

Grant Writing
Expanding Our Research Foundation

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Prepared by:
Julie Fesenmaier
Cochran Research Center
Fox School of Business and Management

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~ research on the verge

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1. Introduction

This workbook is intended to assist faculty and students in writing proposals — to help fund the ideas and research about which we feel passionate. The workbook will present guidelines to writing successful grant proposals; including topics related to researching funders, style of proposals, content, resources online, and resources available at the Fox School of Business and Management and in Temple’s Office of the Vice President for Research.

“The object of research is to extend human knowledge of the physical, biological, or social world beyond what is already known.”

“ . . . research offers many other satisfactions in addition to the exhilaration of discovery. Researchers have the opportunity to associate with colleagues who have made important contributions to human knowledge, with peers who think deeply and care passionately about subjects of common interest, and with students who can be counted on to challenge assumptions. With many important developments occurring in areas where disciplines overlap, scientists have many opportunities to work with different people, explore new fields, and broaden their expertise. Researchers often have considerable freedom both in choosing what to investigate and in deciding how to organize their professional and personal lives. They are part of a community based on ideals of trust and freedom, where hard work and achievement are recognized as deserving the highest rewards. And their work can have a direct and immediate impact on society, which ensures that the public will have an interest in the findings and implications of research.¹”

2. Preparing to Apply for a Research Grant

When approaching a grant, research can opt for one of two approaches. One where the researcher writes a proposal and then searches for the appropriate funding source. The other reverses the process; the researcher finds funders which might support their research interests, builds a relationship with them and develops a proposal to suit them. This workbook can apply to both approaches.

¹ *On Being A Scientist: Responsible Conduct In Research*. National Academy of Sciences, National Academy Press, Washington, D.C. 1995. <http://www.csa.iisc.ernet.in/old-website/Documentation/OtherDoc/obas/index.html>

It is not necessary to have a well articulated research hypothesis before you begin searching for grant opportunities. It is important, however, to think about what type of research represents your strengths and which agencies and organizations might have a vested stake in funding this type of research. Matching your research interests to those of potential funders will take some investment in your time. Identify more than one potential sponsors. There are many online databases that might link you to potential funding sources for your research interests, some are listed in Chapter 7.

Often, it is more effective to know which agencies and organizations have funded your type of research in the past. Identify organizations that have previously funded the defining research in your field. Once you've identified several possible funding sources, visit their website to explore how well-suited they might be for funding your type of research.

2.1. Searching a Website for Funding Programs

Finding an organization's website is relatively easy; it is however, much more difficult to find the appropriate programmatic information once at the site. A large organization has many different programs, the first step must be to review their programs and identify which of those fund research and more importantly, which support your unique research interests. It is now common practice to include a search engine on the front page, begin by typing in the name of a specific program in which you are interested, or if you are not sure try typing "grants" or "research funding." This is such a broad category, that for some websites, you can narrow the search further based on your research focus. Most often, press releases or news articles become the featured results of your search. These might provide valuable insight and direct you to the specific program(s) that might have appropriate funding.

One of the more comprehensive Internet resources which aggregate, catalog and archive sources of grant funding is the [Community of Science](http://www.cos.com) (COS) (<http://www.cos.com>) website. Temple University is a COS partner allowing all users with a Temple email address free access to the COS search engine. Like a targeted Google search, this site offers worksheets and search queries making it relatively easy to identify grant information. From the home page:

- Select "[Services](#)"
- Select "[COS Funding Opportunities](#)"
- Select "[Main Search](#)"

"Main Search" produces a query sheet which prompts you to identify key searching variables. Under the heading "All Fields" enter the keywords that best will drive your search. Enter information in the other fields as appropriate. A list of grant titles is generated, select from those that you think are a good match. There is an option that allows you to email the grant announcement to yourself or colleagues for follow-up.

Three other examples for for navigating online resources follow:

Three Examples of Searching a Web Site		
U.S. Department of Commerce (DOC)	National Science Foundation	W.K. Kellogg Foundation
<ul style="list-style-type: none"> ❖ Homepage identifies grant opportunities by agency within the DOC. ❖ Site Map in navigation bar leads to links to various DOC agencies. ❖ Search engine on front page. 	<ul style="list-style-type: none"> ❖ Navigation bar link to “Funding” and “Grants and Awards” describes funding opportunities and application guidelines. ❖ Search engine on front page. ❖ Site includes a guidelines for proposal writing in their Guide for Proposal Writing 	<ul style="list-style-type: none"> ❖ Navigation Bar includes link to “Grantseeking” which provides application guidelines. ❖ “Programming” on the navigation bar describes the various programs for which the foundation provides funding. ❖ Search engine on front page. ❖ Provides guidelines for application submission.

Once you have identified a potential funding source, review their annual report or description of past funded projects to determine whether your research is well suited for this particular organization or agency. Review the site within the perspective of the checklist below to help you better evaluate fit.

Will this Funding Source Support My Research?	Yes	No	I’m Not Sure
Does your research fit into their mission?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Can you identify specific funding priorities that match the scope of your research?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Do they have a stake in the outcome of your research?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Have they funded similar projects?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Are you eligible to be considered for funding?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Will this organization/agency fund university-based research?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Do they provide funding at a level that will support your proposal?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

2.2. Contact the Funding Agency

If you are unsure about any of the above criteria, it is important to contact the grant officer before beginning to conceptualize a proposal. Contacting the potential funder is an easy way to receive early feedback about the fit of your proposed project with a particular organization. Funders like to know that you intend to send a proposal and might provide you with additional insights into what kinds of projects they wish to fund. The program officer will be pleased to speak with you.

Because program officers are inundated with many proposals, they prefer to eliminate any unlikely projects early in the submission process with the expectation that they will then receive, fewer, but more relevant proposals.

Your research should have directed you to the name of an appropriate Program Officer to whom you can direct a letter of inquiry. If you don't have a name, call the agency or organization and ask to whom a letter of inquiry for your type of project should be sent. It is a good idea to call the agency in advance to confirm that the person listed on the website is still in that position.

Your letter should not be longer than 2 pages. Emphasize your vision and the passion you bring to this project. Include a brief, no more than 3 paragraph description and ask if this funding this type of project is a focus of their organization. Describe the potential outcome and how it matches the needs of the organization. Describe the project leadership and their unique qualifications. Inquire about alternative funding sources. If you do not believe there is a clear fit, they might direct you to other agencies or organizations that fund your research interests. After approximately three to four weeks, follow-up telephone call. Inquire about how proposals are reviewed and the timing of decisions.

3. Fundamentals of Grant Writing

This workbook provides a formula for putting together a good proposal. Following these steps is the easy part; having the great idea is up to you!

3.1. Proposal Guidelines

Most funding institutions have a specific format they prescribe for potential proposal submissions. The larger funding organizations and agencies post theirs online. If you can't find a link to their guidelines, contact the program officer and request a copy. The guidelines will include deadlines for submissions, proposal and budget format, required content, page limitations, font size and evaluation procedures. The most important aspect of a good proposal is one which closely follows their specified guidelines. Deviations provide reviewers with early justification to not continue reading and to disqualify the proposal, regardless of merit. Adhere to the page limit, for longer proposals, more than 10 pages, include a table of contents to help the reviewer navigate the proposal more easily.

Sample Proposal Outline

Abstract

- I. Introduction
- II. Background and Literature Review
- III. Goals and Objectives
- IV. Research Design or Plan of Work
- V. Deliverables
- VI. Outcomes
- VII. Sustainability
- VIII. Evaluation Plan
- IX. Project Team and Qualifications
- X. Budget

3.2. Introduction

Often, the reviewer is overwhelmed by proposals and is more in the practice of eliminating proposals than accepting. Accordingly, engage the reviewer within the first two minutes of their reading. A clear message of goal, relevance, importance and outcome is critical up front. Emphasize why this study is important. Explain in simple terms why your proposal is important to fund. In the Introduction, only present the key points. Set the context and expand on those important points in the body of the proposal.

Describe the fit between your proposal and the goals of the funding agency; demonstrate how the outcome of your project furthers their mission. Mirror the language they use in their program solicitation to demonstrate how your proposal is relevant to their mission. Show your passion for this research. Use analogies, metaphors and parables to help illustrate your message. Often a compelling case study can underscore the need for your research and grab the reviewer's attention. Express yourself in a way that quickly reveals your enthusiasm for this work. State and restate the obvious. The worksheet below can be useful in organizing your introduction.

Practice delivering your message <i>(Respond to the following questions and build your introduction.)</i>	
What is the problem?	
Why is it important?	

Practice delivering your message <i>(Respond to the following questions and build your introduction.)</i>	
How would you contribute to the existing knowledge base?	
What is unique about your approach?	
What are the expected outcomes of your research?	
Who benefits from this research?	
Why is your research team uniquely qualified?	
Why should this agency fund your proposal?	
How does this research fit to the mission of the funding institution?	

3.3. Background and Literature Review

The literature review documents your level of understanding of the problem. For most research proposals, the literature review summarizes how a need or problem has been addressed in the past and whether a particular approach has been effective.

For certain types of grants, it might be more important to summarize approaches used in the past and document their worth. Demonstrate that you are aware of the prior research invested into this topic. Use this section to explain how your project will expand the body of work done in this field to date; how your project will overcome some of the miscalculations made by earlier attempts

to study this need; and how this project is distinctive from earlier studies. Cite examples from the high end journals.

Target this section for an intelligent reviewer, but one who may not be familiar with this research area. For this reason, explain the fundamentals, don't use scientific jargon and write in the active voice².

3.4. Goals and Objectives

The Goal statement should be clear and should reflect the anticipated outcome of your research. Goals are usually broad and abstract and often intangible, not easily validated. The goal statement should stand out early in the proposal. It should appear in bold in the introductory section of the proposal. Following the background and/or literature review in the proposal, restate the goal(s) and identify the necessary objectives or actions that will help realize the goal. Tie each goal to the outcomes described in your introduction.

Unlike the goals, objectives are precise, narrow, and measurable. The objectives which follow a goal, itemize the specific activities required to achieve that goal. For each goal in the proposal, there should be a series of objectives. Each objective should describe the activity; identify the time frame for completion; and the person (organization or agency) responsible for implementing the objective. Set realistic expectations. Setting objectives too high might appear improbable to the reviewers; conversely, setting objectives too low might lead to a low rating for the proposal overall. Objectives can be validated. During the evaluation period, it ought to be possible to measure whether the project team successfully achieved its objectives.

Goals <i>(Focus on outcomes not activities.)</i>	Objectives <i>(Measurable and are directly related to achieving the goal.)</i>
1	1
	2
	3
	4
2	1
	2
	3
	4
3	1
	2

² More on the active vs. passive voice debate in section 3.13 Style.

Goals <i>(Focus on outcomes not activities.)</i>	Objectives <i>(Measurable and are directly related to achieving the goal.)</i>
4	3
	4
	1
	2
5	3
	4
	1
	2
	3
	4

3.5. Research Design/Methodology/Plan of Work

The methods section follows your goal statement(s) and describes the tasks and activities that the project will accomplish. The methodology or work plan must be tied to the statement of need and to the objectives outlined earlier in the proposal. Summarize what you will do and how you will do it. Keep it realistic, reviewers can easily spot an overly ambitious proposal and give it a negative grade. Describe your procedures and if applicable your data collection methods and proposed data analysis. Provide adequate detail, in this section, do not use generalities – be specific and clear; most likely, reviewers will not be familiar with specific data techniques. Demonstrate that your approach is practical and manageable.

Clearly summarize how these methods will lead directly to the outcomes you described in the introduction. Outline how you will collect and analyze data and justify why your technique is appropriate. Describe how your approach is innovative and unique and how it might be different to previous approaches to study this research problem. Also, if applicable, describe how your methodology is particularly well suited for the subjects or audience of your study. For example, explain why your approach to use focus groups might be more appropriate with the target audience than other data gathering methods. Re-iterate how this approach will bring about the outcomes described in the introduction.

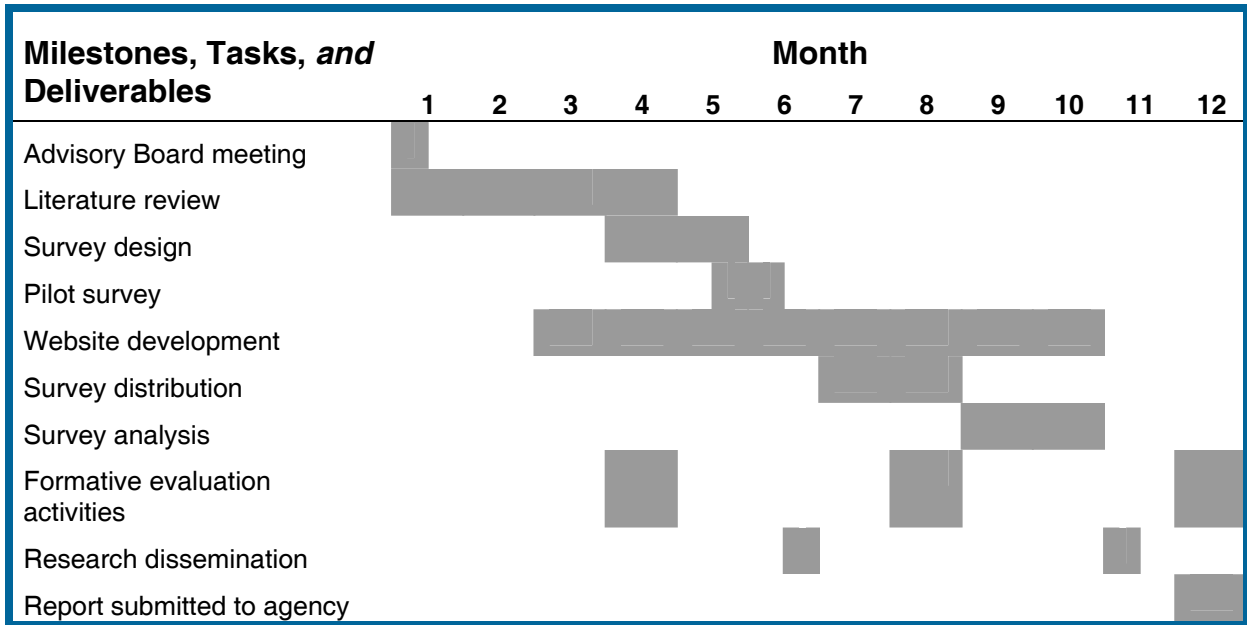
Explain any contingency strategies you might use if your intended approach does not work. Identify any potential obstacles to your methodology and describe how you will overcome any unexpected barriers.

Use schematics to illustrate relationships and process inherent to your proposal. By using models you can underscore the important elements of your proposal and it gives the reviewer a break in reading. Use line drawings to summarize tasks and to visualize a timeline. A timeline, Gantt chart

or calendar must accompany your list of tasks allowing the reviewer a better understanding of how you will implement the methodology. Demonstrating a high level of organization in your plan of work infers that you will be able to manage.

Milestones, Tasks, Deliverables and Timelines

Create a table to document the timeframe for the various project tasks and deliverables. Itemize each task and deliverable and estimate when and how long it will require in the project. Follow the sample below:



3.6. Deliverables

Identify the products that will be produced by this research project. Usually this includes reports, publications, databases, presentations at conferences, and any other items created as a result of completing this project. Attach a timeline to each of the deliverables.

3.7. Expected Outcomes

A significant portion of reviewer scoring is dedicated to the broader impact your research brings to your field and the beneficiaries of those outcomes. Describe your target audience in terms of size, demographics, special characteristics, unique challenges that this audience must address. Outline how your proposed research has a broader impact on this audience and how they directly benefit. Evaluate both the tangible and less tangible outcomes. Tangible outcomes might include the more measurable results such as greater revenues generated or the creation of new jobs; whereas less tangible outcomes may be characterized by the enhanced leadership capacity or better decision making ability for the participants or beneficiaries of your project.

It is important that the discussion of outcomes is in line with the goals and desired outcomes expressed in by the funder’s mission. Reviewers expect that the models proposed in your research will have broader applicability; elaborate on how your research will contribute to

finding the solutions significant to your funder. For example, the mission of the U.S. Department of Commerce is to “increase wealth” and “reduce poverty”³. Therefore, the proposal must address how your research will contribute to their stated mission. Be clear in describing how the funder’s investment will *make a difference*.

3.8. Sustainability

In the proposal, clearly document if this project is finite with a start and ending date. If the proposal includes outcomes that are planned to be sustained beyond the lifespan of the research activity, describe how those initiatives will continue when the proposed funding is terminated. If sustainability is not an important issue or does not apply to your agency, there is no need to address this issue.

3.9. Project Staff

Within the text of the proposal, convince the funders that this project is directed and implemented by the team with the best technical expertise. For each person involved in the project list their name, position, organization affiliation and their experience they bring to this research. Describe in detail, the role of the Project Director or Principal Investigator and all other key personnel involved in the project. A strong project director will have an impact on the funding decision. In this section of the proposal, use narrative to describe the particular strengths of the lead investigators. It is not necessary to identify the role of the project support staff. Full vitae and biographies belong in the supplemental materials/Appendix of the proposal.

Describe the nature of any shared efforts. Funders increasingly appreciate collaborative research design, leveraging expertise from various sources. Show that the project team is committed to this project.

If you will have an Advisory Committee affiliated with your project, define its role and explain how the Advisory Board will be organized and governed. Show how your Advisory Board represents stakeholder interests in your research. Membership to the Board should reflect the various stakeholder interests in your project. Identify potential members and describe how they represent those interests and how they will contribute to the Board.

3.10. Biographies and Curricula Vitae

The proposal solicitation guidelines will specify format for biographies and CVs. Many government agencies request that CVs follow the National Institutes for Health format. Follow the funders guidelines to where in the proposal the curricula vitae or biographical sketches are to be listed in the proposal.

³ Taken from the U.S. Department of Commerce website -- <http://www.eda.gov/AboutEDA/>.

National Institutes of Health Biographical Sketch Format

Principal Investigator/Program Director (Last, First, Middle): _____

BIOGRAPHICAL SKETCH

Provide the following information for the key personnel and other significant contributors in the order listed on Form Page 2.
Follow this format for each person. **DO NOT EXCEED FOUR PAGES.**

NAME		POSITION TITLE		
eRA COMMONS USER NAME				
EDUCATION/TRAINING (Begin with baccalaureate or other initial professional education, such as nursing, and include postdoctoral training.)				
INSTITUTION AND LOCATION	DEGREE (if applicable)	YEAR(s)	FIELD OF STUDY	

NOTE: The Biographical Sketch may not exceed four pages. Items A and B (together) may not exceed two of the four-page limit. Follow the formats and instructions on the attached sample.

A. Positions and Honors. List in chronological order previous positions, concluding with your present position. List any honors. Include present membership on any Federal Government public advisory committee.

B. Selected peer-reviewed publications (in chronological order). Do not include publications submitted or in preparation.

C. Research Support. List selected ongoing or completed (during the last three years) research projects (federal and non-federal support). Begin with the projects that are most relevant to the research proposed in this application. Briefly indicate the overall goals of the projects and your role (e.g. PI, Co-Investigator, Consultant) in the research project. Do not list award amounts or percent effort in projects.

PHS 398/2590 (Rev. 09/04) Page ____ Biographical Sketch Format Page

<http://grants.nih.gov/grants/funding/phs398/biosketchsample.pdf>

3.11. Evaluation

Including an evaluation plan in your proposal does not only allow you to document your project successes, but more importantly allows the funder to report on the impact of their agency. Consequently, more funding sources require an evaluation to be integral to the proposal. Connect the evaluation plan to the outcomes, goals and objectives outlined in the proposal. Create an evaluation plan that measures the effectiveness of both the products delivered and the process outlined in the proposal.

The evaluation strategy should be two-fold: a formative evaluation to document progress and to provide feedback to the project team on effectiveness; and a summative evaluation focusing on

the quality and impact of project outputs or deliverables. Describe how you will use feedback in the formative evaluation to modify your approach if necessary. Explain in detail what data you will collect; how you will collect the data; and how you plan to analyze the data to evaluate the project's impact.

Funders are willing to allocate funds to support evaluation. Usually the evaluation takes up to 15% of the total budget. The evaluation must fit the size and scope of the project and ought not to be the focal point. Describe how the evaluation fits into your methodology or plan of work. Identify who will be responsible to oversee the evaluation and describe their unique qualifications.

3.12. Dissemination of Project Information

Funding institutions want to know that the results or impact of the projects they fund are disseminated. If applicable, address the topic of dissemination in your proposal and provide a detailed dissemination plan. Identify how your research builds a model that has broader application. Confirm how your project can extend to new and different audiences. Describe reports and publications you will produce and how you will make them available. Identify conferences where you can present project findings. Describe a web presence that you will create. Set goals for journal articles. Describe educational or outreach opportunities – workshops, new curriculum, etc.

3.13. Budget

Your budget lists the financial resources you will need to complete your project. It itemizes needs for resources including personnel, travel, supplies, and equipment. Begin with a realistic budget; don't inflate with the expectation that they will ask you to reduce the budget in final negotiations. Project reviewers have expertise in spotting an unnecessarily large budget and will use that as a justification to reject the project. Provide enough detail to justify each budget item to justify the expense. Be consistent with the project narrative, the costs need to be tied to the tasks outlined in your methodology section. Explore previous projects funded by the agency to get a general idea of the scope and size of grants awarded by the agency.

Almost all funding agencies have a budget format they ask proposals to follow; however if they do not, then organize your budget according to the following categories.

Budget Item	Details
Personnel (Direct Labor) Faculty Students Staff	List names of faculty, students and staff working on the project and allocate a percentage of their time.
Fringe Benefits Faculty Students Staff	Includes the percentage allocated to fringe benefits for each staff working on the project. Fringe benefits include health insurance, social security, workers compensation, and retirement benefits. The Fringe benefit rate may vary and current rates for Temple University faculty, students and staff can be found at http://www.temple.edu/controller/grant_accounting/grantrates.htm (Appendix A)

Budget Item	Details
Travel	Allocate a percentage of the budget to travel. Describe the intent of the travel in the budget narrative.
Equipment Supplies	Items costing more than \$2,500 are considered to be supplies; items costing more than \$2,500 are listed under equipment.
Contractual	Includes services provided by individual consultants, lease arrangements on equipment, etc.
Other Direct Costs	
Indirect Costs	Temple University's negotiated indirect cost rate. Check with the Sponsored Projects Administration in the office of the Vice President for Research to determine the applicable rate.

Be aware of any cost sharing requirements of the program. Record the use of the contributed or “In Kind” funds according to the same budget categories. In-kind contributions might include the following: donated equipment, computers, meeting facilities; commitments of time from individuals within the university or outside, directly contributing to the project, including faculty, students, consultants, engineers, programmers, software engineers, systems support, etc.; contributions of services from organizations such as community groups, utilities, commercial firms, etc. If other sources of funding will be committed to this project, describe the nature of the partnership. Itemize budget items that will be covered by other funding sources.

Budget Justification

Describe your budget items for the duration of the project, not just for one year. Use the categories above to describe your costs. Include a justification for both the funds you are requesting and how you will allocate the in-kind contribution. For personnel expenses identify the level of effort (percent of time or number of hours per week) for each person involved in the project. Specify how long is the duration of each person's participation. Itemize the fringe benefit rate for each category personnel category in the budget.

Describe intended travel expenses and how they support the work of the project. Justify any expenses for equipment and state how you will expend funds in the supplies category. Describe how indirect costs are applied to support Temple University infrastructure.

Itemize the matching funds, document their source and value to the project. If coming from outside sources, letters of support are usually required.

3.14. Letters of Endorsements

Often, funders ask for letters of endorsement from the stakeholders of the project. Sometimes stakeholders might include legislators, more commonly it is representatives of groups who might benefit from your work. These letters support the need for the project and speak to the broader impact that will result. Demonstrating stakeholder support is important and their endorsement will carry substantial weight with the reviewers. If applicable include stakeholder support letters regardless of whether the proposal requires this type of documentation. Identify potential

stakeholders that will add credibility to your proposal and ask them for a letter endorsing your research early. Send them a brief abstract, invite them to proposal planning meetings, and inform them about the importance of your research. Don't involve them at the last minute when you are scrambling to pull together credible letters of support.

It is common practice that your stakeholders will ask that you compose a letter that they will then modify and mail out on their letterhead. The letter does not need to be complicated and only needs to state how your research serves the need of the stakeholder agency and how you will benefit from the outcomes of the proposed work. Follow the sample letter below:

Sample Letter of Endorsement

Dear Ms. Jones:

It gives me great pleasure to offer our support for Temple University's research proposal to _____ . We are committed to collaborating with Temple as they bring research and training to our facilities. The proposed Center will partner with our four Community partners to provide training to our residents and members of our Resident Councils.

In addition to our goals of building business and leadership skills, our organization strives to engage other institutions to leverage resources and assist in promoting economic enhancement and supportive services for our residents. This proposed research project address those particular needs and we, very much, value the potential outcomes of this partnership.

This project provides an excellent opportunity for our stakeholders to access resources and research outcomes related to job readiness, business development and leadership building. We are committed to participate in the proposed research initiative and will work with the project leadership to ensure that quality programs and resources reach our stakeholders. We look forward to continuing our long standing relationship with Temple and I sincerely hope that your Agency will invest in Temple University's research and outreach initiative.

Sincerely,

3.15. Cover Sheet/Title Page

Funding agencies usually specify what information they want represented on the Title Page of the proposal. Beyond the Title, names of the Principal Investigators and budget request, the form usually requires specific administrative information. The following Table identifies responses to the most commonly requested information.

Administrative Information Requested for Cover Sheets

Applicant Name: Temple University - The Commonwealth System of Higher Education

Applicant Address:

1601 N. Broad Street
406 USB, 083-45
Philadelphia, PA 19122-6099

Employer ID Number : (EIN for DHHS use) 123-1365971A1
Tax ID Number : 23-1365971 (TIN for use with all other federal agencies)
Congressional District : 1st
State Senatorial District : 2nd
State Representative District : 181st: Curtis Thomas, State Rep.
Animal Welfare Assurance : A3594-01 (IACUC)
Human Subjects Assurance : 00004964 (IRB Committee B, Behavioral and Social Sciences)
 00004964 (IRB Committee A, Medical Intervention)
Latest Affirmative Action Review and approval : 8/6/92
NSF Organization Code : 0033712000
NAICS Code: 611310
FICE Code: 003371
NIH Institutional Profile Number (IPF) : 8240301
Date of Most Recent Negotiated Indirect Cost Rate : 7/21/2003
Misconduct in Science : 4/20/1998
DUNS # 05-712-3192
AUN # 4-26-51-760-1-0000
CAGE CODE : 1QBP4

Cognizant Federal Audit Office:

Director of Non-Federal Audits
Office of Inspector General
US Department of Education
Wanamaker Building
100 Penn Square East, Suite 502
Philadelphia PA, 19107
215-656-6900

Persons Authorized to Sign Proposals (authorized institutional representative):

Kenneth Soprano, Ph.D
Vice President for Research
215/204-7550(voice)
215/204-7486 (fax)

Administrative Information Requested for Cover Sheets

Administrative Office for Notification Purposes:

Eleanor M. Cicinsky
 Temple University
 Sponsored Projects Administration, 083-45, 406 USB
 1601 N. Broad Street
 Philadelphia, PA 19122-6099

3.16. Abstract

Although this comes first in your document, it is best to not attempt to write the abstract until your proposal is completed. However, do not cut and paste from your proposal to compose the abstract. Within approximately 250 words, create the vision, summarize the full proposal – describe the need for this research; the goals and objectives; your work plan or methodology (what you will do and how); the output or products generated from this research and the expected outcomes and benefits, the broader impact of the study. The quality of this brief statement determines whether the reviewer will continue to read or reject the proposal without reading further.

3.17. Checklist

- Cover letter
- Title page
- Proposal
 - Table of Contents
 - Abstract
 - Introduction – Statement of Needs
 - Goals and Objectives
 - Background – Literature Review
 - Methodology – Plan of Work
 - Deliverables
 - Timeframe
 - Evaluation
 - Summary – Outcomes
 - Sustainability
 - Project Staff
 - Citations
- Budget and Budget Justification
- Letters of Support
- Curricula Vitae
- Temple University Information
- Agency Forms⁴

⁴ Many funding agencies have specific forms intended to accompany a proposal. The agency will state where in the proposal application the forms need to be inserted.

4. Style Basics

Researchers from various backgrounds bring their unique style to proposal writing. Usually style reflects a level of formality, stretching across a wide spectrum from formal to casual. The Request for Proposal announcement provides clues of whether they are looking for a strictly formal, very theoretical proposal, or whether they prefer a more “casual” or even “folksy” approach. Regardless of level of formality, however, there are certain style consistencies that all proposals should follow. The following section offers a few “do’s” and “don’ts”; tips on creating an effective title; and guidelines for using the active versus passive voice.

4.1. Do’s and Don’ts

Do’s	Don’ts
<ul style="list-style-type: none"> ❖ Keep it short -- the shorter the better ❖ Tell a story about real people and how they are affected by the “problem” discussed in the proposal or how they will benefit from the research. ❖ Use the active voice ❖ Use headings to delineate sections of the proposal ❖ Use the funder’s language to describe how your project fits in their mission. ❖ Focus on positive opportunities, rather than on disparity and disadvantage. Put the emphasis on how investing in this research will create positive outcomes. ❖ Describe your issue within a local context. Unless it is a national study, provide background specific to the regional focus of the study. ❖ Use schematics to illustrate the plan of work ❖ Use a clear and unambiguous title ❖ Review, rewrite, polish the language and format of the proposal. ❖ Repeat the words in your title throughout the text of the proposal. ❖ Have a strong ending. 	<ul style="list-style-type: none"> ❖ Use size 10 point font ❖ Exceed the page limit ❖ Use jargon ❖ Use abbreviations and acronyms ❖ Be overambitious!

4.2. Titles

- ❖ The title should suggest the outcome the project aims to achieve.
- ❖ The title can serve as the mini abstract providing the reader with some insights into the nature of the proposal.

- ❖ Phrase your title in language that reflects the mission of your funder. For example, if the funding agency aims to enhance youth entrepreneurship skills, then make certain that the words “youth” and “entrepreneurship” are in your title.
- ❖ Although your title should stimulate interest, don’t use a cute title, make it clear and unambiguous, using as few words as possible.
- ❖ If your title is phrased as a question, then be sure to provide the answer early in the proposal and abstract.

4.3. Active vs. Passive Voice

- ❖ The majority of proposal writing guides encourage using the active voice. Although neither is grammatically incorrect, the passive voice, which is more often used for academic research, complicates the sentence structure and distracts from your message. The passive voice is more readily accepted in scientific writing because it eliminates the need for using pronouns. However, using the passive voice the sentence becomes weak and the message is diminished. More on the difference between the two.

Active Voice	Passive Voice
<ul style="list-style-type: none"> ❖ The subject of the sentence performs the action of the verb. ❖ Focus is on what the subject will do. ❖ Attention is put on the performer of the action. <p>Examples</p> <p>The proposal included a list of the major milestones.</p> <p>The project team will publish the results on the web.</p> <p>The project team will design a systems approach to develop a model.</p> <p>The consultant administered the survey to downtown businesses.</p>	<ul style="list-style-type: none"> ❖ The subject receives the action of the verb. ❖ Focus is on the action, not the subject. ❖ Used when you don’t want to call attention to the person performing the action. ❖ Used when the person performing the action is not important or unknown. <p>Major milestones were identified in the proposal.</p> <p>Results will be published on the web.</p> <p>A systems approach will be used to develop a model.</p> <p>A survey was administered to downtown businesses.</p>

5. The Office for the Vice President for Research (OVPR)

5.1. Mission, Roles & Activities of The Office of the Vice President for Research

At Temple University, it is the Office of the Vice President for Research (OVPR) which provides coordination and support to faculty and staff submitting a proposal for funding. All proposals regardless of funding agency (public or private) must receive university approval and must pass through OVPR for approval and the necessary signatures. The mission, roles and support provided by OVPR is available on the OVPR website and is summarized in the table below.

**Office of the Vice President for Research
Proposal Support Activities**
<http://www.research.temple.edu/spa/spaguide3.html>

A. Mission:

The primary mission of the Office of the Vice President for Research (OVPR) is to oversee all sponsored research and creative activities that receive external support. OVPR IS THE ONLY OFFICIALLY RECOGNIZED UNIVERSITY OFFICE RESPONSIBLE FOR FINAL APPROVAL OF ALL APPLICATIONS FOR SPONSORED PROJECTS PRIOR TO SUBMISSION. OVPR is also responsible for ensuring that all research and other sponsored projects comply with federal, state, local, and University regulations. In addition, OVPR assists researchers in the resolution of problems that may arise in the conduct of sponsored projects, either with external funding agencies or with administrative offices within the University.

B. Organizational Structure:

The Vice President for Research, reports directly to the Provost and is responsible for all sponsored program activities at Temple University. The Office of Sponsored Projects Administration administers all pre-award activities for grants and contracts. The Director of Contracts Administration is responsible for administration of all contracts and subcontract activities. XXXX SOMETHING ABOUT ROB GAGE POSITION. The Director of Strategic Initiatives coordinates the efforts to build commercial relationships that generate new funding sources for research projects at both campuses. The Associate Vice Provost in the Office of Technology Transfer is responsible for administering activities related to that office. At the Health Sciences Center (HSC), the Associate Vice Provost is responsible for all sponsored program activities.

C. Activities:

OVPR conducts the following administrative functions:

PROPOSAL DEVELOPMENT

OVPR staff members are responsible for identifying and disseminating information to faculty on sources for external funding and for assisting faculty in the proposal development process. For more information on services available through OVPR, see Section VI.

SPONSORED PROJECTS ADMINISTRATION (SPA)

SPA is responsible for managing projects at two stages: pre- and post-award.

❖ **Pre-Award Activities**

SPA staff assist faculty and administrators with developing budgets, obtaining university assurances, and approving all proposals prior to submission to a funding source.

❖ **Post-Award Activities**

Staff monitor and approve expenditures on grants and contracts.

Office Of Technology Transfer (OTT)

OTT protects and commercializes all intellectual property through patents, copyrights, confidential disclosure agreements, licenses, options, and other agreements (excluding textbooks). For more information on the functions and services of OTT, see Section IX.

Compliance

OVPR is responsible for ensuring that the University is in compliance with all regulations outlined by the sponsoring agency. OVPR works closely with other university departments, such as the Office of Personnel Services, Contracts and Grants Accounting (G&CA), and University Counsel, to achieve this objective. For more information on these regulations, see Section X.

D. Location

OVPR occupies offices in Suite 406, University Services Building on the Main Campus (204-6938) and in Suite 300, Hudson Building at the HSC (707-3390).⁵

⁵ Temple University policy documented in the “Guidelines “for Sponsored Research Administration. Available online at <http://www.research.temple.edu/spa/spaguide.html>.

5.2. Sponsored Projects Administration

The Sponsored Projects Administration (SPA) in the OVPR is the Temple University office which formally submits proposals to the external funding agency. To facilitate the process, SPA requires principal investigators to complete the Sponsored Projects Approval Form (SPAF). The SPAF documents the budget, identifies the participating personnel, includes a checklist of compliance to university regulations, and the necessary regulations (Appendix B). Unless special arrangements are made, the completed SPAF and proposal must be submitted to the SPA no later than 10 working days prior to the submission deadline. *No proposal or budget can be submitted to a funding agency without appropriate SPA approval.*

5.3. Temple University Institutional Review Boards

All Temple University research involving human subjects must be reviewed to ensure the safety, privacy and well-being of all human participants in the project. To this end, Temple University's Institutional Review Boards (IRB) reviews, approves, makes recommendations to modify or disapprove research protocols submitted by faculty, staff and student investigators. The IRB review process is guided by federal rules and regulations, and is based on the Protection of Human Subject Code of Federal Regulations, the Belmont Report and provisions of 45CFR46 – Protection of Human Subjects requiring institutions receiving federal funds to have all research involving human participants be approved by an IRB.

At Temple University, there are two IRB Committees – Committee A-1 and A-2 covering human subject protection for Temple University Hospital and Medical School; Committee B for the Behavioral and Social Sciences. There are three categories for IRB review: 1) research project that request exemption; 2) research project that warrant an expedited review; and 3) research projects that require a full committee review. For many projects, the IRB will exempt it from formal review. However it is the responsibility of the IRB to determine the status. Guidelines and forms are available at the IRB website found at <http://www.research.temple.edu/irb>.

Guidelines for IRB Review		
Exempt Research	Expedited Review	Full Committee Review
<ul style="list-style-type: none"> ❖ Research conducted in established educational settings. ❖ The identity of participants is not revealed. ❖ Results cannot be traced back to the participant. ❖ Participant is made aware of research goals and of the process requiring their involvement. ❖ Participants are not minors or an “at risk” or vulnerable population. 	<ul style="list-style-type: none"> ❖ Proposals which provide minimum risk to the participants; where the magnitude of harm or discomfort in participating are not greater than ordinarily encountered in daily living. ❖ Proposals that include many protocols. ❖ Participants are not minors or members of an “at-risk” population. <p><i>Two members of IRB committee review bi-weekly.</i></p>	<ul style="list-style-type: none"> ❖ Required for all research proposals that involve minors or vulnerable or “at-risk” subjects. ❖ Subjects may be exposed to some risk. <p><i>Full IRB committee review presented at monthly meeting.</i></p>
<p><i>IRB office determines if proposal is exempt from review.</i></p>		

To gain exempt status, submit a letter of protocol to the IRB outlining the research design. For expedited or full committee review, submit a *Request for Protocol Review* Form to the Chair of the IRB and can be referred to the full committee for review. For both cases complete the cover *Request for Protocol Review* Form found at <http://www.research.temple.edu/irb/docs/behavform.doc> (Appendix C).

6. Summary

Putting It Together <i>(In 10 not so easy steps)</i>	The Fundamentals
<ol style="list-style-type: none"> 1. Identify potential funders. 2. Contact funding agencies offices to test the feasibility of submitting a proposal. Send a letter of inquiry. 3. Determine the appropriate guidelines for submitting a proposal. 4. Identify the project team. 5. Write the proposal. 6. Collect letters of support and endorsements. 7. Work with SPA and Cochran Research Center to compile the budget. 8. Collect the appropriate signatures. 9. Review and polish. 10. Submit the proposal. 	<ol style="list-style-type: none"> 1. Follow proposal guidelines. 2. Grab the reviewer's attention quickly; write a compelling, clear, concise, well organized and passionate message. Use a title that describes the desired outcomes. 3. Define the broader impact. Describe how your research is transferable to other applications. 4. Compose a clear goal statement. 5. Literature review can be critically important in some types of proposals; yet in others it is important to include only brief background summary. Know when it is important and when it is not. 6. Use graphics to describe your methodology. 7. Create a timeline to document significant milestones. 8. Itemize the deliverables of your project. 9. Integrate evaluation activities to measure the goals, objectives and outcomes you have proposed. 10. Write your abstract last. The quality of your abstract will determine if the reviewer will read the entire proposal. Review, polish, and rewrite.

7. Finding Funding Sources

There are thousands of funding agencies which provide funding to university sponsored research. The following web links will help you navigate these resources.

Charity Net

Searchable database providing web links to nonprofit organizations worldwide.
<http://www.charitynet.org/>

Community of Science (COS)

COS is a web-based comprehensive database of global funding sources. The search engine allows

grant seekers access the database through a key word search leading to a database of relevant funding sources. COS includes knowledge management system incorporating a database of researchers and institutions documenting expertise worldwide. <http://www.cos.com>

FirstGov.gov

Portal to US government websites. <http://www.firstgov.gov/>

The Foundation Center

A membership driven organization providing comprehensive data and information about U.S. philanthropy. For Foundation members the Center provides a searchable Directory of Foundations. Web site includes online grant writing workshops. <http://fdncenter.org/>

Grants.gov

Searchable database of all federal grant making agencies. <http://www.grants.gov/>

Michigan State University Library

Provides online links to international and foreign grant makers.
<http://www.lib.msu.edu/harris23/grants/privint.htm>

National Science Foundation (NSF)

Web access to NSF funding and publications. <http://www.nsf.gov/>

8. Grant Writing Resources

8.1. In the Press

Browning Beverly A. 2001. *Grant Writing for Dummies*. Wiley Publishing Inc., Indianapolis, Indiana.

Locke L.F., Spirduso W.W., and Silverman S.J. 2000. *Proposals That Work: A Guide for Planning Dissertations and Grant Proposals*. Sage Publications Inc., California, USA.

Ogden Thomas E. and Goldberg Israel A. 2002. *Research Proposals: A Guide to Success*, Third Edition. Elsevier Science Imprint, Academic Press, California, USA.

8.2. Online

Brunner, Elizabeth <http://www.grantproposal.com/>

Levine, S. Joseph. *A Guide for Writing a Funding Proposal* at
<http://www.learnerassociates.net/proposal/>

(The) Foundation Center. *Proposal Writing Short Course* at
<http://fdncenter.org/learn/shortcourse/prop1.html>

National Science Foundation. *Guide for Proposal Writing* at
<http://www.nsf.gov/pubs/2004/nsf04016/nsf04016.pdf>

9. The Grant Glossary⁶

Audit (Financial)

An examination of an agency's accounting documents by an outside expert. Upon review, the expert prepares an opinion as to the consistency and conformity with Generally Accepted Accounting Principals. Audits are generally conducted after the end of the fiscal year.

Audit (Program)

A review of the accomplishments of a grant funded program by the staff of the funding agency.

Beneficiary

The target population who will potentially gain from the outcome of the research activity or grant.

Carryover Funding

In a multi-year project, carryover allows the grantee to use the current year's unexpended money during the following year of the project. Permission to carry unexpended money into the next year typically requires the approval of the funding agency. In some instances, the funding agency will allow institutional approval of carryover funds.

Code Of Federal Regulations (CFR)

CFR is the body of rules governing the management of federally sponsored agreements. These rules are contained in OMB Circulars A-21, "Cost Principals for Educational Institutions;" A-110, "Uniform Administrative Requirements for Grants and Agreements With Institutions of Higher Education, Hospitals, and Other Non-Profit Organizations;" and A-133, "Audit of Institutions of Higher Education and Other Non-Profit Institutions," as well as in individual agency policy manuals. For more information, see Grants & Contracts Accounting's (G&CA) web site at <http://www.temple.edu/controller/grantregs.html>

Contracts

A legal instrument used by government agencies and other organizations for the procurement of goods or services. It may also be used by the federal government to acquire property or services ultimately intended for public use.

Cost Accounting Standards

Accounting rules incorporated into OMB Circular A-21 require, among other things, (1) consistency in the treatment of costs as either direct or indirect, and (2) consistency in budgeting and accounting for costs. (See Code of Federal Regulations).

⁶ Source: Sponsored Project Administration, Office of the Vice President for Research, Temple University <http://www.research.temple.edu/spa/spaguide2.html>. GrantHelp granthelp.clarityconnect.com

Cooperative Agreement

A legal instrument used by the federal government that functions as a cross between a grant and a contract. It is used to transfer property, money, services or anything of value to a recipient in order to accomplish a public purpose authorized by federal statute (excluding the purchase or lease of property or services for the direct benefit of the federal government) whenever substantial involvement between the recipient and the federal government is anticipated in the performance of the contemplated activity.

Cost-Plus-Fixed-Fee Contract

This provides a fixed-fee to a for-profit contractor in addition to reimbursement for costs incurred. The fee remains constant, but it can change if the scope of the contract changes. For projects over a year in length, fixed-fee contracts should include progress payments.

Cost Reimbursement Contract

Contract which allows for the reimbursement of costs, however, it does not provide a fee. Educational institutions and other non-profit institutions are usually awarded cost reimbursement contracts.

Cost Sharing

The University's portion of the cost of a sponsored agreement. Cost sharing may be mandatory (required by the agency as a condition of receiving the award) or voluntary (incorporated into a proposal though it is not required). Cost sharing reduces the cost of the project for the sponsor while increasing the cost for the University. Investigators are discouraged from proposing voluntary cost sharing unless there is clear and convincing evidence that it will make the proposal more competitive. Note: The University recently revised this policy.

Direct& Indirect Costs

OMB Circular A-21 defines direct costs as those costs necessary to meet a project's specific scientific, programmatic or technical requirements. Indirect costs, as defined by A-21, are those costs incurred for common or joint activities of the University. Indirect costs are either facilities related (library, maintenance, utilities, depreciation, etc.) or administrative (executive, finance, personnel, departmental, etc.).

Encumbrance

Undisbursed funds for a specific purpose on a committed project. For example: a computer that has been ordered may not arrive or be purchased for several months. Funds were encumbered when the computer was ordered, but funds are not yet recorded as having been disbursed.

Federal Register

The Government Printing Office publishes this daily document which informs the public of regulations affecting federally sponsored agreements. The Federal Register publishes legal documents as well as rules and regulations for implementing federally funded grant programs.

Fiscal Year (FY)

A 12-month accounting period. For Temple University, the Fiscal Year begins July 1 and ends June 30th. For federal government agencies, the fiscal year begins October 1 and ends September 30. Funding cycles would conform to University fiscal years.

Fixed Price Contract

Used when a recipient can accurately estimate the total cost of the work to be done or the goods to be supplied. The document ensures that the contractor completes the work for a previously agreed-upon amount of money.

Gifts

Gifts support areas of endeavor which may not have sufficient funding to complete a task. Gifts generally do not require a deliverable, or the rendering of, services on behalf of the sponsor. The University does not usually require fiscal reporting for gifts which may be designated or undesignated for a particular purpose.

Grantee

The recipient of grant funds.

Grantor

The agency, foundation or governmental unit that awards grants.

Grants

A grant is a financial assistance mechanism providing money, property, or both, to an eligible entity to carry out an approved project or activity. Grantees are typically educational institutions, hospitals, and other non-profit organizations.

In-Kind

A non-cash donation of labor, facilities or equipment contributed to the project.

Grant Officer/Administrator

A person employed by the granting agency, who is responsible for monitoring expenditures and ensuring that grantor regulations are being followed. The grant officer negotiates the award for the grantor, approves changes during the project, and potentially takes action on audit findings upon completion of the project.

Lead Agency

The agency with the primary responsibility of allocating and approving funding. Responsible for oversight of the grant.

Matching Funds

Non-grant funds contributed by entities outside to supplement the funding a grantor provides. Many funding agencies stipulate that part of the funding for the proposed research comes from other sources or matching funds.

No-Cost Extensions

No-Cost Extension prolongs the time period of a grant without providing additional funding. This is used primarily when the project is incomplete and budgeted grant funds remain available for use in the extension period.

Not-For-Profit

An incorporated organization whereby none of the earnings are distributed to the stockholders, trustees or individuals do not share in the profit. The 501(c) (3) is an incorporated not-for-profit with tax exempt status. Additionally, it may not actively influence legislation or participate in campaign activity for or against political candidates. The 501(c) (3) is eligible to receive tax-deductible contributions.

Pass Through

A grantee receiving funds which are subsequently allocated to another individual or agency as a sub-contract. The

Program Officer/Administrator

The person responsible for selecting projects to be funded and for ensuring that projects are successfully completed. The program officer's primary responsibility is programmatic or technical, not fiscal.

Progress Payments

A method of receiving funds from a sponsor when the grantee does not qualify for a letter of credit or for advance payments. Progress payments are reimbursements, for which the grantee bills the funding agency.

Project Director/Principal Investigator (PI)

The person designated to initiate, plan, and carry out the project. This individual is responsible for submitting all technical materials. Co-PI's are not formally recognized by some agencies, (e.g., NIH), however, they work closely with the PI to ensure compliance with financial and administrative guidelines of the award including both technical and administrative reports, justifications, publications, announcements, etc.

Site Visit

In cases where large sums of money or long-range support is involved, prior to making an award, a funding agency may visit a prospective grantee. The agency may want to obtain fiscal information, inspect facilities and equipment, and meet with representatives from the institution.

Sponsored Projects

Sponsored projects includes programs which are supported primarily by an outside sponsor, conducted over a specified period of time, and conducted in, or on, University owned or contracted facilities. Furthermore, sponsored projects obligate the University to the sponsor for the performance of specified work. Sponsored programs typically come in the form of a grant, contract or cooperative agreement. Their administration requires stewardship and accountability in the management of funds on behalf of the sponsor. Sponsored projects ultimately require final program and financial reports and often require cost sharing on the part of the University.

Sub-Contract/Sub-Grant/Sub-Agreement

A document authorizing a third party to perform a large part of the work to meet the requirements of an award provided to the grantee. Depending upon the extent of the involvement, the document may also be called a consortium agreement. All sub-contracts/agreements require review by University Counsel and signature by the Vice President, Chief Financial Officer and Treasurer.

Supplemental Funds

Additional funds awarded to a grantee from a funding agency for a project. Supplemental funds may be available to allow a project to continue for an extended period of time, to expand the project's scope, or to prevent unforeseen cost overruns. Grantees must request supplemental funds in writing several months before the project is due to terminate.

Transfer Between Line Items

Redistribution of funds from one expense category to another after a project is underway. Grantees must obtain permission for such transfers from OVPR and, if applicable, the funding agency.

10. The Cochran Research Center

The Cochran Research Center at Temple University Fox School of Business Management supports research and promotes partnerships with faculty from the School of Tourism and Hospitality Management and other Schools and Colleges throughout the University.

Our mission is to become a leader in business and management research and community engagement to better serve our stakeholders – students, faculty, industry and the people of Pennsylvania.

To facilitate this process, staff at the Cochran Research Center helps faculty to:

- ❖ Identify research opportunities matching the expertise and capacity of faculty and students;
- ❖ Sponsor a series of workshops that focus on proposal and grant writing themes and exploring new funding opportunities; and
- ❖ Assist in the compilation of proposals, budgets and communications between principal investigator, funder and university administration.

In addition to striving for excellence in research and community engagement, faculty affiliated with the Cochran Research Center are dedicated to promoting educational goals, working with students in the classroom, in the community, and in the research arena. The Cochran Research Center Online at <http://www.sbm.temple.edu/crc>

Ethical Behavior in Research Practice

The Cochran Research Center and the Fox School of Business and Management support the highest standards for ethical behavior in research. The School will not support research initiatives which may follow any of the practices sited:

- ❖ Falsifying data in research projects;
- ❖ Poor research methodology/lack of attention to detail;
- ❖ Plagiarizing significant blocks of text;
- ❖ Simultaneously submitting identical articles to two or more journals;
- ❖ Refereeing papers unfairly or with bias;
- ❖ Receiving joint authorship of a paper without making a material contribution;
- ❖ Allowing consulting activities to lead to a neglect of teaching;
- ❖ Making personal consulting activities a priority over school's mission and objectives;
- ❖ Selling complementary textbooks for cash; and
- ❖ Abusing organizational resources for personal consulting;

Cochran Research Center Contacts:

William Aaronson, PhD.

Director of the Cochran Research Center

email: william.aaronson@temple.edu

phone: 215.204.8128

Julie Fesenmaier, MA.

Associate Research Director

email: juliefes@temple.edu

phone: 215.204.7040

300 Speakman Hall
1810 North 13th Street
Philadelphia, PA 19122-6083

Appendix A: Facilities and Administrative Rates and Fringe Benefit Rates⁷

Facilities & Administrative Rates

	On – Campus	Off-Campus Adjacent	Off-Campus Remote
	Percent	Percent	Percent
Instruction and Departmental Research:			
FY 2005-2007 Rate Components and Agreement	56.00	26.00	26.00
Organized Research:			
FY 2005-2007 Rate Components and Agreement	50.00	27.00	26.00
Other Sponsored Activities:			
FY 2005-2007 Rate Components and Agreement	38.00	26.00	26.00
Washington D.C. Office:			
FY 2005-2007	32.00		
Other Sponsored Activities – Department of Defense:			
FY 2005-2007 Rate Components and Agreement	56.80	32.10	32.10
Research Contracts:			
FY 2005-2007	39.10		

Functional Classification of Sponsored Agreements:

Instruction and Departmental Research includes training grants, except for research training (see below).

Organized Research generally includes research and development activities of biomedical and physical science (chemistry, physics, psychology etc.) and engineering departments where such activities “utilize the same facilities as other research and

⁷ Source: Temple University Grant and Contract Accounting Office.
http://www.temple.edu/controller/grant_accounting/granrates.htm

development activities.” Such facilities are laboratories, which consume a disproportionate amount of space related resources (e.g. utilities, ventilation, hazardous waste disposal and housekeeping services). Sponsored research also includes those activities known as research training (e.g. NIH T28) grants because such training is conducted in laboratories alongside research activities and “utilize the same facilities as other research and development activities.”

Other Sponsored Activities includes awards for public service and all other sponsored activities that are not Instruction or Research as defined above. They include the research and development activities of social sciences and humanities departments, which do not utilize the same facilities as physical science projects.

On and Off Campus Classification of Sponsored Agreements:

1. Use the Off-Campus Adjacent rate for projects conducted within the commuting distance of the City of Philadelphia (Bucks, Chester, Delaware, Montgomery, and Philadelphia Counties in Pennsylvania; Burlington, Camden, and Gloucester Counties in New Jersey; and New Castle County in Delaware.)

2. Use the Off-Campus Remote rate for projects conducted outside of the above counties.

Fringe Benefit Rates

Agreement Type	Govt.	All Other				
Fringe Benefit Group	Full Time	Full Time	Part Time	Post Doctoral Fellow	TUGSA	Exempt
Account Code	60XX	60XX	62XX	6580	6106	6305-6306
		65XX	65XX		6301-6304	67XX
FY 2005 Rate Components	37.00%	37.80%	8.50%	24.00%	11.00%	N/A

The Government Agreement Full Time Rate excludes dependent tuition and applies to the following centers:

- 3X XXXX XXX - Federal sponsored agreements made directly to Temple University.
- 40 XXXX XXX – Federal sponsored agreements made to Temple University as a sub-recipient of federal funds.
- 42 XXXX XXX – State sponsored agreements made directly to Temple University.
- 43 XXXX XXX – Local government sponsored agreements made directly to Temple University.

Appendix B: Sponsored Projects Approval Form

The Sponsored Projects Approval Form (SPAF) must be completed for each grant or contract submitted on behalf of Temple University. The forms can be completed online and are available at:

<http://www.research.temple.edu/spa/docs/spafrev0501.pdf> and
<http://www.research.temple.edu/spa/docs/spafrev0501.doc>

Appendix C: Institutional Review Board B: Request for Protocol Review Form

REQUEST FOR PROTOCOL REVIEW

FORWARD THREE (3) COPIES OF ALL MATERIAL - COVER PAGE, PROTOCOL, CONSENT FORMS, QUESTIONNAIRES, INSTRUMENTS, ETC. TO:

RICHARD THROM, PROGRAM MANAGER & COORDINATOR
INSTITUTIONAL REVIEW BOARD
3400 NORTH BROAD STREET (509-00)
PHILADELPHIA, PA 19140

INTRODUCTION TO THE RESEARCH REVIEW PROCESS

Federal Regulations require that funded research involving human subjects must be approved by a human rights committee. The regulations further stipulate that if a college or university receives any federal research funding, all human subject research that is conducted at the college or university must also comply with the federal research regulations.

The Temple University Institutional Review Board (IRB) is the human rights committee that is charged with the responsibility of insuring that the rights of human subjects are protected in all Temple University research. It should be clear that the IRB is not a peer review committee that serves to critique or limit research. The IRB serves only to insure that the rights of subjects and potential subjects are protected. It is the primary intent of the IRB to insure that the potential subject is provided with sufficient information to enable him/her to make a free and informed decision about his/her participation in the research project.

You are asked to provide information about your proposed research project on this form. The IRB will use this information in its review process. If you have any questions about the IRB process, please feel free to contact Richard Throm at 707-8757. Thank you for your cooperation in this matter.

I. CHARACTERISTICS OF POTENTIAL SUBJECTS

- A. About how many subjects will you need? Please include the number of females and males you wish to recruit.**

- B. Describe the potential subjects in terms of gender, age range, ethnic group, and any other significant descriptors.**

- C. Indicate any special subject characteristics, such as persons with mental handicaps, physical handicaps, prisoners, pregnant women, etc.**

- D. Are you aware of any special health problems with the subject pool?**

- E. Describe how you will gain access to these potential subjects.**

- F. How will subjects be selected or excluded from the study?**

- G. If subjects are from an institution other than Temple University, please indicate the name of the officer responsible for granting access to the subjects.**

- H. If the subjects are children, anyone suffering from a known psychiatric condition, or legally restricted, please explain why it is necessary to use these persons as subjects.**

II. EXPERIMENTAL OR RESEARCH PROCEDURE

- A. Describe the objectives and/or goals of your research.**

- B. Please describe the intended experimental or research procedure. This should include a description of what the subject will experience or be required to do. Please attach a copy of all questionnaires or instruments to be used.**

- C. Will the subjects be deceived in any way? If yes, please describe below.**

- D. To what extent will the routine activities of the subject be interrupted during the course of the study?**

- E. Indicate any compensation for the subjects.**

III. DATA CONFIDENTIALITY

- A. What procedure(s) will you use to insure confidentiality of the data? How will you preserve subject anonymity?**

IV. CONSENT PROCEDURES

- A. Attach copy of consent form to be used (Please note that if consent form is more than one (1) page, the title of the study must be on the signature page.**

OR

If non-written consent is to be used, attach a statement describing exactly what the subjects will be told.

- B. Describe how you will handle consent procedure for minors, mentally challenged persons, and persons with significant emotional disturbances.**

V. BENEFITS OF THE STUDY

- A. How will any one subject benefit from participation in this study?**

- B. How will society, in general, benefit from the conduct of this study?**

VI. RISKS/DISCOMFORTS TO SUBJECTS

- A. Describe any aspects of the research project that might cause discomfort, inconvenience, or physical danger to the subjects.**

- B. Describe any long range risks to the subjects.**

- C. What is the rationale for exposing subjects to these risks?**

Appendix D: Worksheets

1. Writing the Introduction

Practice delivering your message <i>(Respond to the following questions and build your introduction.)</i>	
What is the problem?	
Why is it important?	
How would you contribute to the existing knowledge base?	
What is unique about your approach?	
What are the expected outcomes of your research?	

Practice delivering your message

(Respond to the following questions and build your introduction.)

<p>Who benefits from this research?</p>	<hr/> <hr/> <hr/> <hr/> <hr/> <hr/> <hr/> <hr/>
<p>Why is your research team uniquely qualified?</p>	<hr/> <hr/> <hr/> <hr/> <hr/> <hr/> <hr/> <hr/>
<p>Why should this agency fund your proposal?</p>	<hr/> <hr/> <hr/> <hr/> <hr/> <hr/> <hr/> <hr/>
<p>How does this research fit to the mission of the funding institution?</p>	<hr/> <hr/> <hr/> <hr/> <hr/> <hr/> <hr/> <hr/>
<p>Anything Else?</p>	<hr/> <hr/> <hr/> <hr/> <hr/> <hr/> <hr/> <hr/>

2. Goals and Objectives

Goals <i>(Focus on outcomes not activities.)</i>	Objectives <i>(Measurable and are directly related to achieving the goal.)</i>
1	1
	2
	3
	4
2	1
	2
	3
	4
3	1
	2
	3
	4
4	1
	2
	3
	4
5	1
	2
	3
	4

4. Budget

Budget Item		Year 1	Year 2	Year 3	Total
A.	Personnel				
A1.					
A2.					
A3.					
A4.					
A5.					
A6.	Secretarial, Clerical				
A7.	Total Salaries (A1 through A6)				
A8.	Fringe Benefits				
A9.	Total Personnel (A7+A8)				
B.	Equipment				
C.	Alteration/Renovation				
D.	Tuition Remission				
E.	Other				
E1.					
E2.					
F.	F & A Cost Reduction				
G.	Total University Costs (A9 through F)				

C. Research Support

List selected ongoing or completed research projects from the last three years. List most relevant projects first. Identify your role in the project (PI, Co-investigator, Consultant, etc.) With the project title list the goal of the research.

Ongoing Research Support

Year	Role	Dates	Project Title/Goal	Agency
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▪				
▪				
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Completed Research Support

Year	Role	Dates	Project Title/Goal	Agency
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▪				
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6. Proposal Checklist

- Cover letter
- Title page
- Proposal
 - Table of Contents
 - Abstract
 - Introduction – Statement of Needs
 - Goals and Objectives
 - Background – Literature Review
 - Methodology – Plan of Work
 - Deliverables
 - Timeframe
 - Evaluation
 - Summary – Outcomes
 - Sustainability
 - Project Staff
 - Citations
- Budget and Budget Justification
- Letters of Support
- CVs/Biographical Sketch
- Temple University Information
- Agency Forms

