTION

The introduction should be a short and concise preface to the project and its importance. It should describe the University's and/or department's mission in relation to the project, establish a background for the project, and encourage the reviewer to read further. If sponsors provide guidelines for an introduction section, these should be followed precisely. Introductions should be limited to one or two paragraphs unless the proposal guidelines specify otherwise.

NEEDS STATEMENT

The needs statement should be clearly defined and demonstrate a thorough understanding of the problem. It should provide credible, documented, and concrete evidence of the problem and should be written with the intention of establishing significance for the problem. It should be both compelling and unique. When appropriate, the needs statement should discuss the cause and long-term effects of the problem.

The goal of the needs statement is to convince the reviewers that the problem is important enough to deserve attention and that an impact on the problem is possible. The need must have an external focus rather than an internal focus on something the applicant needs.

The following is a list of questions that can be helpful in assessing the need for a particular project[2]:

1. How do you know if there is a need for the proposed idea?
2. Who or what is affected by the need and in what way?
3. How urgent is this need, in relation to others in the community?
4. Is the need one of the top priorities for the institution's strategic plan?
5. Who else agrees this is a problem worth addressing?
6. Who else is working on the issue locally, regionally, or nationally?
7. Have other ways of addressing the problem been tried?
8. Why should these particular needs and this specific population receive attention at this time?
9. What is likely to happen if this particular project is not implemented now?
10. Why are you best suited to do this work?
11. Do you have the capacity to initiate this effort at this time?
12. Is the problem really solvable?
13. Is the need as especially important by those groups whose support and involvement are critical to your success?
14. What constraints or difficulties should be anticipated in meeting the need?
15. Does the project focus on an external need rather than on the needs of the applicant?
16. Will the project truly benefit society?
17. Will the project address a problem that really matters?
18. Will the project benefit enough people to justify the resources it will cost?
19. Will the project duplicate other projects addressing the same need?

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[2] Adapted from *Getting Funded: The Complete Guide to Writing Proposals* (2006) by Mary Hall and Susan Howlett

20. Is the project an innovative approach to the need?

BACKGROUND AND LITERATURE REVIEW

The background and literature review section should establish the current status of the field by referencing and discussing various experts on the subject. It should demonstrate a clear understanding of the subject area and should be written in a manner that is easily understood by an outsider to the field. This section should indicate how the proposed project will advance the knowledge in the relevant field and fill a gap in existing knowledge. A discussion of the investigator's prior work in the field, if any, should also be included in this section.

The background and literature review section is a beneficial section because it helps the proposal writer:

- Determine the extent to which the topic has been addressed;
- Support the rationale for the importance and innovativeness of the project;
- Demonstrate the relevance of the topic to the existing body of knowledge;
- Identify and describe the theoretical foundation of the project; and
- Determine the best strategy to use in carrying out the project.

RESEARCH IMPACT AND SIGNIFICANCE

The goal of this section is to persuade reviewers of the impact and wider implications of the project. This section should explicitly address how the project addresses an important problem and how scientific knowledge will be advanced as a result of the project.

This section often serves as a bridge between the background section and the goals and objectives section. Once the pivotal work leading up to the current project has been discussed in the background section, state explicitly what research questions others have not yet answered about the field and describe how the proposed work will be structured to address these important questions.

GOALS AND OBJECTIVES

This section is sometimes referred to as Specific Aims and is important because it is where investigators describe specifically what will be accomplished as a result of the project they are proposing. Goals provide an overall purpose and clarify the mission of the project. They should identify what will be accomplished through the project and be clearly connected to the needs statement. The project goal should always be obviously in line with the sponsor's overall mission and the goals of the relevant funding opportunity.

Objectives state how success will be measured and should be goal-focused rather than budget-oriented. Objectives are closely associated with goals, but are more specific; they focus on outcomes and reflect quantitative or qualitative accomplishments. Objectives should be SIMPLE: Simple, Immediate, Measurable, Practical, Logical, and Evaluable. Process objectives measure process accomplishments, but are not always an indication for measuring whether the need has been addressed. Outcome objectives reflect quantitative or qualitative accomplishments and give more credibility to the project.

The following questions can be used as a guide to writing outcome objectives:

1. What do you anticipate will change as a result of the successful completion of your project?
2. How much change do you predict as an indicator of your success?
3. What measurement indicator will you use to document the change?
4. How long will it take to implement the project and measure the change?

The following is a model and example for writing quality outcome objectives:

Model: To [*action verb and statement*] by [*performance standard*] as measured by [*measurement indicator*] by [*time frame*].

Example: To *decrease the number of college freshmen required to take developmental courses* by *at least 10%* as measured by *performance on the ACT assessment* by *May 2011*.

PLAN OF ACTION, PROJECT DESIGN, OR METHOLOGY

This section is usually the longest section of a proposal and should explain in detail how the project will be carried out. It should include a justification of the activities in relation to the goals and objectives. This section's goal is to convince the reviewer that the project is feasible and has a reasonable plan that is likely to be successful. If appropriate, this section should cite research to justify the selection of methods used in the project.

For a service-related project, the methods section should provide a detailed description of the types of services and the plan for providing services. For a research project, this section should describe the research methodology that will be used and establish a clear rationale for its selection. It should describe what variables were chosen and why, control methods, and data collection.

Another important component is a discussion of potential limitations of the project. Identify any anticipated technical problems that may arise and what alternate plans you may implement. A well-developed timeline should also be included in this section. A Gantt chart is a tool that can be effective way to present a timeline for project activities.

Be careful about overcommitting in this section. Proposing more work than can possibly be achieved during the requested project period is one of the most common mistakes made by first time applicants. Try to make a distinction between your overall research goals and what you hope to accomplish with this one project and keep that line clear throughout your proposal.

EVALUATION PLAN

The goal of the evaluation section is to demonstrate a thorough plan for monitoring project activities and progress toward meeting clearly defined goals and objectives. In the formative phase, the evaluation should address the questions of how well the project is doing and what needs to be corrected or modified. The evaluation should also include a summative phase that

addresses the question of whether the project was successful. Evaluations should be clearly related to the project's goals and objectives and include both quantitative and qualitative measures.

The evaluation should include a description of the sources of data and the method of collection and analysis. A description or samples of test instruments, forms, or questionnaires that will be used to collect data in the project should be included. If an external evaluator will be conduct the evaluation, his or her credentials, experiences, and roles in the project should be clearly defined in this section. If the project will be evaluated externally, the external evaluator should have substantial input in the design of the evaluation plan because he or she will be responsible for fulfilling the evaluation requirements as they have been outlined in the proposal and because he or she will have substantial experience and expertise in designing and implementing evaluations.

The following are some questions that should be considered in the process of designing a project evaluation:

1. What will be evaluated?
   - Purpose and audience
   - Performance targets
2. What information is needed?
   - Information needed to answer evaluation questions
   - Source of data
   - Access to data
3. How will data be collected?
   - Method
   - Timeline
   - Responsible parties
4. How will data be analyzed?
   - Analysis process
   - Individuals involved
5. How will results be reported?
   - Reporting format
   - Audience
6. What resources are needed?
   - Roles and responsibilities
   - Cost of evaluation activities

QUALIFICATIONS / MANAGEMENT PLAN

The goal of this section is to convince the sponsor of the University's and the project personnel's capability for carrying out the project successfully. This section should provide a description of the experience and expertise of key personnel and their role in the proposed project and should describe past experience with similar projects. Sponsoring agencies want assurance that the individual in charge has the technical expertise to conduct the project as

well as the management skills to effectively manage the project team and partners. If specific facilities or equipment will be needed in the project, a description of their availability should be included.

DISSEMINATION

Many sponsors will require a plan for disseminating project results. A dissemination plan can often be a selling point with sponsors because it lets them know they can support one project with a broader impact. This section should include a plan to share the results with various stakeholders (i.e., in print and online publications, at professional conferences and training sessions, etc.). Sponsors like to see that funds are being used to advance knowledge in a particular field in innovative ways such as providing free electronic access to reports and materials resulting from their support. Some sponsors will require specific dissemination procedures, such as publishing products in a database maintained by the agency that is available to others at no cost.

SUSTAINABILITY

The sustainability plan is essentially a plan for sustaining the project after the grant funding ends. Depending on the unique circumstances of each project, possible sustainability activities include seeking other grants to support the project, reallocating funds from other University sources, seeking community involvement and volunteerism, or charging for services. Many sponsors like to see that the benefits of the project will continue beyond their financial support, but sustainability is not relevant for all projects. Agencies do not typically expect that research projects will be sustained without additional support since the portion of the research proposed for their support should be complete by the end of the funding period.

BIBLIOGRAPHY

If references have been cited in the proposal, a bibliography should be provided that lists all references. The style recommended by the sponsor should be used, but if no style is recommended, the bibliography should be formatted in the style most common to the field. Unless otherwise noted in the application guidelines, it should be assumed that the bibliography counts toward the page limitations imposed by the sponsoring agency for the narrative section of the proposal.

APPENDICES

Sponsors do not always allow appendices. If permitted, appendices should only include information pertinent to the proposed project. Examples include curriculum vitae of key personnel, proposed questionnaires or survey instruments, patents, letters of support, or other directly relevant printed materials. If letters of support are included, they should be from individuals who can convince the reviewers of the need for the project, their support of the project, and your ability to effectively operate the project. Some sponsors will provide a list of specific items to be included as appendices, and others will specifically disallow appendices or certain items from inclusion. Investigators should be aware that including a letter of support with a proposal to a program that does not allow such letters will result in the proposal being returned without review.

OTHER TIPS FOR DEVELOPING THE PROPOSAL NARRATIVE

The following is a list of some general tips to keep in mind as you develop the proposal narrative:

1. Follow application guidelines precisely. Read the guidelines carefully before you begin to write, while you are writing, and after you have finished writing the proposal.
2. Use proper grammar and active verbs and be alert to audience and tone.
3. Define all acronyms and abbreviations.
4. Avoid redundancy, overusing discipline-specific terminology and jargon, and using unnecessary "big" words, contractions, and slang terms.
5. Use explicit titles, headings, and subheadings that follow the sponsor's review criteria and be consistent in the use of headings, fonts, and formats.
6. Use bulleted or numbered lists for series when appropriate and use charts and diagrams to explain complex ideas.
7. Use white space to relieve the reader's eyes
8. Use bold and italics to set apart headings and important information, but avoid overusing these effects.
9. Provide concrete evidence to support the need to be addressed and the method of addressing it.
10. Ask others to review the proposal: a peer in the field, someone outside the field, and someone who has not read previous drafts.

SECTION V: DEVELOPING A PROPOSAL BUDGET

The budget is essentially another way to express the project that should be based on the project's narrative description and should not include any surprises for the reviewer. The goal is to provide a best estimate of anticipated expenses for the project while adhering to federal, state, sponsor, and University regulations and guidelines. The budget should be based on credible and realistic costs and should provide as many details as possible. A complete and well-planned budget increases credibility with sponsoring agencies during the proposal review process and is important to the successful implementation of an awarded project.

Costs included in a grant proposal budget must be allowable, allocable, and reasonable. Allowable costs are those that are necessary for the performance of the project and that are not specifically disallowed by federal, state, sponsor, or University regulations. Allocable costs are those that provide direct benefits to the specific project and that can be specifically identified to the project with a high degree of accuracy. Reasonable costs reflect the actions that a prudent person would take under the circumstances prevailing at the time the decision is made to incur the cost. The following are questions for the prudent person test:

- Is the cost generally accepted as necessary for the performance of the technical scope of the project or similar projects?
- Does the cost have an arms-length relationship between the investigator and vendors?
- Would you be comfortable explaining to someone outside the University why you charged this cost to your project?
- Is charging this cost consistent with University policies, procedures, and practices?

Many people find it useful to make a working list of anticipated costs as they work through the proposal writing process; others find it easier to sit down and draft a budget separately. The format for a proposal budget should follow the guidelines provided by the sponsoring agency. The following information provides a description of categories that are commonly included in grant proposal budgets.

PERSONNEL

The personnel category should include all salaries and wages to be paid to University of Scranton employees, including students. Sponsored project funds cannot be used to augment an employee's base pay, but can be used to "buy out" time for other duties (i.e., reduce teaching load). Clerical staff salaries are usually not allowable as direct charges on a sponsored project, but can sometimes be justified for large projects that require a significant amount of administrative support and duties that are unique to the project. Project directors are required to document some level of effort on sponsored projects as a percentage of their time. Funding should be requested in the proposal budget in proportion to the amount of time expected to be devoted to the project.

Examples of personnel costs include faculty reassigned time, faculty summer salary for those on less than twelve month contracts, staff reassigned time, full-time project staff, part-time

project staff, temporary intermittent employees, and student employees at both the graduate and undergraduate levels.

When developing the proposal budget, individuals' actual salary rates should be used rather than estimates, and annual cost of living allowances should be included to account for increases that may be approved for University employees each year.

FRINGE BENEFITS

Fringe benefits must be budgeted for employees and include employer contributions to retirement, Medicare, Social Security, life insurance, disability insurance, health insurance, worker's compensation, unemployment insurance, benefit administration, employee support program, and other benefits. For current fringe benefit composite rates, please see the Grant Proposal Information page of the ORSP website.

TRAVEL

Travel costs include items such as mileage reimbursement, airfare, car rental, University vehicle use, lodging, parking, and per diem costs. To ensure that adequate travel funds are allocated in the proposal budget, it is important to research prices of items such as airfare and lodging for the locations in which the travel will occur. Current mileage and per diem rates are available on myScranton under Financial Links.

EQUIPMENT

The University's equipment threshold is $5,000. The equipment category should include only items with a per unit cost of $5,000 or more, such as technology items or research tools. Note that computer equipment with a per-unit cost of less than $5,000 should not be listed as an equipment cost unless the sponsoring agency's guidelines specifically dictate otherwise. Equipment requested must have a specific purpose in the proposed project.

SUPPLIES

Consumable supplies and materials that are specific to the project should be listed in the supplies category. Examples include books, educational materials, research supplies, and field and laboratory supplies. Typically, general office supplies are considered an indirect cost and should not be included in project budgets. Costs labeled as "miscellaneous expenses" are generally not acceptable for inclusion in proposal budgets.

CONTRACTUAL

Contractual entities must be classified as either vendors or subrecipients and specifically identified as such in the proposal.

Subrecipients are largely involved in the proposal development process (typically with a Co-Project Director), are responsible for a significant level of work on the project, and are required to adhere to the compliance requirements of the sponsoring agency. Subrecipients are compensated on a cost-reimbursement basis as outlined in a subaward.

Vendors provide a service to the University and have no say in programmatic decision-making. Vendors are compensated based on the provision of deliverables outlined in a vendor agreement and are not paid until the deliverables are completed to the University's satisfaction. For assistance with classifying entities as either vendors or subrecipients, please contact ORSP.

OTHER COSTS

Other costs are those that are allowable under the sponsor's guidelines but do not fit the other defined categories. Examples include tuition, participant support costs, noncapitalized technology items, software, and other non-consumable materials.

F&A COSTS

Facilities and Administrative (F&A) or Indirect Costs are costs that are related to expenses incurred in conducting or supporting research or other externally-sponsored projects but that are not directly attributable to a specific project. Some examples of facilities costs include utilities, building maintenance, custodial services, telephone and internet usage, and libraries. Administrative costs include those at the department, college, and University levels, including sponsored projects administration.

The University's federally-negotiated F&A cost rate has a base of modified total direct costs. Modified total direct costs (MTDC) means all direct salaries and wages, applicable fringe benefits, materials and supplies, services, travel and up the first $25,000 of each subaward. MTDC excludes equipment, capital expenditures, charges for patient care, rental costs, tuition remission, scholarships and fellowships, participant support costs, and the portion of each subawards in excess of $25,000. The University's federally-negotiated F&A cost rate should be applied to all proposals unless indirect costs are limited or disallowed by the sponsor. The University's current rate is available on the Grant Proposal Information page of the ORSP website.

BUDGET JUSTIFICATION

Also referred to as the budget narrative, the budget justification is a detailed description of each cost included in the proposal budget. The goal of the budget justification is to prove to the reviewer that the budget has been carefully planned and includes costs that are necessary to the project. This section should be organized according to the headings used in the budget, should include as many details as possible, and should clearly describe how each cost will impact the project. If contractual costs are included in the budget, an explanation of how vendors were selected should be provided.

If cost share is included in the budget, it should also be discussed in the budget justification, but keep in mind that any cost share committed in the proposal is subject to audit.

COST SHARING

Cost sharing (also referred to as matching funds) occurs when a portion of the project's costs are not borne by the sponsor. Some sponsors require cost sharing, but most do not. Cost sharing that is not required or absolutely necessary to the success of the project should not be

included in proposal budgets. The following conditions are required for cost sharing commitments:

1. Must be verifiable from financial records
2. Must be spent during the budget period. Pre-award expenses are not cost share
3. Must not be paid by the federal government under any award
4. Must not be used as cost share on other federal projects
5. Must be allowable under the sponsor's guidelines

All cost share must be approved by the Sr. VP for Finance & Admin. Possible sources of cost share funds include department or college funds, time commitments from University employees, unrecovered indirect costs (if allowable by sponsor), and third-party contributions that are committed in writing and reported to the University. If cost share is required for a particular project, proposal writers should make arrangements to meet cost share requirements early in the proposal development process to ensure that adequate funds may be secured prior to the submission deadline.

SECTION VI: SUBMISSION AND REVIEW

INTERNAL PROCESSES

After the proposal has been written and all forms have been completed, the various components should be assembled as specified in the sponsor's guidelines. The complete proposal package must be submitted to ORSP with a completed and approved Externally Funded Projects Approval Form (EFPA) at least five days prior to the sponsor's deadline for submitting the proposal.

The EFPA requires details on the proposed project and budget information. ORSP will secure the university-level approvals and take the proposal through the submission process. Most grant proposals are submitted electronically, but there are still a few agencies which require hard-copy submission. Proposal writers are encouraged to work with ORSP early in the proposal development process to ensure that appropriate electronic accounts are in-place prior to the submission deadline.

Funding decisions are usually made within three to six months of the submission dates, but some sponsors take more or less time to notify applicants. Notification concerning the funding decision will be sent from the sponsor either to a University official, ORSP or to the Project Director. Project Directors should contact ORSP immediately upon receiving such notification.

If proposals are funded, project directors should begin immediately to prepare for project implementation as they await the final execution of sponsored agreements. If proposals are not funded, proposal writers should request reviewer comments and use the comments to revise and resubmit the proposal to a later funding opportunity.

LEARNING FROM EXPERIENCE

For most people, getting funded is, of course, the goal of applying for grants. It is important to understand, however, that many grants are not funded on the first submission, and there is much to be learned from the process of preparing a grant proposal even if it is not approved for funding. Depending on the sponsor, individuals may have little more than a minimal chance of getting funded on the first submission. However, the competitiveness of a particular grant competition should not be the only reason to decide against submitting an application.

The success rate increases with the second and third submissions. One reason is that proposal submitters can typically access reviewer comments that are very helpful in revising the application for resubmission. Applications also tend to improve the more they are reviewed and revised. In addition, writing proposals is the best way to work toward perfecting your grant proposal writing skills. If you are contemplating preparing a proposal for submission to a funding opportunity you view as a long shot, go for it. What is the worst that could happen? You could get a letter informing you that your application was not selected for funding.

The good news is that, in addition to this letter, you will typically have the opportunity to request reviewers' scores and comments. You should always take advantage of this opportunity. Reviewers' scores and comments provide an idea of how your proposal was

perceived by the individuals who were responsible for ranking it against the other proposals submitted. Typically, reviewers will assign a point value to each section of the proposal, allowing you to quickly identify the strongest sections of your proposal and those needing the most improvement. Reviewers also provide useful comments and sometimes offer suggestions for improving the application.

After you have reviewed your scores and comments, go ahead and begin the revision process. Regardless of whether you intend to resubmit the proposal to the same sponsor or look for other sponsors, you should take time right away to revise your proposal into a more fundable one. You never know when you may come across a funding opportunity that would be appropriate for your proposal. If you already have a quality proposal, it will be easier to adapt it to meet the requirements of a different funding opportunity.

As you revise, enlist the expertise of colleagues to help you make your proposal stronger. The more people who read your proposal and provide constructive feedback, the more effective your revisions are likely to be. Ask experts in your field to comment on technical components of the proposal. Ask people who are good writers to review your proposal for grammar, clarity, and organization. Without regard to funding, the process of submitting a grant application can also be beneficial for faculty development. Putting together a proposal requires the careful planning and articulation of a project, and this experience is useful for multiple purposes. Take the chance and try not to be devastated if you get a rejection letter. Remember that it can actually give you an advantage the next time you submit a proposal.

SECTION VII: GENERAL TIPS FOR SUCCESS

The subject expertise involved in the project design is really the most difficult part of a grant proposal, but the process of putting together the proposal can also be a daunting challenge. The following are some general tips for achieving success in securing grant funds.

Carefully choose a sponsor and funding opportunity that best matches your project idea. It is important to understand that agencies do not give you grant money because you need it; they give you grant money because your project will help them carry out their mission. One of the most important goals of your project narrative should be to show the sponsor how your project will contribute to the accomplishment of the agency's goals.

Read successful grant proposals. One of the best ways to become a successful grant proposal writer is to read funded proposals that other individuals in your field have written. Many sponsors provide lists of funded proposals on their websites, and some offer abstracts. Typically, individuals who have been successful in securing grant funds are willing to share their successful proposals with others in the field. Awarded proposals should be used as examples of quality documents that meet the sponsor's specifications rather than as boilerplates for drafting your own proposal.

Create a convincing argument. Agencies receive far more quality proposals than they can support; a convincing argument, therefore, is critical to the funding success of your proposal. Use assertive language such as "will" instead of more tentative language such as "would." For example, write "I will use the results to …" rather than "I would use the results to…" in your project narrative. Seek to demonstrate why your project is important and what it contributes to the field. When possible, create a sense of urgency by explaining the long-term effects of the problem you have identified. Make it difficult for the sponsor to say "no" to your proposal.

Be realistic. Carefully plan your goals and objectives for the project and be confident that you can deliver anything you promise in the proposal. Remember that it is always better to under-promise and over-deliver than to overpromise and under-deliver. Sponsors are not interested in getting as much work as possible for the least amount of money as much as they are interested in funding a solid project that can be accomplished with positive results according to their expectations and timelines.

Follow the sponsor's guidelines. Following the sponsor's guidelines is absolutely critical to the funding success of your proposal. Most sponsors will not even send your proposal for review if it fails to meet the criteria outlined in the application guidelines. Be sure to strictly adhere to formatting requirements and include all required information in the narrative. It can be very helpful to reviewers if you organize your proposal with headings that follow the order in which the narrative criteria is presented in the guidelines. If sponsors assign point values to specific sections of the proposal, try to devote more energy to the sections worth the most points.

Include a well-planned and cost-effective budget. The budget for your proposal should be an accurate reflection of the amount of money you need to do the project well. Avoid the

temptation to submit a "bare-bones" budget that may not include enough funds to adequately complete project activities as well as the temptation to submit an inflated budget that includes extra costs "just in case" you come up short of funds. Reviewers will have an idea of how much money is needed for the project, and a proposal including a budget that is far different from what they expect is less likely to be funded than one that seems realistic to them.

Allow time for proofreading and editing. A proposal with a good idea that is poorly written is not likely to make it to the top of reviewers' scoring lists. Avoid risking the denial of your project's funding as a result of issues that are unrelated to the project itself. In addition to proofreading the proposal yourself, ask others to review it as well. It can be helpful to have someone within your field to review the proposal for technical errors or misrepresentations as well as someone from outside your field to review the proposal for organization, grammatical errors, and readability.

Don't hesitate to contact ORSP with any proposal preparation questions or concerns.

Office of Research and Sponsored Programs

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THE UNIVERSITY OF
SCRANTON
A JESUIT UNIVERSITY

ORSP has purchased a site-wide license to GrantSelect for ALL faculty and staff.

What is GrantSelect?

GrantSelect is an online database of funding opportunities such as grants (for programs, projects, planning, start-up, endowments, technical assistance, facilities and equipment, etc.), awards, and fellowships for example. Funding opportunities range from pure research grants to arts programs, biomedical and health care research, community services programs, children and youth programs, K-12 education funding, international programs, and operating grants for nonprofit organizations.

Sponsoring organizations include federal government agencies (including NIH, NSF, and many others), foundations and other nonprofit organizations, corporations and corporate foundations, research institutes, state agencies, and universities.

Faculty and staff can now access GrantSelect from campus workstations to begin the search for funding opportunities.

To get started login to GrantSelect at:
http://www.grantselect.com/login.html (click on Institutional Login button)

The Office of Research and Sponsored Programs offers both books for faculty and staff to aid in proposal planning and writing. Contact Therese Kurilla.

If you would like ORSP to purchase one of the following books for your use in grant writing, please contact Therese Kurilla.
http://www.grantcentral.com/workbooks/

- The Grant Application Writer's Workbook – Applicable to agencies *other than* NIH, NSF & USDA-NIFA
- The Grant Application Writer's Workbook – National Institutes of Health Version
- The Grant Application Writer's Workbook – National Science Foundation Version
- The Grant Application Writer's Workbook – USDA-NIFA

COMPLETED EPFA FORMS DUE 5 BUSINESS DAYS BEFORE DEADLINE

SUBMIT TO ORSP WITH PI, COI(S) ELECTRONIC SIGNATURES

Subcontracts, Consultants, Non-UofS Personnel

Subcontracts:
- Need Subrecipient commitment form (obtain from ORSP)
- Obtain Letter of Intent/Support

Consultant & Non-UofS Personnel:
- Obtain Letter of Intent/Support

Budget Data

Indirect Costs (F&A):
- Current Rate 47% MTDC
- If agency allows must apply full rate
- If agency allows partial explain in notes
- If agency disallows explain in notes

University Cost Share:
- DO NOT identify in budget or proposal unless required
- If required, VP Finance may ask very specific questions, which can delay sign-off

Compliance

Human Subjects:
- Complete IRB application on IRBNet
  - Exempt application (IRB only)
  - Expedited or Full review application (IRB and DRB)
- CITI Training must be up-to-date
  - Effective for 3 years

Animal Subjects:
- Complete standard IACUC application
- CITI Training must be up-to-date
  - Effective for 3 years

Chemical Carcinogens, Biohazardous or Infectious Agents (IBC):
- Complete IBC Protocol Form
- CITI Training must be up-to-date

Radioactive Material:
- Contact Environmental Healthy & Safety at 570-941-7888

Conflict of Interest:
- Contact ORSP with specific concerns

Refer to Policy at:

http://www.scranton.edu/finance/conflict-of-interest.shtml

EFPA Forms can be found at:

http://matrix.scranton.edu/academics/provost/research/proposal-prep.shtml

The University of Scranton
Office of Research and Sponsored Programs

Externally Funded Projects Approval (EFPA) Form

Complete the fillable form and forward to Therese Kurilla in ORSP **at least 5 working business days before agency deadline.** Proposals submitted less than 5 business days prior to the agency deadline will not be accepted and will not be forwarded to the University administration for approval and may not be submitted to an external agency.

Principal Investigator Complete Items 1-9 and provide electronic Signatures

1. **Submission Due Date:** Click or tap to enter a date.

2. **Title of Project:** Click or tap here to enter text.

3. **Project Start Date:** Click or tap to enter a date. **Project End Date:** Click or tap to enter a date.

4. **Agency Name:** Click or tap here to enter text.

5. **Link to Request for Proposal:** Click or tap here to enter text.

6. Principal Investigators - University of Scranton only		
PI Name: Click or tap here to enter text.	R#: Click or tap here to enter text.	Department: Click or tap here to enter text.
Co-PI Name: Click or tap here to enter text.	R#: Click or tap here to enter text.	Department: Click or tap here to enter text.
Co-PI Name: Click or tap here to enter text.	R#: Click or tap here to enter text.	Department: Click or tap here to enter text.
Co-PI Name: Click or tap here to enter text.	R#: Click or tap here to enter text.	Department: Click or tap here to enter text.
Co-PI Name: Click or tap here to enter text.	R#: Click or tap here to enter text.	Department: Click or tap here to enter text.
Co-PI Name: Click or tap here to enter text.	R#: Click or tap here to enter text.	Department: Click or tap here to enter text.
Co-PI Name: Click or tap here to enter text.	R#: Click or tap here to enter text.	Department: Click or tap here to enter text.

7. Will UofS be issuing any sub-awards to outside agencies/institution? **YES☐ NO☐**
   If yes, Complete:
   Sub-awardee organization name: Click or tap here to enter text.
   Contact person (name and email): Click or tap here to enter text.

8. Will the PI or Co-PI(s) be requesting release time? **YES☐ NO☐**
   If yes, document name(s) and credits requesting:
   Click or tap here to enter text.

University of Scranton policy requires that faculty/staff confer with the Office of Research and Sponsored Programs (ORSP) and appropriate academic and administrative personnel before submitting proposals to external funding agencies.

9. **Ethics and Compliance- Each Question must be checked with a YES or NO.**

   A. **Institutional Review Board (IRB):** Does your project involve research with human subjects? **YES**☐   **NO**☐
      If yes, it is the PI's responsibility to submit protocol(s) for IRB review

   B. **Institutional Animal Care and Use Committee (IACUC):** Does your project involve   **YES**☐   **NO**☐
      Research using animals?
      If yes, it is the PI's responsibility to submit protocol(s) for IACUC review

   C. **Institutional Biosafety (IBC):** Does your project involve chemical carcinogens,   **YES**☐   **NO**☐
      biohazardous or infectious agents?
      If yes, it is the PI's responsibility to submit protocol(s) for IBC review

   D. **Radioactive Materials:** Does your project involve radioactive materials?   **YES**☐   **NO**☐
      If yes, it is the PI's responsibility to submit protocol(s) to the Radiation Safety Committee

   E. **Financial Conflict of Interest FCOI):** Do PI(s), their spouses/partners, or their   **YES**☐   **NO**☐
      Immediate family/household members have a financial conflict of interest with the proposed project?
      Financial conflicts of interest include salary (outside of salary for grant project) or any other payments for services, equity interests, intellectual property rights, or financial interest held by PI(s), their spouse/partners, their immediate family/household members, or organizations affiliated by these stakeholders that would reasonably appear to be affected by the activities funded or proposed for funding.

   F. **Responsible Conduct of Research (RCR Training):** Does your project include   **YES**☐   **NO**☐
      compensation for undergraduate or graduate students?
      If yes, RCR training on CITI must be completed.

SIGNATURES FOR PI(S) AND CO-PI(S): To the best of my knowledge, the proposed project conforms to all University of Scranton policies, ethical principles of my profession, and policies of the sponsor.

PI: Click or tap here to enter text.   **Date:** Click or tap to enter a date.

Co-PI: Click or tap here to enter text.   **Date:** Click or tap to enter a date.

Co-PI: Click or tap here to enter text.   **Date:** Click or tap to enter a date.

Co-PI: Click or tap here to enter text.   **Date:** Click or tap to enter a date.

Co-PI: Click or tap here to enter text.   **Date:** Click or tap to enter a date.

Co-PI: Click or tap here to enter text.   **Date:** Click or tap to enter a date.

Co-PI: Click or tap here to enter text.   **Date:** Click or tap to enter a date.

University of Scranton policy requires that faculty/staff confer with the Office of Research and Sponsored Programs (ORSP) and appropriate academic and administrative personnel before submitting proposals to external funding agencies.

10. **Agency Type:** Click or tap here to enter text.

11. **Program Title:** Click or tap here to enter text.

12. Total **Funds requested** from funding agency: Click or tap here to enter text.

13. Facilities & Administration (F&A) cost rate included in budget: YES☐   NO☐
    Total F&A Costs included in budget: Click or tap here to enter text.
    Explain variance to the University of Scranton's F&A Rate
    Click or tap here to enter text.

14. Does the project include match **REQUIRED** by the funding agency?   YES☐   NO☐

Match Amount	Match Type	Description	If cash, who will provide
Click or tap here to enter text.	☐ Cash ☐Non-cash	Click or tap here to enter text.	Click or tap here to enter text.
Click or tap here to enter text.	☐ Cash ☐Non-cash	Click or tap here to enter text.	Click or tap here to enter text.
Click or tap here to enter text.	☐ Cash ☐Non-cash	Click or tap here to enter text.	Click or tap here to enter text.

Compliance Review:
The proposed project/contract complies with University of Scranton policies, applicable Federal, State, and local regulations and policies of the sponsor.

Director of Office of Research and Sponsored Programs:
Tabbi Miller-Scandle, Ph.D.   **Date:** Click or tap to enter a date.

Grants Manager:
Therese Kurilla   **Date:** Click or tap to enter a date.

Administrative Approvals (obtained via email)**:**

Provost: *Jeffrey Gingerich, Ph.D.*   **Date:** Click or tap to enter a date.
Sr. VP for Finance & Admin: *Edward J. Steinmetz, Jr.*   **Date:** Click or tap to enter a date.
Dean: Choose an item.   **Date:** Click or tap to enter a date.
Department Chair: Click or tap here to enter text.   **Date:** Click or tap to enter a date.

University of Scranton policy requires that faculty/staff confer with the Office of Research and Sponsored Programs (ORSP) and appropriate academic and administrative personnel before submitting proposals to external funding agencies.

University of Scranton   **SUBRECIPIENT COMMITMENT FORM**

Subrecipient Legal Name:					
Subrecipient PI Name:					
Address where research will be performed:			City:		State:
Proposal Title:					
Performance Period Begin Date:		End Date:			
Scranton's PI Name:					
Prime Sponsor:					

SECTION A – Proposal Documents

The following documents are included in our proposal submission and covered by the certifications below (check as applicable):

- ☐ **STATEMENT OF WORK** (required)
- ☐ **BUDGET AND BUDGET JUSTIFICATION** (required)
- ☐ **SUBRECIPIENT COMMITMENT FORM, completed and signed by subrecipient's authorized official** (required)
- ☐ Biosketches and Other Support of all Key Personnel, in agency-required format
- ☐ Other:_____
- ☐ Other:_____

SECTION B - Certifications

1. **Facilities and Administrative Rates** included in this proposal have been calculated based on:

    ☐ Our federally-negotiated F&A rates for this type of work, or a reduced F&A rate that we hereby agree to accept.
    (If this box is checked, please attach a copy of your F&A rate agreement or provide a URL link to the agreement.)
    ☐ Other rates (please specify the basis on which the rate has been calculated in Section D *Comments* below)

    ☐ Not applicable (no indirect cost request for subrecipient)

2. **Fringe Benefit Rates** included in this proposal have been calculated based on:

    ☐ Rates consistent with or lower than our federally-negotiated rates
    (If this box is checked, please attach a copy of your FB rate agreement or provide a URL link to the agreement.)
    ☐ Other rates (please specify the basis on which the rate has been calculated in Section D *Comments* below).

3. **Subrecipient Business Status**
    ☐ Large Business ☐ Small Business ☐ Institution of Higher Education ☐ Other_____

    ☐ Historic Black College or University/Minority Institution

    If a small business, identify business classification (*certified by Small Business Administration):

    ☐ Small disadvantaged business*
    ☐ Women-owned small business concern
    ☐ Veteran-owned small business concern
    ☐ Service-disabled veteran-owned small business concern
    ☐ HUBZone small business concern*
    ☐ Small Minority Business*

4. **Cost Sharing** ☐ Yes ☐ No   **Amount:_____**
    Cost sharing amounts and justification should be included in the subrecipient's budget

5. **Human Subjects** ☐ Yes ☐ No   **Determination of Exemption or IRB Approval Date:_____**
                                  IRB Number:_____
    (Note: Surveys, interviews, observations, or use of secondary data may be human subjects research. Contact your local IRB office for guidance.)

    If "Yes": Copies of the IRB approval form must be provided before any subaward will be issued. Please forward these documents to Scranton's PI and Scranton's Office of Research and Sponsored Programs as soon as they become available. In accordance with Scranton policy, Scranton's IRB may conduct a secondary review of the subaward work and issue a companion approval before any subaward will be issued.

    If "Yes": **Have all key personnel involved completed Human Subjects Training?** ☐ Yes ☐ No

SUBRECIPIENT COMMITMENT FORM

6.	**Animal Subjects** ☐ Yes ☐ No **Approval Date:**_____

If "Yes": *A copy of the IACUC approval must be provided before any subaward will be issued. Please forward this document to Scranton's PI and Scranton's Office of Research and Sponsored Programs as soon as it becomes available. In accordance with Scranton policy, Scranton's IACUC must conduct a secondary review of the subaward work and issue a companion approval before any subaward will be issued.*

If "Yes": **Have all key personnel involved completed Animal Subjects Training?** ☐ Yes ☐ No

7. **Conflict of Interest**

☐ Subrecipient Organization/Institution certifies that it has an active and enforced conflict of interest policy that is consistent with the provision of 42 CFR Part 50, Subpart F, "Promoting Objectivity in Research," and 45 CFR Part 94, "Responsible Prospective Contractors." Subrecipient also certifies that, to the best of Institution's knowledge, (1) all financial disclosures have been made related to the activities that may be funded by or though a resulting agreement, and required by its conflict of interest policy; and, (2) all identified conflicts of interest have or will have been satisfactorily managed, reduced or eliminated in accordance with subrecipient's conflict of interest policy prior to the expenditures of any funds under any resultant agreement.

☐ Subrecipient does not have an active and/or enforced conflict of interest policy and agrees to abide by Scranton's policy, located online at http://www.scranton.edu/finance/conflict-of-interest.shtml

8. **Debarment and Suspension**

Is the PI or any other employee or student participating in this project debarred, suspended or otherwise excluded from or ineligible for participation in federal assistance programs or activities? ☐ Yes ☐ No (**if "Yes",** explain in Section D *Comments* below)

The Subrecipient certifies they: (answer all questions below)

☐ are ☐ are not   presently debarred, suspended, proposed for debarment, or declared ineligible for award of federal contracts
☐ are ☐ are not   presently indicted for, or otherwise criminally or civilly charged by a government entity
☐ have ☐ have not   within three (3) years preceding this offer, been convicted of or had a civil judgment rendered against them for commission of fraud or criminal offense in connection with obtaining, attempting to obtain, or performing a public (federal, state or local) contract of subcontract; violation of Federal or State antitrust statutes relating to the submission of offers; or commission of embezzlement, theft, forgery, bribery, falsification or destruction of records, making false statements or receiving stolen property
☐ have ☐ have not   within three (3) years preceding this offer, had one or more contracts terminated for default by any federal agency

9. **Fiscal Responsibility (check all that apply)**

The organization certifies that its financial system is in accordance with generally accepted accounting principles and:
☐ has the capability to identify, in its accounts, all Federal awards received and expended and the Federal programs under which they were received;
☐ maintains internal controls to assure that it is managing Federal awards in compliance with applicable laws, regulations and the provision of contracts or grants;
☐ complies with applicable laws and regulations;
☐ can prepare appropriate financial statements, including the schedule of expenditure of federal awards (as applicable);
☐ there are no outstanding audit findings which would impact contract costs. If there are findings, submit a copy of the most recent audit report that describes the finding and corrective action plan.

SECTION C - Audit Status

Does the Subrecipient receive an annual audit in accordance with 2 CFR 200.501?   ☐ **Yes** ☐ **No**

If Yes: Has the audit been completed for the most recent fiscal year? Fiscal Year ending _____?   ☐ **Yes** ☐ **No**
    If "no" when is it expected to be completed: _____
Were any audit finding reported?   ☐ **Yes** ☐ **No**
    If "yes" explain in Section D, Comments, below.

If No: Does the Subrecipient have expenditures in federal funding of at least $750,000 per year?   ☐ **Yes** ☐ **No**

        Subrecipient is a: ☐ Non-profit entity (under federal funding threshold)
                    ☐ Foreign entity
                    ☐ For profit entity
                    ☐ Government entity

SECTION D - Comments

APPROVED FOR SUBRECIPIENT
The information, certifications and representations above have been read, signed and made by an authorized official of the Subrecipient named herein. The appropriate programmatic and administrative personnel involved in this application are aware of agency policy in regard to subawards and are prepared to establish the necessary inter-institutional agreements consistent with those policies. **Any work begun and/or expenses incurred prior to execution of a subaward agreement are at the Subrecipient's own risk.**

(Signature of Subrecipient's Authorized Official)　　　　(Legal Name of Subrecipient's Organization/Institution)

(Name and Title of Authorized Official)　　　　(Address)

(Email)　　　　(City, State, Zip)

(Phone)　　　　(UEI)

(Date)　　　　(Congressional District)

(Signature of Principal Investigator)

Return completed form to:
Therese Kurilla
Grants Manager
University of Scranton
800 Linden Street
O'Hara Hall 425
Scranton, PA 18510-4625
therese.kurilla@scranton.edu

Collaborative Institutional Training Initiative (CITI)

CITI (Collaborative Institutional Training Initiative) Course

The CITI training modules are web-based training courses for those conducting research with human subjects, animal subjects and/or biohazards. All Principal Investigators, Co-Investigators, and study personnel must complete CITI training with a minimum score of 80%. Completion records should be maintained by the Principal Investigator and are subject to periodic inspection. Follow the steps below to sign up for the CITI Course:

- Go to http://www.citiprogram.com
- Select "Register"
- Step 1 - Participating Institutions: University of Scranton
- Step 2 - Create a username and password
- Complete remaining contact and information fields
- Check the course you are required to complete

Once you have selected your courses, follow the instructions to complete the curriculum and associated tests you have selected.

You can exit and re-enter the CITI site as often as needed to complete the selected curriculum. Each time you exit your progress will be recorded so that you can continue where you left off once you log in again.

A quiz follows each module. **An average score of at least 80% must be attained in each course.**

Once you complete a course, you will be able to print out a Completion Report from your learner's menu. The Completion Report will have a unique number (also called the Reference Number) and an expiration date. A copy will be sent to the Office of Research and Sponsored Programs. **All courses expire after three years, and the full course must be completed upon expiration.**

Below are the modules which the University of Scranton requires, dependent upon the project. Any questions regarding which modules are required for a specific research project may be addressed to Therese Kurilla, Grants Manager, therese.kurilla@scranton.edu

CITI Human Subject Protection

- Group 1 - Social and Behavioral Investigators
- Group 2 - Biomedical Research Investigators
- Group 3 - IRB, DRB and IRB Administrator

CITI Lab Animal Welfare

- Aseptic surgery
- Essentials for IACUC Members
- Reducing Pain and Distress in Laboratory Mice and Rats
- Working with the IACUC
- Working with Amphibians in Research Settings
- Working with Hamsters in Research Settings
- Working with Mice in Research
- Working with Rats in Research Settings

CITI Institutional Biosafety

- Basic Biosafety Training
- Emergency and Incident Response to Biohazard Spills and Releases
- Institutional Biosafety Committee Member Course
- NIH Recombinant DNA (rDNA) Guidelines
- OSHA Personal Protective Equipment Training

CITI Responsible Conduct of Research

NSF and NIH mandates that institutions develop a Responsible Conduct of Research (RCR) instruction plan and requires that anyone involved in NSF or NIH funding complete the approved training. The University of Scranton complies with this mandate by providing the following courses accessible through the CITI program.

- RCR for Biomedical Investigators
- RCR for Social and Behavioral Investigators
- RCR for Administrators (IRB, DRB, IACUC, or IBC Members ONLY)

Office of Research and Sponsored Programs

Institutional Review Board

AY 2021-2022 Members

Bryan Burnham, Ph.D., Chair	Psychology
Ovidiu Cocieru, Ph.D.	Management, Marketing, and Entrepreneurship
Sabine Charles, M.D., Dr. PH.	Epidemiologist, Lackawanna County
Ahmed Gomaa, Ph.D.	Operations and Information Management
William Miller, Ph.D.	Health Administration and Human Resources
Tabbi Miller-Scandle, Ph.D.	Director, Research & Sponsored Programs
Sufyan Mohammed, Ph.D.	Communication
Andrew Venezia, Ph.D.	Exercise Science
Margarete Zalon, Ph.D.	Nursing
Donald Bergmann*	Chief of Police
Therese Kurilla**	Grants Mgr., Research & Sponsored Programs

*Ex office **Non-voting

2021- 2022 MEETING SCHEDULE

All meetings begin at 11:30 a.m. (unless otherwise specified).

Meeting Date:	Meeting Location:	Protocols Due By 4:30pm to IRBNET:
Tuesday, September 21, 2021	BRN500(PNC)	Tuesday, September 14, 2021
Tuesday, October 19, 2021	BRN500(PNC)	Tuesday, October 12, 2021
Tuesday, November 16, 2021	BRN500(PNC)	Tuesday, November 9, 2021
Tuesday, December 21, 2022	TBD	Tuesday, December 14, 2021
Tuesday, February 15, 2022	Zoom	Tuesday, February 8, 2022
Tuesday, March 22, 2022	BRN 502 (Casey)	Tuesday, March 15, 2022
Tuesday, April 19, 2022	BRN 502 (Casey)	Tuesday, April 12, 2022
Tuesday, May 17, 2022	BRN 502 (Casey)	Tuesday, May 10, 2022

IRBNet

Beginning on April 1, 2016, all protocols (including new protocol, revisions and renewals) must be submitted electronically via IRBNet, using newly revised forms, which can be found in the IRBnet system. IRB Applications can be found on IRBnet.org

IRB <u>EXEMPT</u> STATUS APPLICATION

IRBnet No.:   Date Submitted to IRBnet:

**(This form is ONLY for minimal risk research where no identifiers
are collected, and must be submitted via IRBnet)**

A. GENERAL INFORMATION

Project Title:	
PI:	Email:
Department:	Work Address (Bldg and No.):
Phone:	Emergency Phone:
Co-PI(s):	Co-PI(s) Contact Info:
Student Researcher:	Student Researcher Contact info:

1. Sponsor Information- Check One

( ) Not funded.

( ) Internal funding. Type:

( ) External funding. List agency name:

2. Project Personnel: Include the PI and all personnel who may interact with subjects or access identifiable human subject data. Training certification should be submitted with the application.

Name and Title(Check one)	Department/Email Address	Training Completed
( ) Faculty ( ) Staff ( ) Student ( ) Other, explain:		( ) CITI Basic, Date: ( ) NIH, Date:
( ) Faculty ( ) Staff ( ) Student ( ) Other, explain		( ) CITI Basic, Date: ( ) NIH, Date:
( ) Faculty ( ) Staff ( ) Student ( ) Other, explain		( ) CITI Basic, Date: ( ) NIH, Date:
( ) Faculty ( ) Staff ( ) Student ( ) Other, explain		( ) CITI Basic, Date: ( ) NIH, Date:

Additional personnel or other information:

a. Is this a student research project?   ( )Yes ( ) No

If yes, ( ) Graduate or ( ) Undergraduate

B. SCREENING QUESTIONS

1. Will the research expose participants to discomfort or distress beyond that normally encountered in daily life?

( )Yes ( )No

2. Could disclosure of participants' responses outside the research reasonably place them at risk of criminal or civil liability or be damaging to their financial standing, employability, or reputation?   ( )Yes ( )No

3. Does any part of the research require deception or incomplete disclosure of information to participants?

( )Yes ( )No

4. Will prisoners (or their data and/or specimens) be participants in the research?   ( )Yes ( )No

5.   For research proposed under categories 1-5, is the research subject to FDA regulations?   ( )Yes ( )No

Note: a **YES** for **questions 1-5** above indicates your research does NOT meet exempt criteria. Submit an Application for Expedited or Full Review.

C. EXEMPT CATEGORY CLAIMED (check all that apply):

( ) 1. Research conducted in established or commonly accepted educational settings, involving normal educational practices, such as research on regular and special education instructional strategies, or research on the effectiveness of or the comparison among instructional techniques, curricula, or classroom management methods.

If you checked this category, to do the research under this exempt category, it must be conducted in commonly accepted educational settings and not deviate from normal educational practices.
Is this true?   ( )Yes ( )No
If no, please submit an application for expedited or full review.

( ) 2. Research involving the use of educational tests (cognitive, diagnostic, aptitude, achievement), survey procedures, interview procedures, or observation of public behavior, **unless**: Information obtained is recorded in such a manner that human subjects can be identified, directly or through identifiers linked to the subjects; and any disclosure of the human subjects' responses outside the research could reasonably place the subjects at risk of criminal or civil liability or be damaging to the subjects' financial standing, employability, or reputation.

If you checked this category, the activity may **not** involve any interactions of the researcher with children, if they are participants. Does it involve interactions with children?   ( )Yes ( )No
If yes, submit an application for expedited or full review.

( ) 3. Research involving the use of educational tests (cognitive, diagnostic, aptitude, achievement), survey procedures, interview procedures, or observation of public behavior that is not exempt under paragraph (2) of this section, if: the human subjects are elected or appointed public officials, or candidates for public office; or federal statute(s) require(s) without exception that the confidentiality of the personally identifiable information will be maintained throughout the research and thereafter.

( ) 4. Research involving the collection or study of existing data, documents, records, pathological specimens, or diagnostic specimens, if these sources are publicly available or if the information is recorded by the investigator in such a manner that subjects cannot be identified, directly or through identifiers linked to the subjects.

For research under this category, will any of the data, documents, records, or biological specimens be collected or created **after** the date of this application? ( )Yes ( )No
If yes, submit an application for expedited or full review.

For research under this category, will any of the information obtained from private sources of data, documents, records, or biological specimens be recorded by the investigator in such a manner that subjects could be identified directly or through identifiers linked to the subjects? ( )Yes ( )No
If yes, submit an application for expedited or full review.

( ) **5**. Research and demonstration projects conducted by or subject to the approval of department or agency heads, and which are designed to study, evaluate, or otherwise examine: public benefit or service programs; procedures for obtaining benefits or services under those programs; possible changes in or alternatives to those programs or procedures; or possible changes in methods or levels of payment for benefits or services under those programs.

( ) **6**. Taste and food quality evaluation and consumer acceptance studies, if wholesome foods without additives are consumed or if a food is consumed that contains a food ingredient at or below the level and for a use found to be safe, or agricultural chemical or environmental contaminant at or below the level found to be safe, by the Food and Drug Administration or approved by the Environmental Protection Agency or the Food Safety and Inspection Service of the U.S. Department of Agriculture.

D. RESEARCH ACTIVITIES-Check all that apply:
( ) Internet or email data collection   ( ) Observation of participants
( ) Existing data, publicly available   ( ) Record review
( ) Existing data, NOT publicly available   ( ) Research using existing specimens
( ) Focus groups   ( ) Surveys or questionnaires
( ) Audio recordings   ( ) Interviews
( ) Other:

E. RESEARCH SUMMARY
1. Describe the research purpose and objectives:

2. Describe the research methods:

3. Describe the participant population:

4. Recruitment Information
   a. Describe how the participants will be recruited:
   b. Indicate the anticipated number of participants:
   c. Will any participants be under 18 years of age?   ( )Yes ( )No
      If yes, justify and describe how you will meet the exemption requirements:

5. Estimate the duration of the study:

6. Will all of the research activities be conducted at the University of Scranton?   ( )Yes ( )No

   a. If no, list the site/collaborator(s):
   b. A letter(s) has been submitted to the IRB from the collaborator to document how they intend to support the research.   ( )Yes ( )No

7. Describe how participants will provide consent:

8. Does research involve the use of publicly available or currently existing data?   ( )Yes ( )No
   a. If yes, list source of the data or specimens:
   b. Indicate whether the data is currently de-identified or how it will be de-identified:

9. Describe any potential risk to participants from participating in the research:

10. Indicate how you intend to minimize any risks to participants:

11. Describe procedures to protect participants' privacy and confidentiality:

12. Describe the potential benefits from the research:

13. Check all of the supporting materials submitted with this application:
    ( ) Questionnaires, surveys

    ( ) Standard Research Tools (published testing materials, etc.)

    ( ) Recruitment Materials

    ( ) Consent Documents

    ( ) Other, list:

F. PRINCIPAL INVESTIGATOR ASSURANCE AND SIGNATURE
( ) I understand that, as the PI, I am ultimately responsibility for the protection of the rights and welfare of human participants and the ethical conduct of research under this protocol. I agree to conduct the study in accordance with the approved protocol and ensure that all personnel involved in the research will do the same.

( ) I agree to follow the University of Scranton IRB Policies.

( ) I certify that the information provided in this application is complete and correct, and believe that my project qualifies as Exempt from the Federal Regulations.

( ) I agree to personally conduct or supervise the described investigation(s).

( ) I agree to maintain copies of all questionnaires, survey instruments, interview questions, data collection instruments, and information sheets for human participants for three years following termination of the project,

( ) I understand all investigators associated with this research must renew their human participant research training every 3 years.

( ) I understand it is my responsibility to resubmit an application to the IRB if I need to make any changes that alter the exempt status determination and approval.

Rev. 10/2017

( ) I understand this project will be closed by the IRB three years from the date of approval and records will be retained in the IRB office for 3 years after that date.

Project Title:

SIGNATURE: **Note: Students are not eligible to sign this page.**

PI Signature:	Date:
Printed Name of PI:	

IRB EXPEDITED OR FULL REVIEW APPLICATION
IRB No.:   Date Submitted to IRBnet:

A. GENERAL INFORMATION

Project Title:	
PI:	Email:
Department:	Work Address (Bldg and No.):
Phone:	Emergency Phone:
Co-PI(s):	Co-PI(s) Contact Info:
Student Researcher:	Student Researcher Contact info:

1. Sponsor Information-Check One
( ) Not funded.
( ) Internal funding. Type:
( ) External funding. List agency name:

2. Project Personnel: Include the PI and all personnel who may interact with participants or access identifiable human participant data. Submit copies of the training certifications with the application.

Name and Title(Check one)	Email Address	Training Completed
( ) Tenure Track Faculty ( ) Non-Tenure Track Faculty/Clinical Faculty ( ) Staff ( ) Student ( ) Other, explain:		( ) CITI Basic, Date: ( ) NIH, Date:
( ) Tenure Track Faculty ( ) Non-Tenure Track Faculty/Clinical Faculty ( ) Staff ( ) Student ( ) Other, explain:		( ) CITI Basic, Date: enter date ( ) NIH, Date: enter date
( ) Tenure Track Faculty ( ) Non-Tenure Track Faculty/Clinical Faculty ( ) Staff ( ) Student ( ) Other, explain:		( ) CITI Basic, Date: enter date ( ) NIH, Date: enter date
( ) Tenure Track Faculty ( ) Non-Tenure Track Faculty/Clinical Faculty ( ) Staff ( ) Student ( ) Other, explain:		( ) CITI Basic, Date: enter date ( ) NIH, Date: enter date

Additional personnel or other information:

a. Is this a student research project?   ( )Yes ( ) No
  If yes, ( ) Graduate or ( ) Undergraduate

B. CATEGORY CLAIMED
( ) Request for Full IRB review

OR

( ) Request for Expedited Review-Research reviewed under this category must involve no more than minimal risk and be described by one or more of the allowed categories (see http://www.hhs.gov/ohrp/policy/expedited98.html). Minimal risk is defined as the probability and magnitude of harm or discomfort anticipated in the research are not greater in and of themselves than those ordinarily encountered in daily life or during the performance of routine physical or psychological examinations or tests [45 Code of Federal Regulations (CFR) 46.102(i)].

C. OTHER REQUIRED INFORMATION

   1. Is an investigational drug, biologic, or device proposed for use with participants in this study?   ( ) Yes   ( ) No
   a. If **yes**, an application must be submitted to the U.S. Food and Drug Administration for an Investigational Device Exemption (IDE) or Investigational New Drug (IND) authorization. Provide a copy of these materials to the IRB for review.

   2. Does the research require any other committee review? ( )Yes   ( ) No
      ( ) IBC for use of biohazardous materials (blood, tissue, serum, etc.)
         Indicate status: ( ) Registration Approved, IBC No.   or ( )Registration Pending

      ( ) IACUC for using Animal Models
         Indicate status: ( ) Protocol Approved, IACUC No.   or ( )Protocol Pending

      ( ) Radiation Safety Committee for use of **ANY** radiation emitting devices and radioactive materials. This includes, but is not limited to: ALL devices, machines, and materials emitting x-rays (including DEXA, DXA), gamma rays, protons, neutrons, and any radioactive substance (regardless of chemical form). Use of lasers and microwaves also requires review and approval by the RSC.

   3. Are you working with a researcher from an institution with their own IRB? ( ) Yes   ( ) No
      If yes, do you intend to file an agreement to assign oversight to one IRB? ( ) Yes   ( ) No

   4. Will any of the collaborating researchers from outside organizations be involved in interventions or interactions with the participants? ( ) Yes   ( ) No
      If yes, do they have a current professional license for the activity? ( ) Yes   ( ) No
      If no, explain:

D. RESEARCH ACTIVITIES

1. Check all that will apply to your participants for this research:

( ) Analyze data previously recorded   ( ) Test or record physiological measures
( ) Contact by mail, email, or telephone   ( ) Observe or record spontaneous behavior
( ) In person interview   ( ) Manipulate participants
( ) Internet survey   ( ) Collecting tissues or fluids
( ) Medical Record Review   ( ) Questionnaires/survey
( ) Photographs   ( ) Audiotapes/Videotapes/Recordings
( ) Incentives   ( ) Using control group and study group
( ) Transcription Services (interview, focus group)   ( ) Other, explain:

2. Do you intend to recruit from any of the following special populations? ( ) Yes ( ) No
If yes, check the type of participants and be aware that Full IRB Review may be required if greater than minimal risk:

( ) Minors under the age of 18   ( ) Pregnant Women
( ) Fetus/Fetal Tissue   ( ) Prisoners
( ) Economically/Educationally Disadvantaged   ( ) Cognitively Impaired.
( ) Non-English Speaking Participants   ( ) Other:

3. Categorize the risk of the research:

( ) No more than minimal risk.   ( ) Greater than minimal risk.

E. RESEARCH SUMMARY (Complete all sections on this form. Do NOT say 'See Attached'.

1. Describe the research purpose and objectives:

2. Describe the research methods:

3. Describe the participant population:

4. Recruitment Information
    a. Describe how you will recruit the participants:
    b. Indicate the anticipated number of participants:
    c. Are enough participants being recruited to achieve the objectives of the research
    (e.g., to provide for statistical analysis or to achieve saturation of a topic)?
    Explain:

5. Estimate the anticipated Start Date:
    Estimate the anticipated End Date:

6. Will the research be conducted with Non-University of Scranton collaborators?
    ( )Yes ( )No

    a. If yes, describe how the collaborator will be involved in the research (include details as to whether they are serving as a study site, providing support, or engaged in the research activity by intervening or interacting with the participants):

b. Provide letters of support from each collaborator and list the names and addresses of each here:

7. Does research involve the use of publicly available or currently existing data?
( ) Yes   ( ) No
    a. If yes, list source of the data or specimens:
    b. Indicate whether the data is currently de-identified or how it will be de-identified:

8. Will you be providing any incentives to the participants? ( )Yes   ( ) No
    a. If yes, check the type: ( ) Cash   ( ) Gift Card, to where:
                             ( ) Other, list:
    b. Specify the amount provided:
    c. Provide justification for why the incentive is necessary:
    d. Indicate when the incentive will be issued and how you will handle payment if the
participant withdraws part way through the study:

9. Check all of the supporting materials submitted with this application:
( ) Questionnaires, Surveys   ( ) Screening Criteria
( ) Standard Research Tools   ( ) Letters of Support
( ) Recruitment Materials   ( ) Training Certificates
( ) Consent Forms   ( ) Assent Forms
( ) Photo/Video Release Form   ( ) Confidentiality Agreement for
( ) Other, list: ( ) Transcription Services (this form must
                                     be signed by the transcriptionist)

10. Check all of the materials that will be submitted at a later date:
( ) Translated Document   ( ) Certification of Translation
( ) Final Survey/Interview Tools   ( ) Letters of Support
( ) Recruitment Materials   ( ) Collaborative Agreement
( ) Other, list:

F. INFORMATION FOR RESEARCH WITH SPECIAL POPULATIONS (Check all that apply)
( ) For research with participants under the age of 18, complete F.1.
( ) For research with participants with English as a SECOND language, complete F.2.
( ) For research with all other protected categories, complete F.3.
( ) If no special categories apply to your research, skip to section G.

1. Participants under 18 years of age.
    a. Informed consent will be obtained from at least one parent or guardian.
    ( )Yes ( ) No

    b. Describe the process for how parental informed consent will be obtained:

    c. Will you also obtain assent from the participants? ( )Yes   ( ) No
       If yes, describe the process to obtain assent from the participants:

d. Justify why you must use this group of participants for the research:

2. Participants with English as a Second Language:
   a. List the languages that materials will be translated to:

   b. List the titles of all materials that will be translated (Do not translate materials until you have approval for the English version.):

   c. I will submit an <u>IRB Amendment Form</u> with the translated and back translated materials in addition to a Translation Certification Form for each language.
   ( )Yes   ( ) No

3. Other Protected Categories of Participants
   a. Are any participants members of other protected populations? ( )Yes   ( ) No

   b. Describe the protected population category:

   c. Justify why you must use this group of participants for the research:

   d. Describe how this group of participants will be protected to meet all regulatory requirements:

   e. Additional information:

G. PRIVACY AND CONFIDENTIALITY INFORMATION
   1. Will you be collecting any information that identifies the participants? ( ) Yes ( ) No

   2. If yes, indicate the type of identifying information to be collected:

   3. Describe how this information will be protected and kept confidential:

   4. Describe where the information will be stored:

H. RISK INFORMATION
   1. What is your assessment of the level of risk? Federal guidelines state that risk "is minimal where the probability and magnitude of harm or discomfort anticipated in the proposed research are not greater, in and of themselves, than those ordinarily encountered in daily life or during the performance of routine physical or psychological examinations or tests." (Greater than minimal risk requires Full Review)

   ( ) No more than minimal risk.

   ( ) Greater than minimal risk
      ( ) **a.** Potential for direct benefit to participant.
      ( ) **b.** No potential for direct benefit to participants.

1. Describe all potential risks to participants in the research and why you believe it to be of minimal risk:

   a. If risk may appear be greater than minimal but you believe it should be considered within minimal risk parameters for this population, please explain:

3. Indicate how you will minimize risks outlined above to participants:

4. Are there alternative methods to acquire the information that could avoid the risks?
   ( )Yes ( )No
   If yes, explain:

5. Do you plan to record or test physical responses as part of the research?
   ( )Yes ( )No

   If yes, I, and my co-investigators, understand how to activate the emergency response procedure for the university or site at which the study will be conducted.
   ( ) Yes   ( )No

I. **BENEFITS INFORMATION (**Compensation is not a benefit.**)**
   1. Describe the direct or potential benefit of this research to the participants involved:

   2. Explain the risk vs. benefit and how the risk is justified by the benefit for the participants in this study. (If using both a study group and a control group, more than one level of risk may be involved.):

   2. Describe the potential benefits of the research to society as a whole. Include only those benefits that may result from the research (as distinguished from benefits of therapies participants would receive even if not participating in the research):

   4. Indicate what, if any, benefits may accrue to individuals who are not participants, but who are similar to the participants in terms of social characteristics (e.g. those who are the same socioeconomic status, gender, race/ethnicity, age, immigration status, disability status or medical status):

J. **INFORMED CONSENT INFORMATION**
   1. Are you submitting an informed consent document? ( )Yes   ( )No
      a. List the title of each consent form submitted (ex. 'Focus Group Consent', 'Interview Consent):

      b. Check one:
         ( ) Consent will be done in a group setting
         ( ) Consent will be done individually
         ( ) Consent will be embedded in a survey document or questionnaire.

      c. Describe who will be obtaining consent for this study:

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d. Where will this process and discussion take place:

e. Will any audio recordings, video recordings, or photographs be used?
( )Yes ( )No
Note: Make sure the Informed Consent document includes which of these will be used and the date the material(s) will be destroyed or erased (not to exceed three years from the completion of the research).

If yes, complete the following:
i. Describe the purpose for collecting these materials:

ii. Indicate the date the materials will be destroyed:

iii. Will any of these materials be used for publication?   ( )Yes ( ) No
If yes, also submit an IRB Video/Photo Release Form for approval.

2. Are you applying for any type of Waiver of the Informed Consent Requirement?
( )Yes ( ) No   If yes, complete the rest of this section.

a. ( )Request to Waive Consent Entirely or Allow Alteration for Consent.
Explain why this research involves no more than minimal risk to the participants or their privacy:

i. Explain why the waiver will not adversely affect the rights and welfare of the participants:

ii. Explain why the research could not be carried out without the waiver or alteration:

iii. Explain how the participants will be provided with additional pertinent information after participation (For example, in deception studies).

b. ( )Request to Waive Documentation of Consent (The consent process will be completed with an IRB approved form, but no signed forms will be collected.) Check the option below and justify the waiver request that best meets the purpose of the request.

( )The only record linking the participant and the research would be the consent document and the principal risk would be potential harm resulting from a breach of confidentiality or discovery that they had participated in such research. Each participant will be offered a copy of the informed consent form but may refuse it. Explain:
OR
( )The research presents no more than minimal risk of harm to participants and involves no procedures for which written consent is normally required outside of the research context. Explain:

7

K. PRINCIPAL INVESTIGATOR ASSURANCE AND SIGNATURE PAGE

Check each box to verify you understand and agree to the following:

( ) I agree to follow the University of Scranton IRB Policies

( ) I agree to conduct the study(s) in accordance with the approved protocol and will not modify or revise a protocol until an IRB Amendment Form is submitted and approval is received from the IRB and/or sponsor, except when necessary to protect the safety, rights, or welfare of participants.

( ) I agree to personally conduct or supervise the described investigation(s).

( ) I agree to inform all research participants of the investigational nature of this project as required in 21CFR56 and 45CFR46.

( ) I will ensure that the requirements for obtaining informed consent are met per the regulations found at 21CFR56 and 45 and 45CFR46.

( ) I agree to immediately report to Dr. Tabbi Miller-Scandle, IRB Administrator, any unanticipated events or adverse experiences that occur during the course of this research.

( ) I agree to ensure that all associates, colleagues, and employees assisting in the conduct of the study(s) are informed about their obligations to follow University of Scranton IRB Policies and Procedures and all confidentiality requirements.

( ) I agree to maintain adequate and accurate records, including copies of all consent documents, and to make those records available for inspection in accordance with the regulations. (Records must be kept on file 3 years from the project completion date.)

( ) I understand I must submit an IRB Annual/Continuing Review Form at a minimum of once per year.

( ) I understand that any medical procedures or treatments of human participants will be performed by or under the supervision of a person who is licensed or certified to perform that particular procedure.
　( ) Check here if N/A.

( ) I understand all investigators associated with this research must renew their human participant research training every 3 years.

( ) I understand that the research may not begin until I have received the official notice of approval from the IRB.

Project Title:

The entire application MUST be submitted to the IRB via IRBnet.

SIGNATURE:

PI Signature:	Date:
Printed Name:	

Grant-writing Workshop/Funding Agency Travel Awards

ORSP is continuing to offer funding to support faculty who are interested in attending a grant writing workshop or visiting a funding agency. The specific event must be approved by ORSP as one that will assist faculty in identifying funding streams, writing successful grant proposals, or in re-writing a previously rejected proposal. Interested faculty members must complete a pre-approval application prior to travel. If the application is approved, travel costs (including registration fees) will be reimbursed up to **$2,000**.

Recipients of these travel funds will be expected to submit a brief report (2 page maximum) describing the experience and knowledge gained. This will assist ORSP in maintaining a dialog with the faculty member concerning next steps in their quest for funding.

The application can be found on the ORSP site at:
http://www.scranton.edu/academics/provost/research/pdf/FacultyGrantWritingTravelApp2.pdf

Preference will be given to faculty who did not receive funding in the previous academic year. Applications will be approved until funds have been expended.

If you have any questions, please contact Dr. Tabbi Miller-Scandle at tabbi.miller-scandle@scranton.edu or x6353.

University of Scranton
Office of Research and Sponsored Programs

Faculty Grant-writing Initiative Travel Form

NAME:

DEPARTMENT:

ROYAL ID#:

E-MAIL:

SEMESTER ATTENDING WORKSHOP*:   **YEAR:**

TITLE OF WORKSHOP*:

WORKSHOP* LOCATION:

ANTICIPATED DATES OF WORKSHOP*:

    FROM:

    TO:

WORKSHOP* DESCRIPTION:

Return completed form to Dr. Tabbi Miller-Scandle, ORSP.

BRIEFLY DESCRIBE HOW ATTENDING THIS EVENT WILL BENEFIT YOUR RESEARCH PROGRAM:

*This may also pertain to a visit to a funding agency, e.g., NIH, NSF, other government funding agency. Please specify this when completing the application.

Return completed form to Dr. Tabbi Miller-Scandle, ORSP.

APPLICATION GUIDELINES

The **Faculty Internal Research Program** (FIRP) provides a source of funding for full-time faculty research projects in all disciplines. The purpose of these grants is not to supersede external funding, nor to provide ongoing support for a project. Rather, FIRP funds are intended to provide start-up funding for novel research projects and/or to support research which cannot be funded through other sources. FIRP awards may also serve as a source of funding for substantially revised projects that have been previously funded through this mechanism. **Priority consideration will be given to faculty who have not received FIRP funding in the prior year.** Faculty who have received these funds should work with the Office of Research and Sponsored Programs (ORSP) to identify and pursue continuation of funding (generally through external sources) for their research projects.

Proposals are accepted twice a year. Funding decisions are made by the Faculty Research Committee (FRC) at its meetings in **November** and **April**. Reminders are sent to all full-time faculty in **October** and **March**, advising of the deadlines for those funding rounds.

Grants of up to **$2,000 per academic year may be awarded for an individual proposal and $3,000 for an internally collaborative proposal**. Faculty members who received an award of less than $2,000 in the Fall semester may submit another application in the Spring for up to a combined $2,000 Fall/Spring total. Each year, the University makes available a total of $40,000 for these grants. Distribution of the funds is determined based upon substantive review of the individual proposals.

Items NOT funded under this program:
· **Student research projects.** Students should contact ORSP for available funding sources.
· **Student assistants fulfilling academic requirements** (e.g. honors, thesis research).
· **Faculty member stipends.***
· **Expenses for Journal Publication**.
· **Teaching/Curriculum Development.***
· **Travel to conferences.***
· **Sabbatical relocation and living expenses.**

   ***See *Faculty Development* Provost's Office website for further information.*

APPLICATION INSTRUCTIONS

FACULTY RESEARCH COMMITTEE – INTERNAL RESEARCH GRANTS

I. COVER SHEET

A. **Identification -** fill in the blanks as follows:
1. **Name and Department** of each applicant;
2. **Title** of proposal;
3. **Total Amount** being requested;
4. **Start Date** of project;
5. **End Date** of project, and;

B. **Approval Status** (if required for your project). Note: If *IACUC, IRB, or IBC approval* is required, **a protocol must have been at least reviewed by the appropriate committee, thus pending approval,** at the time of submission of the funding proposal. The associated protocol must be submitted and reviewed by **November 1** for Fall submissions and by **April 1** for Spring submissions.
   a. **IACUC** (Institutional Animal Care and Use Committee) Date of Approval or Review Date, if pending
   b. **IRB** (Institutional Review Board for the Protection of Human Subjects) Date of Approval or Review Date, if pending
   c. **IBC** (Institutional Biosafety Committee) Date of Approval or Review Date, if pending

C. **ABSTRACT (use space provided only):** The abstract **MUST** provide a descriptive overview of the entire project using language that can be understood by reviewers who are not subject matter experts (i.e., must be written in layman's language). Include statements concerning the project's significance, the proposed activities, and the project's intended objectives. Proposals which include abstracts containing purely technical language will not be approved.

II. BUDGET - *Please use Budget Form provided. Itemize all budget requests and explain items included on Budget Form, e.g., calculation base, relevance to the project, how additional expense will be covered.*

A. **Salaries and wages** – include here all persons employed by the University and paid through the University payroll. (Note: all students must be paid through University payroll.) Funds may be requested to cover the cost of hiring students to assist in a faculty member's project at the rate of $10 per hour for undergraduate students, up to $14 per hour for undergraduate students with special expertise (e.g., graphics, web design, data analysis, software or other expertise as described in the budget justification) required by the project, and $14 per hour for graduate

students. Students working on research to fulfill educational requirements (e.g. honors work, thesis research, etc.) may <u>not</u> be paid under this program.

B. **FICA** is required by the IRS for all University personnel. Calculate at 7.65% of salaries and wages.

C. **Consultants and Fee-for-Service Personnel** - include all persons not employed by the University of Scranton. FICA is not required; a 1099 form will be issued if applicable.

D. **Supplies** include all consumables such as laboratory supplies, paper, stationery, envelopes, stamps, computer disks, or any project-specific software. This budget category also includes non-consumable lab materials and small "equipment." **Note:** The University definition of equipment is an article of non-expendable, tangible, personal property costing $5,000 or more per unit. Any questions about this definition should be directed to the ORSP.

E. **Tablet Computers.** Funding for the purchase of an iPad or other tablet computer may be granted at the discretion of the FRC. A persuasive justification for the need of this type of system, specific to the proposed research, is crucial for consideration of the expense.

F. **Only equipment (including tablet computers)** that is specific to the project will be considered for funding. Equipment purchased under an internal grant remains the property of the University following completion of the project.

G. **Travel** is supported when essential to the research project and must be explained in the Budget Justification. If travel is needed for collaboration, explain why this cannot be accomplished using technology. Calculate expenses at the University approved rates.

H. **If total project expenses exceed allowable funding**, identify the source of the additional funds.

III. **BUDGET JUSTIFICATION:** Provide a written explanation of each component of the budget, which "justifies" the cost in terms of the proposed work. The explanations should focus on how each budget item is required to achieve the aims of the project and how the estimated costs in the budget were calculated. The Budget Justification should follow the order of the budget items in the form and as explained above.

IV. **NARRATIVE (Limited to six pages): Narrative must be 11-point font or larger and must be double-spaced. If the narrative does not meet these requirements, or exceeds six pages in length, the proposal will not be reviewed.**

Please note: The FRC is composed of faculty from a variety of disciplines. With that in mind, the narrative should be written for a general audience using layman's language.

A. **Background and Significance:** Discuss your project in the context of your research agenda and your academic field, including documentation/justification with

citations from the literature, as appropriate. This section should include relevance and significance of the proposed project.

B. **Objectives of the Research Project:** This section must describe the specific objects/goals of the project in detail, and must include a timeline for the project.

C. **Methodology:** This section should answer the question: "How, when, and where do you intend to perform the study?" Describe project activities in detail. **Note:** Methodology section **must** include a detailed description of the method of data analysis, including statistical analyses, which will be employed, if applicable.

D. **References:** List references cited.

E. **Dissemination Plans:** Discuss plans to disseminate your results, e.g., conferences, publications, and any other research products.

F. **Additional Funding Sources/Plans for Continuation of Funding:** Describe other sources of funds sought and/or awarded for this project (via internal or external funding mechanisms). The Budget section of the application should clearly identify how other funds, if any, will be utilized for the project, and what specific costs this grant would cover. Also describe plans for seeking future extramural support for the project. **NOTE:** FIRP funds are intended to serve as initial funding, not ongoing project support. Therefore, faculty seeking this funding should present a plan for obtaining external support for the research beyond the proposed award period.

V. **BIOGRAPHICAL INFORMATION – All applicants (1 page each):** Include only information which is pertinent to the project, most recent degree, and relevant publications.

For each applicant, provide a list of all Internal Research Grants received in the past three years. Please list each project as follows:
1. Title of project
2. Date funded
3. Amount funded
4. Results of project, e.g. publications, presentations, external funding sought/received (source and amount).

NOTE: A final report for each grant must be submitted to the ORSP within *60 days of the end of the award period*. Failure to submit a final report will prohibit the faculty member from submitting any future FIRP applications.

SUBMISSION INSTRUCTIONS

The University of Scranton
Office of the Provost
FACULTY RESEARCH COMMITTEE – INTERNAL RESEARCH GRANTS
Save your completed cover sheet, budget page, and the full proposal in <u>one complete</u> <u>document</u> (either MS Word or PDF) and send it as an e-mail attachment to <u>linda.walsh@scranton.edu</u>.

E-mail confirmation of receipt of your proposal will be sent. Should you not receive confirmation within two business days, please call ext. 7520.

REVIEW CRITERIA

- Merit of the proposal and relationship to the discipline's body of knowledge
- Appropriateness of budget
- Clarity of the proposal
- Rigor of the project design
- Potential for publication or presentation
- Potential of the project for external funding or evidence that external funding is not available.
- Evidence of applicant's ongoing scholarly productivity

Note: An Internal Research Funding application should be able to stand on its own. All proposals will be evaluated *solely upon the information presented*. Please be certain that all criteria above (and all specific questions contained in the instructions below) are fully addressed in the body of the application. *Failure to do so will result in rejection of the proposal*.

FACULTY RESEARCH COMMITTEE – INTERNAL RESEARCH GRANTS

Please carefully read the Guidelines and Instructions before preparing your proposal.
Proposals lacking requested details may be rejected.

I. APPLICATION FORM/COVER SHEET

APPLICANT(s):

Name: _____ Dept: _____ Signature: _____

Name: _____ Dept: _____ Signature: _____

Name: _____ Dept: _____ Signature: _____

TITLE OF PROPOSAL: _____

_____

Total amount requested: $ _____
Project Start date: _____ Project End date: _____

Approvals (if required)
        IACUC   Date Reviewed _____ Date Approved _____
        IRB   Date Reviewed _____ Date Approved _____
        IBC   Date Reviewed _____ Date Approved _____

****

ABSTRACT

[Using only the space provided on this page, please enter your Abstract here. Use layman's language.]

FACULTY RESEARCH COMMITTEE – INTERNAL RESEARCH GRANTS

II. BUDGET

	Amount
A. Salaries and Wages *(students and other personnel paid through University payroll) – specify no. of hours and hourly wage*	
A. Total Salaries & Wages	
B. FICA *(0.0765 x total salaries and wages)*	
B. Total FICA	
C. Consultants and other Fee-for-Service Personnel *(personnel paid via check voucher) - specify no. of hours and hourly wage*	
C. Total Consultants	
D. Equipment	
D. Total Equipment	
E. Supplies	
E. Total Supplies	
F. Travel *(itemize mileage, per diem, hotel, airfare)*	
F. Total Travel	
G. Other	
G. Total Other	
H. TOTAL PROJECT COST	
I. AMOUNT REQUESTED *(Max. $2,000 individual; $3,000 collaborative)*	
J. Subtract I from H - *If H is greater than I, explain in Budget Justification how the additional expense will be covered.*	

FACULTY RESEARCH COMMITTEE – INTERNAL RESEARCH GRANTS

III. BUDGET JUSTIFICATION (one page)

IV.   NARRATIVE (maximum six pages)

V.   BIOGRAPHICAL INFORMATION (one page for each investigator)

The University of Scranton

APPLICATION FOR SABBATICAL LEAVE

PART I – TO BE COMPLETED BY APPLICANT

Name:	Department:
Date of initial appointment at the UofS:	
Academic year of last sabbatical (if any):	
Proposed semester(s) for this sabbatical: _____ Requested duration: _____ one semester _____ full year	
Signature	Date

TYPE OF PROJECT (please check): _____ Scholarly/Research Project

_____ Curriculum Development

REQUIRED ATTACHMENTS:

1. *Project Description* (approximately 3-5 double-spaced pages)
    Please use <u>non-technical</u> English.
    - **Background** - previous research in the area
    - **Reasons or Need** for the particular type of professional development and/or curricular revision proposed
    - **Specific Activities** to be undertaken during the sabbatical time
    - **Outcomes** (e.g. publications, grant proposals, impact on research and/or teaching, curriculum revisions)

2. *Up-to-Date Curriculum Vitae* (condensed to 2 pages)
3. *Sabbatical Report* from last sabbatical (if applicable) as submitted to Provost.

* * * * * * * * * * * * * * * * * * * *

PART II - RECOMMENDATIONS:

	Signature	Date	Yes	No
Department Chair				
Dean				
Research Committee				

PART III - PROVOST/VPAA APPROVAL:

_____   _____

Signature   **Date**

Guidelines for Sabbaticals

Rationale for Sabbaticals

Sabbatical leaves are a form of faculty development involving relief from University duties for a semester or an academic year. When the University grants a sabbatical, it is making an investment in the development of its human resources and, in fact, its most critical resource. What the University expects to receive in return is a better, more productive faculty member.

The Faculty Research Committee (FRC) members look for a well-defined plan that is built around the sabbatical guidelines noted herein. Members expect proposals to be succinct, well-presented and carefully thought-out with details provided that support the plan as both worthwhile and doable. Members also look carefully at the proposed outcomes. To meet FRC's expectations, please follow these guidelines as closely as possible.

You should review the details in this document carefully prior to beginning work on your sabbatical application. If you intend to seek sabbatical for an academic year, please review relevant language in Section 12.4 of the Faculty Handbook regarding request and justification for greater salary supplement (up to 70%) for a one-year sabbatical.

Types of Projects

A sabbatical proposal may concentrate on either research or curriculum development.

A **research project** should be a substantial undertaking generally related to the faculty member's continuing research interests. Typically, the project will result in significant scholarly publication, production of a major grant proposal, or the creation of some similar acceptable product. Develop a research project that has definable parameters. Perhaps the best idea in this regard is to select a project that can be completed during the period of the sabbatical leave. Applicants should clearly identify the work that will be completed during the sabbatical period. If it is a larger project that will take more time, explain what will be done during the sabbatical timeframe. In the case of a research project, the expected outcome is submission to a peer-reviewed medium for publication.

A **curriculum development project** should make a clear contribution to the instructional program in the faculty member's area of teaching competence. The project will often be an outgrowth of some recognized departmental need, though this need must be outside the norm of what faculty members, including the chair, are expected to do in the course of performing their regular duties. The work must be more than just an updating of one's course notes, something which every faculty member is expected to do on a continuing basis. The project should be concrete and well-defined. It must make a significant contribution to the enhancing of the curriculum.

Preparation of the Proposal

You should present a summary of the project first. Do this in non-technical English and make plain right up front what you want to do and why it is important, why it is a contribution, etc. Keep this to a page or less.

In the body of the proposal, focus on precisely what the project is, why the project is important, who it will benefit, why you want to do it, and where you will seek publication (if applicable). If you do a proposal for a curricular project, make sure you discuss concretely the reasons it is needed and the impact the project will have on educating students for the major, minor and in general. Specify any other impact. Note what has changed in the field to make your project needed and indicate why doing this project falls outside of the normal responsibilities of a faculty member or chair. Show how it fits into the curriculum.

Include a research plan (for a research project) or an action plan (for a curricular project) detailing what you will do in order to achieve your goal. Be specific in your description, noting places you need to visit, resources you need to consult, people you need to interview, etc.

Indicate how the completion of this project will benefit you and/or your department and the University.

Procedure for Requesting A Sabbatical Leave

1. You must complete the sabbatical application form found at https://www.scranton.edu/academics/provost/research/sabbaticals. Submit it, along with your application, to your Department Chair and Dean for review.
   - **Your signed application must be submitted to your Department Chair by September 15 of the year prior to the contract year in which you seek the sabbatical. The Department Chair will review the application, make a recommendation and submit it to the Dean by September 22.**
   - At the same time when you submit your application to your Department Chair, please submit an electronic copy of it in one document to Linda Walsh in the Provost's Office at Linda.Walsh@scranton.edu. If you encounter problems opening the application form, please call Linda at ext. 7520.
2. After approval by the Dean, the application will be sent to the Faculty Research Committee whose members will review the applications beginning in late September.

At any stage during the review process, the application may be returned to the faculty member for clarification or more information.

Faculty Research Committee recommendations will be completed by November 30 and sent to the Provost for action. The Provost will notify each faculty member of the decision by the end of the semester.

Review of Proposals

Reviewers of sabbatical applications look at proposals from two points of view:

1. The quality of the proposal is reviewed. Is the proposal dealing with a substantial topic, one which merits release from all other duties? Has the proposer adequately spelled out the details of how the work is to be accomplished, and what the intended outcome is? If publication is an intended outcome, is the intended medium appropriate to the faculty member's scholarly discipline? Can the project realistically be completed within the sabbatical timeframe?
   - o With respect to this aspect of the review, it should be noted that sabbatical proposals are sometimes returned to the faculty member for clarification or expansion before the review is completed.
2. Is the sabbatical leave feasible from a departmental point of view? Can the department's schedule accommodate the sabbatical? Have adequate provisions been made for covering the faculty member's normal responsibilities?

In addition, if a sabbatical application includes a project that requires IRB approval, the application should either carry that approval or stipulate a plan to obtain such approval.

Successful applicants are reminded that they must submit a report following sabbatical in accordance with Section 12.3 of the Faculty Handbook, which outlines the content and the due dates for the reports.

Finally, in order to maintain the integrity of sabbaticals and ensure that faculty members have the necessary break from their normal routine and indeed carry out the activities for which the sabbatical is granted, recipients must follow the expectations set forth in Section 12.0 of the Faculty Handbook regarding teaching and other University responsibilities while on sabbatical.

It is important to remember that a sabbatical leave is not automatically granted, but is based on a demonstrated plan for significant professional development.

Patent Information

Brief Definition: A (U.S.) patent is a grant of a property right by the (U.S.) Government to the inventor, "to exclude others from making, using or selling the invention."

All patents must be "maintained" by paying a fee to the US Patent & Trademark Office at certain intervals. If you fail to pay the maintenance fee, your patent expires and you lose exclusive rights to your invention. Only a special act of Congress can extend the term of a patent, though certain pharmaceutical patents (a special type of chemical patent, not to be confused with patent medicines) don't require such extreme measures.

Three Categories

In the U.S., according to the current patent law, the US Patent & Trademark Office grants utility patents and plant patents that last for 20 years; and design patents that last for 14 years.

- *Utility patents* apply to new and useful processes, machines, manufactures, compositions of matter, or any new and useful improvement of one of these. Generally speaking, if your invention does something, you should apply for a utility patent. Traditionally, utility patents have been divided into three basic types: mechanical, electrical, and chemical. (Pharmaceutical patents are a special case of chemical patents)
- *Design patents* apply to new, original, and ornamental design for an article or manufacure. To highlight the difference between design and utility patents, consider the original Macintosh computer. The plastic shell that covers all working parts is covered by a design patent, while many of the working parts it hides are covered by utility patents.
- *"Plant patents* are granted to any person who has invented or discovered and asexually reproduced any distinct and new variety of plant, including cultivated sports, mutants, hybrids, and newly found seedlings, other than tuber-propogated plant or a plant found in an uncultivated state."

To receive a patent, an invention must meet at least the following three criteria:

Usefulness
Anyone who invents or discovers any new and useful process, machine, manufacture, compositions of matter, or any new and useful improvement of one of these can receive a utility patent.

If you invent a new, original, and ornamental design for an article or manufacture you may receive a design patent.

Plant patents work a bit differently. Since the language for plant patents is both very precise and very technical, we quote from the U.S. Patent and Trademark Office (USPTO) itself:

> "Plant patents are granted to any person who has invented or discovered and asexually reproduced any distinct and new variety of plant, including cultivated sports, mutants, hybrids, and newly found seedlings, other than tuber-propogated plant or a plant found in an uncultivated state."

Patent Information

Novelty

> Your patent must, of course, be novel. That is, if the invention has been known of or described in a printed publication somewhere (the U.S., Iceland, Madagascar. . .) before you invented it, or if it has been patented or described more than one year prior to your patent application, you can't get a patent. So if you invent something, begin to market it, and apply for a patent more than a year after you've made your invention public, you've prevented yourself from getting a patent.

(Non)-obviousness

> A further stipulation of novelty refers to obviousness. Even if what you want to patent is not exactly described in published information, and even if you have created something with one or more differences from the most nearly similar thing known, the US Patent & Trademark Office might still refuse your claims if it thinks those differences obvious. For instance, changes in materials ("But nobody has ever made an internal combustion engine out of pork sausage before?!") or changes in size ("But this toothpick is REALLY BIG?!") don't usually count for much.

International Patent Protection

Patent protection granted to an inventor by a government is only valid in the country where the inventor requested it. The rights do not extend beyond that country. For example, U.S. patents are valid only in the 50 states and its territories and do not provide legal protection in any other countries. When you wish to obtain patent protection for the same invention in other countries, you must file an application in each country separately. Attempting to pursue patent protection individually in several countries, however, can be complex and expensive, since each country has its own unique patent laws and practices. Important features in patent laws and practices that are significantly different among various nations are being negotiated under the auspices of the [World Intellectual Property Organization (WIPO)](#).

The WIPO is one of the 16 specialized agencies of the United Nations and has its intergovernmental organization headquarters in Geneva, Switzerland. Its main mission is to promote the protection of intellectual property throughout the world through cooperation among nations. (Intellectual property includes inventions, trademarks, industrial designs, and copyrights.) As of February 20, 1997, the WIPO membership includes 161 countries.

THE UNIVERSITY OF SCRANTON PATENT POLICY

I.   OBJECTIVES

The University recognizes that significant inventions or discoveries may be made in the normal course of activities at the University. This policy is intended to create a University environment that encourages the generation of knowledge by faculty, staff, and students; to provide an incentive for creative intellectual effort and the advancement of knowledge for the public benefit; to protect the respective interests of all parties involved; to assist the inventor and the University to realize tangible benefits from inventions or discoveries; and to encourage further research within the University with whatever funds accrue to the University.

II.   DEFINITIONS

A.   Patentability

Under federal patent law, an invention must pass the following four tests in order to be patentable:

1.   The invention must fall into one of the five statutory classes: a. processes; b. machines; c. manufactures (objects made by humans or machines); d. compositions of matter; and e. new uses of any of the above. 35 U.S.C. §101.

2.   The invention must be useful. §101.

3.   It must be novel. §102.

4.   The invention must be "nonobvious" to "a person having ordinary skill in the art to which said subject matter pertains." §103.

B.   Patent Rights

Subject to the provisions of the patent law, patents "have the attributes of personal property." They are assignable by an instrument in writing. §261. Whoever without authority "makes, uses, offers to sell, or sells any patented invention…during the term of the patent therefore, infringes the patent." Patent owners are entitled to relief from such infringement. §271.

C.   Sponsored Research Agreement

> Any sponsored research grant, contract, fellowship, or other special arrangement to fund research by third parties.

III.   APPLICABILITY OF THE POLICY

This policy applies to all inventions or discoveries which are conceived or reduced to practice, at least in significant part, by faculty, staff, or students of the University under circumstances described in Section V of this policy. Such inventions or improvements will be referred to as University inventions.

IV.   DISCLOSURE OF INVENTIONS

As soon as reasonably possible in each case, all University inventions shall be disclosed in writing to the Director of Research, using a Disclosure of Invention form which is available in the Office of Research Services (ORS). The Director of Research or the Director of Research Services should be kept fully informed in writing of the progress and results of all research and development work done with respect to such inventions. The Director of Research, the inventor(s) dean(s), ORS staff, and the Faculty Research Committee shall keep all disclosed information confidential.

V.   OWNERSHIP OF INVENTIONS

Any invention or discovery (a) resulting from research carried on by or under the direction of any faculty or staff member of the University and having all or part of the cost thereof paid from University funds or from funds controlled or administered by the University; or (b) which is made by any faculty or staff member of the University as a direct result of employment duties with the University; or (c) which has been developed in whole or in part by any faculty member, staff member, or student through the utilization of University resources or facilities, belongs to the University and shall be used and controlled in ways to produce the greatest benefit to the University and to the public and shall, at the same time, provide a corresponding benefit to the inventor(s). Use of University office space or library facilities shall not constitute a use of University resources for this purpose.

It is possible that a faculty member or other employee may develop a patentable invention without the use of any University resources. In such a case, the faculty member is free to pursue patenting on his or her own. The inventor(s) should give notice of invention to ORS and be willing to discuss the nature and circumstances under which the invention was developed, if requested by the Faculty Research Committee.

VI.   SPONSORED RESEARCH

If the research and development work related to any University invention is financed jointly by the University and one or more third parties or solely by one or more third parties, whether such parties are agencies or departments of the United States, or are other entities, the University and the Principal Investigator will confer with such third party or parties in order to arrive at a mutually satisfactory agreement as to ownership, licensing, royalties, and use of the invention. Funded faculty members and other funded inventors shall be bound by agreements with third party sponsors, and such agreements shall govern to the extent that they conflict with this Policy.

VII.   DISPOSITION OF INVENTIONS

The Faculty Research Committee and the inventor(s) may agree to use a person, agency, or organization to evaluate patentable inventions and discoveries. The Faculty Research Committee shall recommend to the Director of Research the disposition of inventions and discoveries. The Director of Research, after consulting with the Provost/Academic Vice President as necessary, shall direct that inventions and discoveries be either: (a) released outright to the inventor(s) in the event it is determined that the invention does not meet the criteria for a University invention; (b) released outright to the inventor(s) in the event it is determined that the invention does not merit or warrant exploitation; (c) released to the individual or organization sponsoring the research under which the invention or discovery was made if such action is required under the terms of the research contract with such organization or individual or is required by law; (d) assigned to one or more organizations for purposes of patenting and commercial development; (e) patented and exploited by the University; (f) patented by the University and licensed to another organization for commercialization; or (g) patented by the University and subsequently assigned to another organization.

The University will inform inventors as to its decisions regarding inventions which they have disclosed no later than sixty (60) days after the filing of the Disclosure of Invention form.

If the invention is released to the inventor(s) so that she or he may apply for a patent at her or his own expense, the inventor(s) shall grant to the University a royalty-free, irrevocable, nonexclusive license to make or use the invention for its own non-commercial purposes. Should the University decide to abandon development of a University-owned invention, ownership will be assigned to the inventor(s), subject to the rights of sponsors and to the retention of a nonexclusive, royalty-free license to practice the invention for non-commercial University purposes.

VIII.   INCOME

The inventor will receive fifty (50) percent of the net income which accrues to the University from University inventions. Income includes, but is not limited to, royalties and license fees. Net income shall mean the amount remaining after all payments or obligations directly attributable to evaluating, patenting, marketing, licensing, protecting, or administering the invention, if any, are deducted from income received by the University. In determining the use of the University's share of the proceeds, it is intended that research is a priority.

In the case of multiple inventors, the inventors' share shall be divided among the co-inventors, as they shall mutually agree at the time of formal assignment of the invention to the University. Should the inventors fail to agree mutually on a division, the Director of Research shall determine the division.

The University shall disclose to the inventor(s) how net income was determined for each invention.

In the event the inventor(s) do not agree with the decision of the Director of Research having to do with ownership or disposition of or income from an invention, the inventor(s) may ask the Faculty Research Committee to review the decision. Within fourteen days after it is asked to review the decision, the Faculty Research Committee shall review all information submitted to it by the inventor and by ORS and shall make its recommendation concerning the disputed decision to the Provost/Academic Vice President who shall make the final decision.

With regard to inventors who are full-time faculty members, this dispute resolution procedure is not intended to and does not supersede any grievance or other procedure contained in the Faculty Handbook. If a dispute is not resolved under this procedure to the satisfaction of the faculty member involved, the faculty member may then proceed to use any procedures available in the collective bargaining agreement.

S O A R

STUDENT OPPORTUNITIES IN ACADEMIC RESEARCH

Student Opportunities in Academic Research (SOAR) encompasses the following:

1. Student Research Opportunities through the Office of Research and Sponsored Programs (ORSP)
   - Faculty Student Research Program (FSRP)
   - President's Fellowship for Summer Research (PFSR)
2. Student Travel Funding
3. Celebration of Student Scholars (Spring event)
4. SOAR Information Session (Fall event)

Student Research Opportunities through ORSP

Faculty Student Research Program (FSRP): The principal purpose of the FSRP is to offer students the opportunity to be involved in faculty research activities. The FSRP offers students powerful learning experiences which transcend the traditional roles of faculty/student relationships. Students receive transcript recognition for their participation.

President's Fellowship for Summer Research (PFSR): ORSP offers ten undergraduate student summer research grants. One award will be specifically reserved for a project stemming from the Humanities, and one from the Social Sciences. Stipends of **$3,000** are offered to provide students with the opportunity to engage in a research project with a full-time faculty mentor during a ten-week period. In addition to the $3,000 student award, **$500** is allocated for materials and/or student travel.

Student Travel Funding

ORSP provides funding to assist our student researchers in covering costs related to travel to conference and professional meetings where they are presenting their research. Students may be eligible for up to **$300** in reimbursement of expenses.

Celebration of Student Scholars

This all-day event, celebrates both undergraduate and graduate student scholarship by featuring their work through physical displays of their research and creative efforts.

SOAR Information Session

The SOAR information session allows undergraduate students an opportunity to explore research possibilities on campus.

Brought to you by the **Office of Research and Sponsored Programs**

Contact us at 570-941-6353

Website: http://www.scranton.edu/academics/provost/research/

FACULTY STUDENT RESEARCH PROGRAM
LEARNING CONTRACT

REGISTRATION-T

Print clearly and use ink to complete this form in full.

One form is required per term.   Forms must be processed and submitted to the Office of the Registrar and Academic Services by the third week of each term.

Royal ID	Name	
Cell phone #	Email Address	@scranton.edu

College	Year	Major
☐ CAS ☐ KSOM ☐ PCPS	☐ FR ☐ SO ☐ JR ☐ SR	

Contract Term	Academic Year
☐ Fall ☐ Intersession ☐ Spring ☐ Summer	

I seek to participate in the FSRP program as detailed on the following page. I understand that a minimum of 20 research hours are required per term. I agree to notify the faculty member in a timely manner if I wish to discontinue participation in the program.

Student Name (print)	
Student Signature	Date

Approval Signature		Date
Faculty Name (print)	☐ Approved ☐ Not Approved	
Faculty Signature	Faculty Royal ID	

The faculty member and student should each keep a copy of their forms for their records before submission to the Office of the Registrar and Academic Services.

Return completed form to the Office of the Registrar and Academic Services, registrar@scranton.edu, O'Hara Hall, 2nd Floor.

ORAS Office Use:
☐   Registered, date:

Rev. 10/2020

Please complete all sections below.

Briefly describe the research project:

Describe actual tasks to be undertaken in connection with this research project:

Please detail the days/hours you plan to work. A minimum of 20 hours is required per term in order to earn transcript notation.

The University of Scranton
PRESIDENT'S FELLOWSHIPS FOR SUMMER RESEARCH
2022 REQUEST FOR PROPOSALS

INTRODUCTION

The President's Fellowships for Summer Research (PFSRs) provide students with the opportunity to engage in an intensive research project with a full-time faculty mentor during a ten-week period in the summer. There are several exciting changes to the PFSR program.

The total number of awards has been increased from **six (6) to ten (10**), and two of these will be dedicated specifically to projects that stem from the **Humanities (one award)** and the **Social Sciences (one award)**. Funds for the President's Fellowship have increased in total funding from $30,000 to $50,000. Students and faculty from the humanities and social sciences are especially encouraged to apply. Also, the faculty honorarium has been increased from **$1,000 to $1,500**. Awards per project will thus increase from **$4,500 to $5,000**.

The Office of Research and Sponsored Programs will administer the program. In addition to the faculty mentor honorarium, $3,000 will be provided to the student, and $500 is allocated for materials and/or student travel. Student awardees will have a residence hall bed assigned free-of-charge during the research period.

PROPOSAL GUIDELINES
- Research proposals are to be prepared by students with faculty mentor assistance.
- Each proposal must be typed in *12-point font, double-spaced,* and include:
    - Abstract (1 page)
    - Narrative (maximum of 7 pages)
        - Background
        - Research objectives and importance of the proposed project
        - Methodology (include timeline for project, even if it extends beyond ten-week period)
        - Description of both student and faculty roles in the research project
        - Dissemination plan for research results, including potential products and authorship
    - Bibliography
    - CV of faculty member (2 pages; experience relevant to research topic and student mentoring)
    - CV of student (2 pages)
    - Student transcript (unofficial copy is acceptable) – include with paper copy only
- **Submit by <u>March 11, 2022</u>**
    - One (1) original signed paper copy with transcripts to the Associate Provost, St. Thomas Hall, Room 5122 *AND*
    - One (1) electronic (WORD or pdf) copy without transcripts as an e-mail attachment to Linda Walsh, linda.walsh@scranton.edu.
- Students selected to receive the awards are required to display a poster of their work at the following spring's Annual Celebration of Student Scholars (held in April each year).

STUDENT ELIGIBILITY
- Undergraduate students who will continue full-time undergraduate study at The University of Scranton in Fall 2022 are eligible for a 2022 summer research stipend.
- Students must have a minimum GPA of 3.00 at the time of proposal submission and at least a B+ in their major.
- To receive the award, students must be free of academic and disciplinary restrictions at the end of the Spring 2022 semester.

REVIEW
- The Faculty Research Committee will evaluate the proposals. Faculty on the Committee who submit proposals will not take part in the review process.
- Criteria to be used in the review process include:
  - Merit of the proposed work
  - Credentials of the faculty member and expectation for success in the research
  - Credentials of the student and expectation for success
  - Quality and extent of the student's role in the proposed work
  - Potential for joint authorship on communications resulting from the proposed work
- Given proposals of equivalent quality, preference will be given to: 1) candidates who have not received this award previously, and 2) upper classmen.

QUESTIONS?   Please contact Linda Walsh, Office of the Provost, 570-941-7520, or linda.walsh@scranton.edu

The University of Scranton
PRESIDENT'S FELLOWSHIP FOR SUMMER RESEARCH
PROPOSAL COVER SHEET

STUDENT INFORMATION

Name:

Local Address:

E-mail: **Local Telephone:**

FACULTY INFORMATION

Mentor Name: **Department:**

E-mail: **Telephone:**

PROJECT TITLE:

APPLICATION CHECK LIST:

- ☐ **Proposal Cover Sheet**
- ☐ **Abstract**
- ☐ **Narrative**
- ☐ **Bibliography**
- ☐ **Faculty CV**
- ☐ **Student CV**
- ☐ **Student Transcripts (include with paper copy only)**
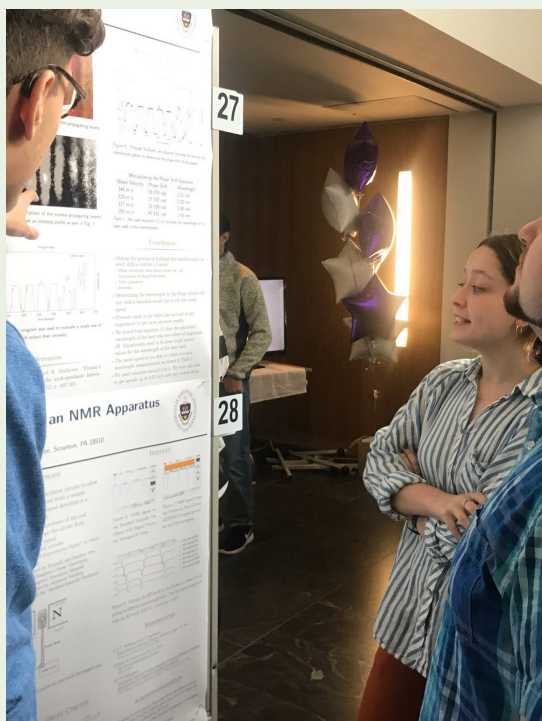
SUBMISSION CHECKLIST:

- ☐ **ONE ORIGINAL SIGNED <u>PAPER COPY</u> WITH TRANSCRIPTS to St Thomas Hall Room 5122**
- ☐ **ONE <u>ELECTRONIC COPY</u> (WITHOUT TRANSCRIPTS) to linda.walsh@scranton.edu**

SIGNATURES:

Student: _____ **Date:**_____

Faculty Mentor: _____ **Date:**_____

Undergraduate Student Funding Opportunity

ORSP is pleased to announce the availability of funding to promote **high-quality faculty-mentored experiences in research and scholarship** for our undergraduate students. Proposals are expected to support new or ongoing faculty-student research projects that focus on the creation of an undergraduate research/scholarship experience for the student resulting in student learning outcomes, such as inquiry and analysis, critical and creative thinking, and foundations and skills for lifelong learning.

To this end, the proposal submitted should be a collaborative effort between the student and the faculty member, with the student providing a project description, and the faculty member proving specific information about potential learning outcomes.

Research as a High Impact Practice (rHIP)

To apply:

- Submit electronic proposal (4 double-spaces pages maximum) to orsp@scranton.edu
- **Due Monday, November 20, 2019**
- Include in proposal:
  - Project Description
    - Background and Significance
    - Overview of project that student will perform
  - Budget (average award $500)
  - Brief description of the potential student learning outcomes associated with this project

Awards:

- All projects will end on 5/31/2020
- Approximately $7,500 total awarded
- Final report from faculty mentor is expected at project end
- Awardees must present at student scholars celebration in April 2020

Brought to you by:

Office of Research and Sponsored Programs (ORSP)

Contact us at 570-941-6353
http://matrix.scranton.edu/academics/provost/research/

Students from ALL disciplines are encouraged to apply.

The University of Scranton
Office of Research and Sponsored Programs

Student Travel Program Reimbursement Policy

PURPOSE:
The Office of Research and Sponsored Programs (ORSP) offers funds to assist student who will be attending professional conferences in order to make presentations, either involving the student's individual research or research done in conjunction with a faculty mentor.

PARTICIPATION:
Students only.

FUNDING AMOUNTS:
Students are limited to $300 per academic year.

USE OF FUNDS:
Students making presentations, either involving the student's individual research or research done in conjunction with a faculty mentor may apply for reimbursement.

REQUESTING FUNDS:
Students **must apply for preapproval** during the semester of travel. Students should complete the *Student Preapproval Travel Form* and return to Jamie Hayes in ORSP, O'Hara 424. If funds will be granted, upon returning from traveling, student will complete the *Travel Request Form.* **NO STUDENT will be given funding if preapproval was not granted.**

AVAILABILITY OF FUNDS:
Funding is limited. In the event funding is exhausted for the semester, students should contact respective Dean to inquire about funding.

University of Scranton
Office of Research and Sponsored Programs
Student Preapproval Travel Form

NAME: ROYAL ID#:

E-MAIL:

FACULTY SPONSOR:

PRESENTATION TITLE:

SEMESTER/YEAR ATTENDING CONFERENCE:

CONFERENCE NAME:

CONFERENCE LOCATION:

ANTICIPATED CONFERENCE DATES:
        FROM:
        TO:

WILL YOU BE AN ENROLLED STUDENT DURING THE CONFERENCE DATES?
YES   NO

WILL YOU BE PRESENTING ORIGINAL RESEARCH AT THE EVENT?
YES   NO

WILL YOU BE PRESENTING RESEARCH CONDUCTED IN COLLAORATION
WITH A UNIVERSITY OF SCRANTON FACULTY MEMBER? YES   NO

DOES THE RESEARCH PROJECT SPAN MORE THAN ONE SEMESTER?
YES   NO

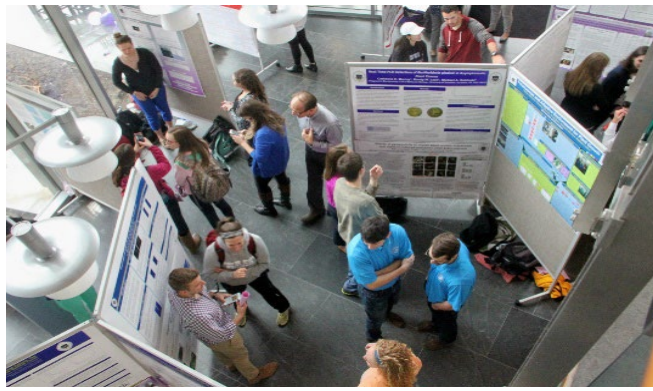<p style="text-align:center">**For ORSP Use only:**</p>

APPROVED: YES   NO   **Charge Fund: 840156 –ORSP Student Travel**

APPROVAL SIGNATURE: _____

Return completed form to:
Jamie Hayes, Office of Research and Sponsored
Programs O'Hara Hall Room 424
jamesina.hayes@scranton.edu or (570) 941-6353

19th Annual Celebration of Student Scholars

The University of Scranton is holding its **19th Annual Celebration of Student Scholars on Friday, April 26, 2019**. This event, held in Loyola Science Center, will celebrate both **undergraduate and graduate student scholarship**.

This is a **call for submissions**. If you are mentoring student research, we ask that you encourage your students to present their work in the form of a poster presentation during this event. Note: If another form of presentation works better for your project, please let us know.

Acceptable student scholarly work includes thesis research, research conducted as part of the Faculty/Student Research Program (FSRP) or resulting from a President's Fellowship for Summer Research (PFSR), and **research or other scholarly projects** carried out as independent study. If students have engaged in extramural research, we are pleased to include that as well.

Scholarly work that has been previously presented or published elsewhere is welcome. Students may also submit work in progress. If you have any questions about what is appropriate for presentation please contact the **Office of Research and Sponsored Programs at (570) 941-6353.**

We are excited about this opportunity to **recognize the scholarly work of students** and their faculty mentors. Students and their mentors who participate in this event are invited to attend a celebratory dinner on the evening of the event.

Please forward the attached submission form to potential student participants and have them complete and return it to the Office of Research and Sponsored Programs via e-mail, orsp@scranton.edu, **by April 5, 2019.**

Students will be assigned a specific poster board space upon receipt of the registration form. We recommend submitting as early as possible.

<u>**SUBMISSION FORM**</u>

19th Annual Celebration of Student Scholars
<u>April 26, 2019</u>

Only one form should be submitted per project. Please include the name, major and class of all students involved in the project.

Student(s) Name/Major/Class (*e.g.*, Jane Smith/Accounting/Sophomore):

E-Mail addresses for all students:

Faculty Mentor:

Faculty Mentor Department:

Title of Research Project:

Please check all that apply:

This research is part of:

Independent Study/ Undergraduate Research
Honors Thesis
Independent Study/Graduate Research
Master's Thesis
Faculty/Student Research Program (FSRP)
President's Fellowship for Summer Research
Other (please specify)

Has (will) this research been (be) presented elsewhere? Yes   No

If yes, where and when

Please complete this form electronically and return to the Office of Research and Sponsored Programs at orsp@scranton.edu **by April 5, 2019.**