

SPONSORED PROJECTS HANDBOOK

**Bellarmino
College of Liberal Arts**

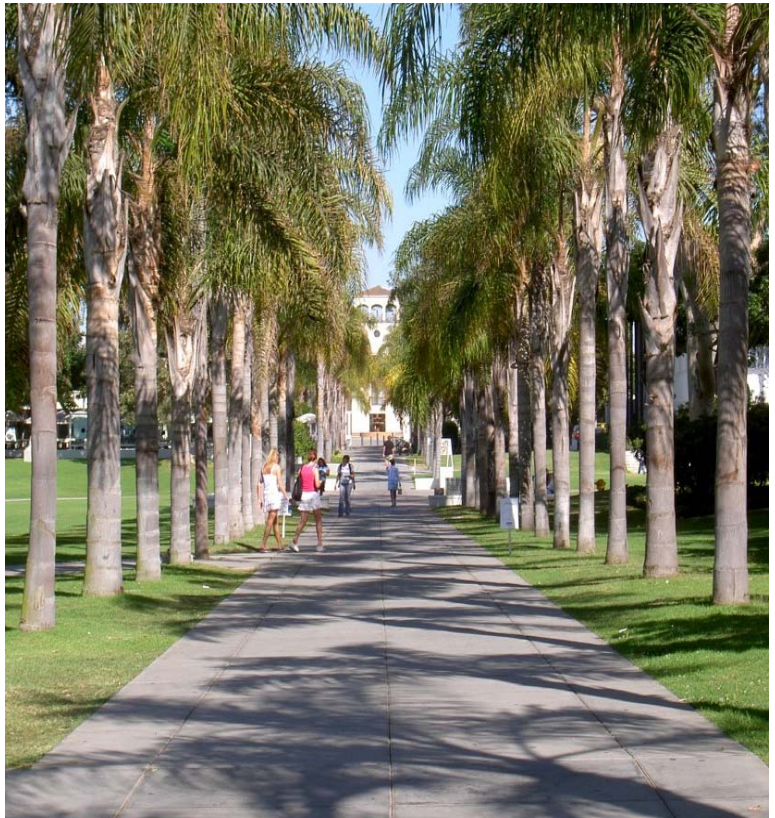
**College of
Business Administration**

**College of
Communication and Fine Arts**

**Frank R. Seaver College of
Science and Engineering**

School of Education

**School of
Film and Television**



SPONSORED PROJECTS OFFICE

Information At-A-Glance

Applicant Name:	LOYOLA MARYMOUNT UNIVERSITY
Applicant Address:	1 LMU Drive, Los Angeles, CA 90045-2659
Organization Type:	Four-year, private, Roman Catholic, comprehensive Master's 1 institution, Jesuit and Marymount traditions. 501 (c)(3) Non-profit corporation. Founded in 1911. Chartered by the State of California.
Controller's Office/Post-Award:	SHARON R. KRIEG Manager of Grant Accounting 1 LMU Drive, Suite 2200 Los Angeles, CA 90045-2659 310 568-6208 (voice) 310 338-7550 (fax)
Chief Financial Officer:	THOMAS O. FLEMING, JR., Senior Vice President and Chief Financial Officer
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Getting Started

Sponsored Research Advances Knowledge & Academic Careers

A FUNDAMENTAL FUNCTION OF THE UNIVERSITY FACULTY at Loyola Marymount University is discovery of knowledge through research and creative activities. Research and creative scholarship provide a vibrant learning environment for our students, enhance faculty professional development, enrich the university community, and provide a service to the larger Los Angeles community. The University is committed to enhancing the environment for these important activities by helping faculty researchers, artists, and scholars to advance their work.

Central to this effort are the services offered by the **SPONSORED PROJECTS OFFICE**, which has the experience, the resources, and the expertise to help faculty members identify the right grant at the right time and craft the best possible proposal for their project.

There are five keys that will sharpen proposals, save time, and increase the odds of success.

- Key #1 **Vision** – Identify the need or problem to be solved, see the solution, and describe it clearly.
- Key #2 **Passion** – Intense interest is infectious. The successful grant winner conveys passion for his/her subject, and demonstrates expertise and understanding of others' work to create a powerful sense of how his/her work fits into the big picture.
- Key #3 **Research** – Match your project to the funder's goals.
- Key #4 **Specificity** – Articulate the project's methods and outcomes in detail.
- Key #5 **Persistence** – Rethink, revise, rewrite, resubmit. The successful grant winner persists until he/she succeeds.

Sponsored Projects is any funded research or service, regardless of sponsor: LMU, Federal, State, Local, or Private. Sponsored Projects usually means grants and contracts, but can also be specially-funded projects for instruction or other curriculum-related or university activities. For LMU liability, **all Sponsored Projects**, including all contracts and subcontracts, **must be processed through the Sponsored Projects Office**. Gifts are generally processed through University Relations but may have grant or contract implications if there are special requirements.

Sponsored Projects facilitate faculty-guided student research, laboratory equipment for research, computer-enhanced classrooms, research experiences for undergraduates and teachers, conferences, new works of art, theatre, dance, music, film, literature, published books, new courses, and endowed chairs.

Why Seek Sponsored Research?

Writing a proposal is a significant investment of time and energy. Why do it?

An important reason for the scholar to pursue external funding is to invest in his or her scholarship. Sponsored Research funding enables faculty members to explore and improve their field of interest, balance their teaching time, provide opportunities for student research, sharpen skills, enrich their expertise, maximize the impact of their scholarly work, and realize their academic vision while creatively solving problems.

Sponsored Research Improves LMU Life and Learning

Sponsored Research awards improve teaching excellence, learning opportunities, and the quality of life throughout Loyola Marymount University by providing Federal and private funding to vital programs and activities that further the University's Mission. Funding from Federal government agencies and private foundations is essential to LMU becoming the preeminent Catholic university in the Western United States, envisioned by LMU President, Robert B. Lawton, S.J.

Examples of Sponsored Research at LMU:

- A grant from **The James Irvine Foundation** supports LMU's progressive "Linking the Intercultural Campus" diversity initiatives that improve underrepresented student retention, graduation, and preparation for graduate programs; enhance students' cultural identities and intercultural skills; and transform the core curriculum.

- The **National Institutes of Health** (NIH) and the **U.S. Department of Education** support research by an LMU Psychology professor into high-risk problem drinking among undergraduate students.
- The **Southern California Coastal Water Research Project** (SCCWRP) supports the Clean Beach Initiative and Ballona Creek Dye Study, which are conducted by the Natural Sciences Department. Students engage in research into how to preserve Los Angeles area waterways, coastal waters, and wetlands.
- The **California Commission on Teacher Credentialing** supports the LMU School of Education's collaboration with Los Angeles Unified School District (LAUSD) and the Lennox School District to recruit, prepare, and guide novice teachers. This innovative program, led by an LMU faculty member, promotes social justice in schools that serve students who are culturally and linguistically diverse.
- The **Woodrow Wilson Center** in Washington, D.C. awarded a research fellowship to an LMU scholar historian for his research into mechanisms that can encourage negotiations between warring parties in Sudan.
- The **National Institutes of Health** (NIH) and the **Foundation Fighting Blindness** have provided continuous funding support for an LMU Biology professor's groundbreaking research into genetic influences in the severity of human retinal degenerative diseases.
- The **National Science Foundation** (NSF) supported nine years of continuous funding for Research Experiences for Undergraduates (REUs) to involve LA-area community college undergraduates who might not otherwise have the opportunity to conduct research.
- The **U.S. Department of Energy** (DOE) has supported continuous funding for a Mechanical Engineering professor's Industrial Assessment Center activities, including student participation in assessment of industrial practices in the Los Angeles area.
- The **National Aeronautics and Space Administration** (NASA), **National Science Foundation** (NSF), and **Research Corporation** have supported 13 consecutive years of research by LMU Physics professors into the Earth's Magnetic Field Strength and Studies of High Energy Cosmic Rays.
- The **Louisville Institute** has awarded research fellowships to two Theological Studies faculty of color for their first books.

- The **U.S. Department of State** has supported LMU scholars with Fulbright Scholar Program research and lecturing and Senior Specialist awards in Austria, China, Czech Republic, Germany, Ghana, Japan, Korea, Mexico, Poland, Russia, and Singapore.
- The **National Science Foundation** (NSF) supported the creation of one of the first nanotechnology courses to be offered in the Western U.S. at LMU. “Engineering 398: Introduction to Nanotechnology” explores the new interdisciplinary science that the NSF predicts will generate \$1 trillion in revenues in its first decade.

Sponsored Research Advances Careers

There are nearly as many types of Sponsored Research opportunities as there are ideas to explore: acquire course release time, laboratory space and equipment, or the opportunity to travel for research on location. The scholar with vision recognizes the role of peer-reviewed Sponsored Research in achieving a productive, accomplished, and rewarding career. Successful scholars are often repeat grant-seekers who develop long-term career plans incorporating sponsored research.

The longest lasting rewards of Sponsored Research activity are the personal satisfaction, professional recognition, prestige, and invigoration of scholarly and/or creative activity, and a significant contribution to the vibrancy of the intellectual life of the region and the City of Los Angeles.

Just as there are multiple reasons for a faculty member to pursue Sponsored Research, there are also many reasons why grant seeking is in the best interest of the University and the students it serves.

Why Sponsored Research?

- The Faculty/Principal Investigator's Perspective:

- Maintain scholar's "cutting edge"
- Realize and increase individual potential
- Enhance professional standing and advance career
- Support students
- Create publication opportunities
- Contribute to the University's mission

- The Sponsored Projects Office's Perspective:

- Assist, serve, and collaborate with Faculty
- Create positive atmosphere for research and other sponsored activities
- Protect the University by ensuring research compliance
- Ensure appropriate stewardship of resources for sponsor and public

- The University's Perspective:

- Upgrade research programs
- Conduct research and produce creative works beneficial to society
- Respond to LMU's mission to encourage learning, serve faith, and promote social justice
- Attract new faculty and students
- Increase academic standing and prestige
- Train future scientists and teachers for service to others
- Service to the City of Los Angeles and neighboring communities
- Indirect Costs Recovery (also called Facilities and Administrative Costs (F&A) by the Government) support University infrastructure, enhance research programs, and advance the PI's department and College

What is a Grant Proposal?

A grant proposal – “application” in Federal language – is a formal request for funding from a governmental agency, foundation, or corporation for research or special projects that will enhance teaching, scholarship, and learning. More specifically, a proposal seeks funding for opportunities that are not ordinarily funded by the University.

A winning proposal is one that persuades the reviewer/funder that the researcher—more than anyone else – merits their financial support.

How? By persuading the reviewer/funder that:

1. The topic is important and matches the funder’s priorities.
2. A need exists, there is a problem to be solved, a phenomenon merits investigation, or a creative process or artifact should be created.
3. The researcher is well qualified and the right person to develop the project or propose an appropriate and well-considered solution.
4. The applicant has a plan with an appropriate methodology to complete the project successfully.
5. The researcher will share findings with others.

Sponsored Research GOALS	Sponsored Research OBJECTIVES
Accomplish something significant	Acquire facilities, equipment, materials
Enhance professional network	Hire staff
Develop leadership in research	Travel to conduct research
Enhance your career	Enable publications & exhibitions
Master professional time	Support course release time

A grant or contract is assistance to the University to conduct research or other educational activities for which it has insufficient resources – and for which a funder has more adequate resources.

Types of Sponsored Research

There is external funding for nearly every scholarly, research, and creative activity:

- Faculty Research
- Creative / Artistic Pursuits
- Curriculum Development
- Equipment Acquisition
- Faculty-guided Undergraduate Research
- Product or Service Development
- Laboratory Improvement
- Sabbatical Support
- Social Justice Projects
- Community Projects and Involvement
- Conferences & Seminars
- Travel to Conduct Research
- Project Support Staff
- Cross-Cultural and Interdisciplinary endeavors

University / Sponsor Relationships

There are two principal forms of university-sponsor funding relationships: **grants** and **contracts (including subcontracts)**.

Grants

A grant is an agreement to support research or creative activity entailing ideas solicited by the funding agency, which are developed and conducted by the applicant. Principal Investigators supported by grants pursue research in their

field of interest and apply for funding to those agencies that have an announced departmental, agency, or foundation interest in common.

Grant proposals are formally solicited through published announcements, both broadly and narrowly focused. Proposals are accepted and evaluated based upon considerations of merit, relevance, and applicability to the sponsoring agency's program objectives. For example, NASA may invite grant proposals for research into Earth's magnetosphere that will complement NASA's long-term goal of broadening undergraduate awareness of and commitment to careers in physics.

Grants usually aim to strengthen opportunities for investigators to make significant contributions to a particular field of research or creative work. They are made primarily to educational and non-profit organizations.

Finally, grants are distinctive in their requirement of a budget in advance, follow-up program plan, and deliverables such as interim and final technical and financial reports.

NOTE: While most sponsors offer funding opportunities that generally fall into categories of most faculty expertise, specialized research can be sought by submitting **Unsolicited Proposals**, which many agencies accept, upon direct discussion with a Program Officer.

Contracts

Contracts are an exchange of services for a fee and require faculty to deliver specific results or a product. They are awarded by a sponsoring agency (often industry or municipalities) to fund research or services after applicants compete to design and develop projects that best meet agency or company program objectives. They may also be awarded in the form of a subcontract through another lead institution or agency that has received funding. Contracts are also the funding mechanism for agreements in which a sponsoring agency – industry, municipality, or government agency – solicits a specific service from a Principal Investigator or team at LMU.

For Government contracts, the Federal agency defines the work to be performed and applicants compete within explicitly defined standards. Although LMU may gain grant-like benefits from engaging in a contract, primarily the contract is used to procure a service [from LMU] that the sponsor wants or needs.

Contract & Grant

A Comparison

	Contract	Grant
Basic Purpose:	Procures tangible goods & services	Provides assistance with few restrictions
Solicitation:	Request for Proposal/Quote	Announcement, Guidelines or Application Kit
Award Instrument:	Long, detailed specifications, clauses, regulations, and expected result(s)	Short, may refer to general conditions
Sponsor Involvement:	May be extensive	None, generally
Re-budgeting:	Restrictive; can be amended to increase funding, time, and scope.	Flexible
Equipment Title:	Varies	Stays with Grantee
Performance Period:	Specified in Contract	Specified in Grant
Patent Rights:	Provision in contract	Usually favors recipient
Publications:	Typically publication limits are not accepted unless the CHIEF ACADEMIC OFFICER has carefully reviewed and approved them.*	May ask to be informed; usually expects acknowledgement
Technical:	Detailed, perhaps monthly	Annual Summary Report

* The only acceptable limits on publication are: 1) short (90 day) delay to have time to protect Intellectual Property; 2) short (30 day) delay for sponsor to examine and ensure that LMU is not publishing sponsor's proprietary information.

Gifts

The differences between Grants and Gifts are distinct. Their core purposes, requirements, and administrative protocols make them separate and distinct funding instruments. A Gift is not an exchange transaction while a contract/grant is. If it is determined to be a gift, it is to be solicited and managed by LMU's University Relations Office. If it is determined to be a research grant request, it is to be developed and administered by the Sponsored Projects Office. No single criterion below defines a transaction under the gift or Sponsored Research category. It is a judgment based upon consideration of all criteria.

Gift & Grant A Comparison

	Gift	Grant
Donor/Grant:	Individual, Corporate	Government, Foundation, or Corporation
Purpose:	Benevolent, charitable	Advance Grantor's mission & Grantee's scholarly aims
Initiator:	Proposer or Donor	Grantor
Application Requirements:	Short, usually created by the requesting party	Lengthy, created and managed by the Grantor with detailed specifications
Award Instrument:	Brief letter. Conditions, if any, are general.	Lengthy, detailed contract with specifications, and expected result(s)
Deadline:	None	Public announcement, fixed and formal
Sponsor Involvement:	None, generally	May be extensive
Re-budgeting:	Flexible	Restrictive
Title to Equipment:	LMU	LMU or determined by sponsor
Performance Period:	Specified in Gift Letter or Unrestricted	Specified in Award Letter terms & conditions
Term:	None	Specific and fixed
Excess Funds:	Kept by recipient	Returned to Grantor
Overhead:	Generally none	Budgeted and paid, unless restricted by sponsor
Product:	Not necessarily related to donor's business	Directly related to Grantor's mission, goals, operations

Funding Sources

The principal funding sources for LMU faculty research, creative activity, and sponsored programs at the university level are 1) external Federal, state and city programs, private foundations, corporations, and private individuals, and 2) internal university support.

External Support

Federal

The majority of sponsored projects are supported by the Federal government in the form of grants and contracts. Federal departments and bureaus sponsor thousands of programs in the sciences, engineering, humanities, social sciences, and education. The **Catalog of Federal Domestic Assistance** (CFDA) lists all current domestic (excludes foreign) grant programs (excludes contracts) and provides information about every program administered by Federal departments and agencies in this single publication. The CFDA is a division of the US General Services Administration (www.gsa.gov) and is available online at www.cfda.gov.

Specific opportunities for funding by Federal agencies are announced and publicized on agency web pages, in the **Federal Register**, and in guidelines issued by the individual agencies. **Grants.gov**, which streamlines the process of awarding \$360 billion annually, is another comprehensive source of information on Federal Grants, described more fully on page 17.

Most agencies with which LMU faculty will interact have developed guidelines for submitting proposals. The government uses uniform procedures for cost analysis, such as consultant fees, per diem, and travel – and requires applicants to adhere to defined standards in the areas of animal welfare, human subject testing, DNA use, and misconduct in science and research. (See **Compliance**)

To win a Federal competitive grant, one must compete with other applicants for a specific amount of funding. Most grants at the Federal level are evaluated in a peer review process involving experts from disciplines appropriate to the grant's subject area. Reviewers are often faculty or personnel from colleges, universities, industry, or non-profit organizations. As reviewers evaluate and rank the grant proposal, they typically assign points to each section. Applications scoring the highest are recommended for funding.

LMU faculty have received grants from the **National Science Foundation**, the **National Institutes of Health**, The **National Endowment for the Humanities**, The **National Security Agency**, the **U.S. Department of Education**, the **U.S. Department of Energy**, the **U.S. Department of**

OMB CIRCULAR A-21

& A-110

The Office of Management
and Budget's

Cost Principles for
Educational Institutions

Commerce, National Aeronautical and Space Administration and other Federal agencies.

State

Occasionally, sponsored projects are supported by the California state government in the form of grants and contracts. Most of these funding opportunities may be found at www.cde.ca.gov.

City

The City of Los Angeles offers a number of grant opportunities, most of which are focused upon addressing community and environmental concerns. For more details, click: www.lacity.org/EAD/EADWeb-AboutEAD/grants.htm.

Foundation

A private foundation is a nonprofit, nongovernmental institution supported by an endowment that has its own Board of Directors. Some private foundations support faculty research in specific academic disciplines. Because foundation funding priorities frequently change to reflect a more adaptive response to societal problems, the Sponsored Projects Office will be pleased to assist in identifying which foundations might be appropriate sponsor candidates for a particular project. In general, the larger a foundation, the broader its funding interests.

The Economic Recovery Tax Act (ERTA) of 1981 requires foundations to disburse 5% of the market value of their assets each year.

Review the [Foundation Center](#), [The Foundation Directory](#), [Foundation Grants Index](#), and [Foundation Grants to Individuals](#) to identify the most appropriate foundation to support a project. Examples of Foundations from whom LMU faculty have received grant support for their projects:

- The James Irvine Foundation
- Fletcher Jones Foundation
- William & Flora Hewlett Foundation
- The Freeman Foundation
- Andrew W. Mellon Foundation
- Foundation Fighting Blindness
- The Spencer Foundation

Corporate

The role that corporations play in supporting scholarly research and creative activity has changed significantly since 1982, when tax law changes permitted deductions of up to 10% of net income. Corporations operate in a highly competitive market environment and routinely seek innovative ways to assist their employees, their business objectives, and their brand. They increasingly seek proposals that will reinforce their ongoing activities, especially if they can be leveraged in productive and/or profitable new ways.

As a cost savings measure, corporations will often “buy” research or intellectual services from a university rather than employing “in house” staff person to conduct the studies.

To learn more about which corporations are awarding grants, to whom, and for how much, see [*Corporate Foundation Profiles*](#), published by The Foundation Center.

A letter of inquiry is usually the best initial approach to a prospective corporate grant maker. **Please contact the SPONSORED PROJECTS OFFICE before approaching any corporate foundation.** SPO will consult with University Relations staff. In addition to having insights into that funding prospect’s corporate goals, University Relations can help applicants avoid embarrassing multiple LMU uncoordinated approaches to the same corporate funding prospect that may result in confusing the funder and jeopardizing LMU’s chances for winning the award.

Private Individuals

Not all projects can be funded by Federal agencies, private foundations, or corporations. At times, the best prospect may be a private individual. University Relations will assist with such requests.

University Support

College/School Internal Grants for Continuing Faculty

Loyola Marymount University has established a limited number of summer grants for tenured and tenure-track continuing faculty to provide faculty with resources and seed money for the initial phases of their scholarly research that will eventually lead to external funding. Each Dean in collaboration with the Chief Academic Officer will identify themes or areas of research where faculty scholarship or creative works will help move forward an important initiative of the College or School. Application guidelines, forms, and deadline dates are available from each Dean. A College or School-wide Committee will review proposals and budgets and make recommendations to the Dean, who will make the final decision on all awards.

First year new faculty members will receive a separate start-up grant package and are not eligible for Internal Summer Grants during the first year..

Other LMU Internal Summer Grants for Continuing Faculty

Grant	Award	Eligible	Due
Academic Technology	\$6,000	Tenured & Tenure-Track Faculty	Oct.
Faith & Justice Research	\$4,000	Tenured & Tenure-Track Faculty	Oct.
Faith & Justice Curriculum Development	\$5,000	Tenured & Tenure-Track Faculty	Oct.
Catholic Studies Curriculum Development	\$5,000	Tenured & Tenure-Track Faculty	Oct.

During the summer, continuing faculty members are eligible to accept only one internal grant. The awardee must be tenured or tenure-track and have completed the Ph.D. or terminal degree to be eligible for the award. Evidence of completion of the degree must be presented by April 30th prior to the summer grant period. Grant monies are not provided for faculty salaries, sabbatical projects, or course release time.

For these grants, the specific deadlines and application forms are posted on the Sponsored Projects Office website at the beginning of each academic year. Detailed guidelines and forms for each of these internal grant competitions and forms are available at www.lmu.edu/spo under 'Internal Summer Grants.'

Faculty may not accept an internal or external grant for the same project simultaneously.

Research Funding Sources

Faculty Interest Profile/Research Request Form

As the staff of the Sponsored Projects Office becomes acquainted with each faculty member's academic area of specialization, career focus, and objectives, it offers targeted research services and funding opportunities. The more specific the faculty member is in describing academic interests, the more helpful we can be.

First, complete a **Faculty Interest Profile (see 'Forms' on the Sponsored Projects Office website) and make a brief appointment with a member of the Sponsored Projects Office to discuss funding opportunities.** This information is kept confidential and will be used only for improving the quality of research we perform on your behalf. This critical first step will save time and energy and significantly improve the quality, appropriateness, and actionability of information about available Sponsored Research opportunities.

Additionally, the more specific and appropriately targeted information, the more helpful it will be in developing program plans. Knowing what kinds of projects and areas of interest that Federal agencies and foundations are funding helps inspire new research ideas. Developing a predisposition to think in terms of agency/foundation goals helps everyone to recognize possibilities in their own work. The faculty member is also encouraged to complete a COS Expertise profile. There is additional information on this in the following section.

Tools to Help You in Your Search

As mentioned previously, *The Federal Register* and the *Catalog of Federal and Domestic Assistance* are two excellent, free online government publications filled with information to help locate Federal funding sources.

The Federal Register is published by the U.S. Government each business day and announces information released by U.S. Federal agencies such as presidential documents, agency meetings, proposed Federal regulations, and grant opportunities.

The online *Catalog of Federal Domestic Assistance* gives you access to a database of all Federal programs available to State and local governments; Federally-recognized Indian tribal governments; Territories (and possessions) of the United States; domestic public, quasi-public, and private profit and nonprofit organizations and institutions; specialized groups; and individuals.

Electronic Search Portals

Search Strategies from COS to Google to Grants.gov

COS



There is abundant information on the Internet about grant funding opportunities for almost every project. LMU subscribes to the **COS** Funding Opportunity online search tool. Faculty can join COS for free and enjoy numerous benefits. The COS Funding tool is the world's largest and most comprehensive research and creative activity funding database on the web: www.cos.com

Updated daily, COS Funding Opportunities include more than 23,000 records, representing over 400,000 funding opportunities worth over \$33 billion.

COS - brought to you by the Sponsored Projects Office serves scholars in all disciplines.

Individual researchers and research administrators from more than 1600 institutions worldwide rely on COS Funding Opportunities to identify funding sources to support research, collaborative activities, travel, curriculum development, conferences, fellowships, post-doctoral positions, equipment acquisition, capital expenses, and more.

Technical editors at COS gather award information directly from sponsoring agencies such as Federal and regional governments, foundations, professional societies, associations, and corporations. They then compile COS Funding Opportunities including the following information:

- Sponsors
- Title
- Abstract
- Deadline/Amount of Award
- Eligibility
- Descriptor
- Activity Location
- Citizenship Requirements
- Funding Type
- Sponsor Type

COS Simple Search Options:

- Funding Opportunities with deadlines in the next 6 weeks
- Funding Opportunities by SPONSOR
- Funding Opportunities by SUBJECT AREA
- Funding Opportunities by POPULAR FUNDING TYPES

COS Funding Alerts and new Record Track Alerts

The COS Funding Alert feature is an e-mail notification system that matches listings in the COS Funding Opportunities database with researchers and grant-seekers included in COS Expertise Database. It then sends these filtered, targeted

opportunities for available funding directly to the subscriber's e-mail box. The faculty member maintains exclusive control over the precise quality and quantity of funding opportunity notifications received. **Record Track Alerts** will send users an e-mail the same day that a record has been updated by funding editors.

Individuals can create and save up to five searches in Funding Alert, specifying any combination of keywords and other search criteria such as sponsor type, funding type, citizenship, and location of research activity. Funding Alert users can also specify what information they prefer to see in their weekly alert e-mails, establish default search criteria applicable to each search topic, view archives of their weekly Funding Alert results, manage their COS Keyword collection, and toggle the e-mail feature on or off.

Users receive an e-mail alert once each week. On-campus users can access their results directly from the e-mail they receive. They may also log into their **COS Workbench** from any location worldwide to view their results.

COS Expertise Database

Another powerful feature of membership in the COS is the **Expertise Database**. This premier network contains first-person profiles of more than 500,000 profiles of scholars at 1600 institutions worldwide. Profiles typically contain a CV with contact information, positions held, publications, patents, funding received, and a first-person narrative describing current research activity. Direct links to e-mail, personal web pages, patents, publications, and funding opportunities provide additional critical information for and about each researcher.

Individual COS members can use the COS Expertise network to:

- Create and Update CVs online
- Publicize their research capabilities externally using *my profile* links
- Identify peer reviewers for articles and proposals
- Discover prospective collaborators for ongoing research projects

We encourage every LMU faculty member to review this aspect of COS membership and participate in this extensive worldwide network of scholars.

SIGNING UP AND UPDATING DATA IN COS EXPERTISE

Signing up, adding, and maintaining a profile in COS Expertise is simple. From the COS home page, www.cos.com, register with COS by selecting "Join now" or log into your COS Workbench. From your Workbench, click on "my profile" on the top, right hand side. Pick a section of your profile to edit, click on the "Edit" button and follow the directions. Witness the power and timesaving conveniences of posting your profile, corresponding with other scholars, and updating your CV.

COS Quick Form for Online CV

Generate a perfect CV in seconds by exporting the information from the up-to-date COS Expertise Profile to a word processing program. Generate a professional CV directly from the COS Workbench or from the COS Expertise profile.

COS – FREE to You

The Sponsored Projects Office subscribes to the COS and offers complimentary full membership in COS to every LMU faculty member. Be sure to complete an online expertise profile when registering. Then use COS to find funding information on research grants; scholarships; postdoctoral awards; fellowships; support for visiting personnel; funding to attend or organize conferences, seminars, and workshops; prizes and awards; equipment grants; facility access opportunities; funding for the arts; publishing support; and funding to develop programs to benefit the public or the environment.



Google is the largest search engine with more than five billion URLs. If you are doing an initial search to get a sense of the landscape for funding in an area of interest, try Google's 'Search within Results' utility to help refine search strings quickly.

Grants.gov – Free to Everyone



[GRANTS.GOV](http://Grants.gov) is the Federal government's online clearinghouse for Federal funding opportunities that

allows individuals and organizations to find electronically and apply for competitive grant opportunities from all Federal grant-making agencies. Grants.gov is THE single access point for over 900 grant programs offered by the 26 Federal grant-making agencies that award over \$400 billion

in grants each year.

In addition, you can find a number of funding opportunities listed by academic departments with links to funders on the SPO website.

Elements of a Proposal

The following are standard elements of a grant proposal. Please note that most funding agencies have specific guidelines and elements – or **specific questions** – that they require, as well as an order and format, including page limitation, font size, margin parameters. Where not specified, a rule of thumb for most proposals is 1” margins and size 12 font, either Arial or Times New Roman.

- 1) Cover Page
- 2) Abstract or Executive Summary
- 3) Need / Problem / Situation Statement
- 4) Literature Review
- 5) Project Goal and Objectives
- 6) Project Description
- 7) Methodology
- 8) Curriculum Vitae(s)
- 9) Timeline
- 10) Assessment Plan
- 11) Dissemination Plan
- 12) Budget and Budget Narrative
- 13) Conclusion

Cover Page

Most sponsors provide their own formatted cover page, many providing an interactive Microsoft Word or Adobe Acrobat PDF file on their web site. Others, such as the NSF on its FastLane website, automatically provide a cover page for your grant. When the sponsor does not prescribe a form, use an LMU generic cover page on letterhead that includes:

- Proposal title;
- Applicant's name, address, and telephone number;
- Funding agency and program name;
- Project's beginning and end dates;
- Amount requested;
- LMU Authorized signature.

Abstract or Executive Summary

Proposal in a Nutshell – Most proposals, unless specified in the guidelines, should include a concise (200 words maximum) summary of project's major objectives, methodology, benefits, and broader impacts. The purpose of the abstract is to engage the reader and summarize the entire proposal. The abstract is prepared after the proposal is written and should provide a quick snapshot of your project and its significance. Keep in mind that this page is frequently the only

page that administrators, legislators, news media, and other lay audiences may see. Therefore, communicate simply and clearly. An abstract should fit on one side of one page and be placed at the beginning of the proposal.

Need / Problem / Situation Statement

Why This Project is Necessary – This section answers the questions “What is the need exactly?” “What is not known that must be known to resolve the need?” A good Need Statement identifies the reason(s) for the project, its goal and objectives, and its hypothesis or research questions.

This is where the applicant ‘sets up’ the issue that the project will address for the reviewer. The objectives of this section are to:

- 1) Persuade the reviewer that the project topic is important,
- 2) Show that the project staff and organization are well qualified and have specific roles and the capacity to research the issue and carry out the proposed activities.
- 3) Convince the funder you are *the* expert to conduct this project.
- 4) Briefly introduce the predicted outcomes and deliverables of the research.

Literature Review

State of the Scholarship in this Area – The significance or need for a research project is documented by reviewing the relevant literature. As in any scholarly endeavor, the applicant is expected to know the current literature in the research area and to refer to it in the discussion of the need/problem. Citing the existing literature helps create a strong sense of the context in which the research will operate, the applicant’s professional authority, and lends third party support to the project’s relevance in its field. Citing the most current literature demonstrates an up-to-date knowledge of the subject and population of experts.

Project Goal and Objectives

Project’s Plan of Achievement – The goal is the applicant’s vision and overarching idea for the project. Think big here to create a ‘top level’ sense of achievement that will be made possible by the project.

Objectives are, by definition, measurable and progressive. If they cannot be measured in some tangible way, then they are not suitable for this section. Quantifiable project objectives provide a means for the applicant and the funding agency to gauge success in achieving the funding agency’s stated goal.

Research projects are described in terms of hypotheses that state the relationship between variables. These hypotheses will be tested by working through an orderly progression of objectives.

Project Description

How the Project Will be Implemented – In many ways, THIS IS THE PROPOSAL. This narrative section answers every question the reviewer might have about the who, what, when, where, and how of the proposed project. “Who is doing what activity in your project scheme?” “What specific activities will enable you to reach your objectives?” “When do you anticipate each activity to occur and where?” And “How will each activity produce the results you seek?”

Hook the reader
and tell a story.

Walk the reader through the project. Give them a tour of this exciting research project step by step so that they can get a sense of how well reasoned it is. This is the applicant’s best opportunity to win the reviewer over with detailed and specific visions. By providing the reviewer with a detailed overview of the project activities, you will inspire confidence that every aspect has been thought through in advance.

Methodology

What Techniques Will be Applied to Achieve Results – Depending upon the funding agency’s guidelines, the methodology discussion is often included within the project description. For those grants where it is a separate section, the applicant should write how best scientific methodologies and practices will be implemented. Here again is an opportunity to expose the reviewer to the project team’s expertise, training, and scientific sophistication.

Most research measures change over time. How the change is measured and quantified from one point to the next is the methodology tool(s) that you will detail in your proposal. While this change is part of the scientific process, it is not always discernable in disciplines farther away from science: the humanities or business for example. Where qualitative changes require quantitative analysis, the more specific and definable the starting point and outcomes – and the difference in change over time – the more persuasive your proposal will be.

Roles of Key Personnel

Who’s On First – Describe the project team, beginning with the Principal Investigator/Project Director. Introduce colleagues or faculty associates, collaborators from other institutions, project staff, consultants, students, and other key members of the team, making sure to describe their specific roles and responsibilities.

Curriculum Vitae

Just the Facts, Please – Most sponsors require abbreviated curriculum vitae (2-3 pages). These should include only the references, publications, and activities that pertain directly to the proposed project.

Timeline

When Everything is Happening – Here are many of the benchmarks that you can identify in advance.

- Pre-proposal planning activities
- Needs assessment
- Hiring schedule
- Schedule for ordering equipment and supplies
- Meeting schedules for key participants
- Means of acquiring subjects
- Data collection milestones
- Formative and summative evaluation benchmarks
- Report preparation
- Follow-up activities

Assessment Plan

The Measure of Success – Always include an evaluation or assessment plan in every programmatic proposal, even if it is not specifically requested. The funder will want to know if the proposed project plan will be monitored, assessed, and produce results. Upon completion of the project, the funder will want to know to what extent the grant activity met its goal(s) and objectives. What succeeded? What did not work out as planned? Why?

The **FORMATIVE** assessment plan will help the Principal Investigator/Project Director, and the project team to identify any gaps that exist between the project's stated goal and the knowledge, insights, or understandings that emerge during the course of continuing work on the project.

The **SUMMATIVE** evaluation at the conclusion of the project will assess the final outcomes of the project.

Dissemination Plan

Publishing, Publicizing, and Promoting Results – Funders want to know that the applicant will share the results of the project with other researchers, scholars, and educators. Your contribution advances your field of inquiry or creative activity. It also furthers the sponsor’s priorities and provides highly valued publicity to the participant institutions.

Whether the dissemination plan stands alone or is incorporated into another section of the proposal is determined by the grant guidelines. Wherever this section appears in the proposal, it should address the way results will be shared: in published articles, a book, a new course, or in a presentation to a specific conference or scholarly meeting. If new instructional materials are contemplated, how will they be published, marketed, advertised, and distributed?

Budget and Budget Narrative

Dollars & Sense – While this section appears after the narrative, it is often wise to **start the proposal process with the budget** – which necessarily prescribes how much money you have to address the scope of work. Many projects have been thwarted because a team tried to realize high ambitions only to have their work significantly diminished by a limit on funding – and time.

The applicant is expected to detail the cost of the project and provide brief narrative justification of line-item amounts, insights into calculations, and cost rates. The budget must be accurate and adequate to accomplish the results identified as the Funder’s goal. Shipping, installation costs, and sales taxes are frequently overlooked line items that must be included.

No Padding, Please – The budget narrative must be well justified. The funder must be confident that the costs are current, allowable, and have been well researched. Include every reasonable cost to the project, but do not pad.

Example: *Budget Justification entry*

Statistician (consultant), will assist in technical aspects of research design and analysis, (15 days x \$300/day = \$4,500).

COST SHARE – INSTITUTIONAL AND MATCHING FUNDS

Whenever Loyola Marymount University agrees to commit to a portion of the allowable costs of a sponsored project - costs that would normally be paid by the sponsor - the University makes a commitment referred to as “cost sharing” or “matching”. Cost sharing can be voluntary or mandatory and can take the form of a Cash match, In-Kind match, or both.

In general, because of the high liability for Cost Share accounting, if Cost Share is not required by a sponsor, LMU does not offer it voluntarily. Federal sponsors are clear that including Cost Share, when not required, will not increase funding probability. And LMU will be held responsible for reporting on and documenting any cost sharing indicated in the proposal.

CASH contributions, including third party cash contributions to the recipient, represent the money contributed by the University toward the project costs.

In-kind is non-cash support in the form of goods, commodities, or services and also includes third party contributions. For University purposes, each in-kind element must be valued at fair market rates, in order to substantiate audit oversight.

Cost Sharing is regulated by the Federal OMB Circular A-110. All cost sharing contributions must be documented and shown on the recipient's grant accounting records. Federal funds or property purchased with Federal funds may not be used as cost sharing on a Federal award and cost sharing may not be used on multiple projects

All Cost Share has a significant financial impact on the division or department providing the funds and on the University as a whole. Federal cost accounting rules, adopted by OMB A-110 and A-21 in 1996 and updated in 2004, have made identification of and accounting for cost sharing a highly visible audit area in recent years. Whenever University cost sharing is proposed, the Principal Investigator must submit his/her Proposal Cost Sharing Agreement sufficiently early to obtain review and approval by the Chair, Dean, the Sponsored Projects Office, the Vice President for Research and Graduate Studies and in some instances the Chief Academic Officer.

Conclusion

Enough Said, Now Ask For The Grant – This is the wrap-up. All the threads of the project rationale must come together to create a single, persuasive, inescapable conclusion. State clearly the amount of funding requested. Finally, ask the potential funder to become a partner in achieving a mutually desired goal.

Appendices / Attachments

Please check each set of funding guidelines for requested Appendices and Attachments. Typical attachments include:

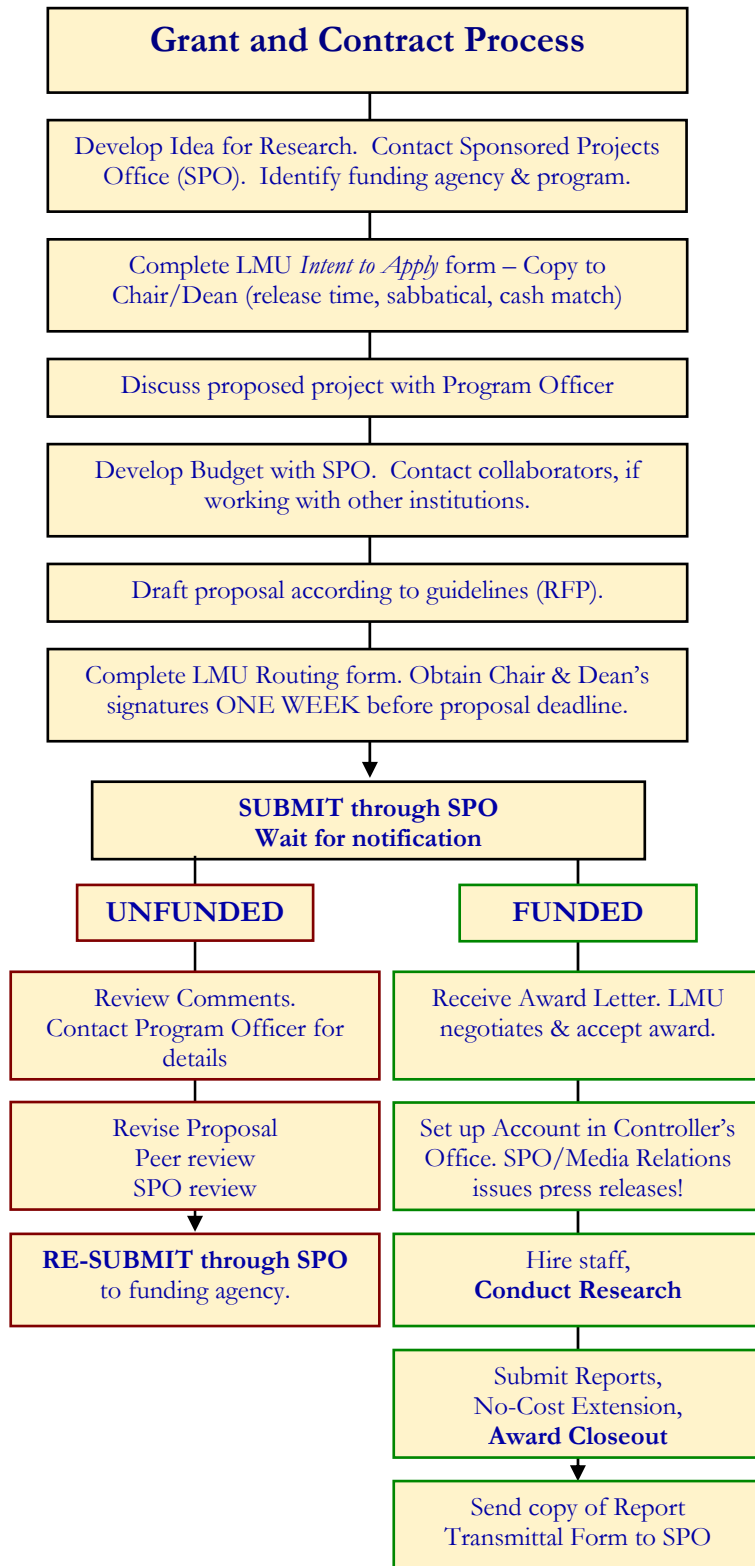
- Letters of support (check guidelines for allowance)
 - Ask early for letters of support. They are increasingly influential with reviewers.

- To enable letter writers to write authoritatively about the applicant and the project, provide them with an abstract or project description, CV, and talking points highlighting the project's aims and strengths.
- Provide clear instructions regarding to WHOM the letter should be addressed, and WHERE it should be mailed.
- Such signed letters are often scanned electronically by the Sponsored Projects Office staff and attached to proposals that are submitted online. Leave enough time for this important step.
- Curriculum Vitae
 - Remember to adjust your CV to the specific guidelines. Some sponsors request specific headings and categories or limit the length.
- Bibliographies
- Photos, maps, charts
- Brochures
- Course syllabi or copies of articles
- Sample questionnaires or other assessment instruments
- Clearances to use facilities
- Cost documentation for equipment
- Audited financial statements
- University Board of Trustees listing
- IRS letter affirming University's 501(c) 3 status
- Certifications and Assurances for Debarment, Lobbying, and Drug-Free workplace

Cover Letter

Often, a sponsor requires a Cover Letter signed by the University's authorized official. This is the applicant's letter of introduction to the Federal agency or foundation for submittals. Think of this as a handshake upon meeting the potential sponsor. Make it brief, informative, and winning. Never more than one page, this cover letter should tempt the reader to open the proposal and begin reading then and there. The SPONSORED PROJECTS OFFICE has a template and can assist you in preparing the letter and obtaining signatures.

Proposal Development Path



Writing the Proposal

Ready . . . Set . . . *Write*

Winning Grant proposals have some important characteristics in common. They are knowledgably researched, thoughtfully planned, concisely written, persuasive, and professionally prepared. While basic requirements, application forms, information requested, and submission procedures may vary between Federal agencies and foundations, the need to address the funding guidelines is absolute.

That said, there is no mystery to the process of writing winning proposals. Follow the general outline for grant writing to create a competitive proposal. Remember that Federal agencies and foundations usually have specific guidelines that they want followed, which specify word count, font size, or page limitations section by section. Applicants should obtain and review the guidelines. **Always speak with the Program Officer.** Ask specific questions until you feel confident that your project is a good match to the program. Call early and call often. They are there to be your advocate; their goal is to **HELP YOU!**

Get to Know the Program Officer

It is wise to develop a relationship with the person in charge of applications in the grant program – the Program Officer – for several helpful and practical reasons:

He/she can:

- Keep applicant apprised of the most current funding priorities at the funding agency or foundation
- Help guide applicant's development of project proposal
- Provide useful insights into the readers/reviewers who will be evaluating the proposal
- Be the applicant's advocate at the agency or foundation

Address a Need, Solve a Problem, Explore

During brainstorming of ideas for research and/or creative activity, the applicant should ask if the project idea is important to his/her academic discipline, any particular interest groups, or society at large. What is the problem that needs to be solved?

Determine whether the proposed solution to the identified need is critical. The funder must be persuaded to invest in this particular project because it is more meritorious or the need for its results is more urgent than the other thirty to one hundred and fifty proposals on his or her desktop.

Avoid circular reasoning. This occurs when the problem identified is the absence of the applicant's research or creative project results. For example, circular reasoning for writing a book might sound like this: "There is no entertaining and informative book about American Fast Food on the market. My writing this book will solve that problem."

Instead, a more persuasive case would cite what fast food has meant to American culture since the 1950's, including the decline of the traditional family dinner hour, the rise in child obesity, and its contribution to the deterioration of the traditional social bond established and maintained through more rigid formal dining experiences. The problem identified must be credible and real to someone other than the applicant.

The National Science Foundation has two main criteria that are also salient points for any proposal: Broader Impacts and Intellectual Merit. How will the research impact your discipline, academia, industry, individuals, and society as a whole; and what are the merits of your project that will add to the knowledge-base of one or more disciplines? Noting these elements will enhance the outcomes of any good proposal.

Characteristics of Fundable Proposals

There are certain project characteristics that are generally accepted as central to securing funding. The National Council of University Research Administrators (NCURA), the leading professional organization for sponsored research professionals, identifies these characteristics as:

- the idea is new and innovative
- the idea is timely
- the clear need for the project can be documented
- the project will make a difference and influence advancement of the field, and;
- the project as proposed is cost-effective

Concept Paper / Statement

Developing a concept paper for the prospective project prepares the applicant to make a persuasive case for why his/her project is important to the funding agency. It is critically important to have a good sense of where the project fits into the funding agency's mission and funding priorities.

The core purpose of the concept statement is to identify the need for the results that the project can produce, including documentation. For creative works, this might include identifying the need for new ways of experiencing or perceiving the world, innovative new modes of information sharing, or communications.

Keep in mind that the concept(s) developed for the statement will be reflected, addressed, and reinforced in the proposal. If the concept paper is the heart of the grant proposal, refined conceptual reasoning and applications to the various sections of the proposal become its lifeblood, feeding and strengthening each argument, as well as each aspect of the work plan.

Among the many practical benefits of drafting a concept paper, it helps clarify the idea and enables the applicant to share it with colleagues, department chair, potential consultants, and the program officer at the funding agency. It greatly facilitates the search for a sponsor, helps maintain laser sharp focus on project goals, and avoids obstacles such as writer's block, and distractions such as perpetual creative development.

Ideally, the concept paper is one page in length and certainly no longer than two or three pages. It may be helpful to organize it into four sections as follows:

Concept/Problem Statement	Define the problem and place it in context.
Need and Significance	Address the issues that will be addressed or the problem(s) that will be solved by the project, and cite relevant literature that confirms its importance.
Project Plan	Describe how the project will be implemented. Identify the specific steps necessary to accomplish project goals. Suggest evaluation plan.
Required Resources	Identify the time, space, personnel, equipment, and budget required for completing the project.

Read and Follow the Guidelines

Read and reread the funder’s grant application guidelines (Request for Funding, RFP). Everything the applicant must know to fulfill requirements is in the guidelines, the blueprint for the proposal.

It is impossible to overstate the importance of following grant application and submission guidelines. Each proposal

will first be reviewed for adherence to the specific formatting and content guidelines specified. Neglecting to use the required paper, type size, line spacing, word/page count, and margins often disqualifies the application before it is evaluated and is returned without review.

Sample Guidelines:

... The program narrative, not to exceed 15 pages (excluding forms, assurances, and appendices), must be submitted on 8.5- by 11-inch paper, double-spaced, and printed on one side in a standard font no smaller than 10 point. Proposals must have 1 inch margins at the top, bottom and on each side. . . .

Student: “But Professor, my response was brilliant.”

Professor: “Yes, it was – but you did not answer the question.”

How many times have you been on either end of the dialogue above?

Proposals are often denied because they fail to follow the specific parameters of the guidelines. This is why it is invaluable to contact the Program Officer and more specifically, to adopt the Funder’s outline **and answer the questions contained in the solicitation** – in the order in which they are asked. Avoid creatively interpreting what the Funder is asking. Clarify any ambiguities with a Program Officer. Answer the questions explicitly and clearly. Reserve your creativity, personality, and style for the grant-supported work ahead. Those positive personal and professional attributes can hinder development of an effective proposal.

A proposal is a form of an argument, a persuasive writing that must convince the Funder of your goals while using their criteria, definitions, and descriptions. Like answering an essay question, one technique is to paraphrase the question – using specific verbs and phrases used by the sponsor in the solicitation – in your response and throughout your reinforced conclusions.

Critical Review

At some point after the concept paper and project description outline are completed, seek out a neutral party to review the idea for clarity and logic. Peer review is invaluable. It will also benefit to have someone outside your field read it for continuity and organizational development.

The great physicist, Richard Feynman, noted that no matter how complex an idea, you should be able to explain the basic concepts to any sophomore college student. The basic concepts of your proposal should be clear to even those outside your area of expertise.

Later, seek third party review of the proposal's first or second draft for further continuity, reasoning, and persuasiveness. The project description will benefit from this early review when there is still time to refine the proposal before the program officer and review panel see it. By the time the reviewers' comments become available, the fate of the proposal will have been decided.

From time to time, it is difficult to let go of something creative, but deadlines must be met. Know when enough is enough. Know when to stop writing and submit.

Identify Project Principals

Collaboration is another important key to winning grants. No single individual possesses all of the knowledge, skills, and experience required to conduct the optimum research project. Identify those who will be needed to conduct the proposed grant activity successfully and determine their specific roles in the project. Determine who will be the Principal Investigator and/or Co-Principal Investigator (s), Faculty Associates, Collaborators, Consultants, Statistician and Assessment Specialist. Please note that too many chefs spoil the meal. It is imperative that early discussions specify roles and responsibilities, including funding proportions! Try to start with the budget restrictions to meet realistic expectations.

Draft Your Project Description

There are many sources of information to help the applicant write a persuasive competitive grants proposal. In addition to a long list of helpful books available at any library or quality bookstore, there are numerous on-line websites dedicated to helping grants seekers develop their ideas and perfect their grants requests.

Some guidelines require specific topics to be addressed in a given order. Individual grants guidelines will provide more specific requirements, often including topics to be covered and page limitations, or even limitations on numbers of characters allowed for each section. In the absence of such requirements, make a simple step outline and address the following elements.

Project Summary / Executive Summary

Prepare the summary after completing the rest of the proposal. This will help ensure that all the key summary points necessary to communicate the objectives, methodology, intellectual merits, and broader impacts of the project are addressed.

Problem Statement / Needs Statement

Make this statement clear, concise, and compelling. The stronger the assessment of the situation, the more comprehensive the documentation of the project's purpose and benefits, the nature of the problem, and the state of scholarship in this area, the more effective the problem statement will be.

Here are some tips to help focus the power of the idea for the reader:

- Assume the reviewer is a generalist and interested in discovering more about the subject. Specific insights, especially when writing about complex topics, are appealing.
- Reference third party statements, excerpts, or actions that demonstrate why this situation and the proposed solutions are important.
- Tell a story that is both informative and intriguing. Describe the need or problem in both factual and human-interest terms.
- Describe the issue free of jargon, in a local context, where possible.
- Make the scale of the exploration, need, or discovered problem about the same scale as your proposed solution.

Project Goal and Objectives

The goal and how it is stated can influence how the argument is received and how the proposal is scored by reviewers. First and foremost, develop a goal with a thorough knowledge of your prospective funding source and its mission. Write your goal to respond to the funder's mission. The reviewers will appreciate the applicant's research and will be more receptive. Make the goal big but realistic, visionary, and potentially important to the field of study. This is the applicant's opportunity to suggest that the world or at least his/her academic discipline will be made better by the contributions the project can make. Be realistic about the projected outcomes and scope, based on available funding. Many proposals are denied because they attempt to do too much and lack focus.

Project objectives must be solidly founded and measurable. Always include measurable outcome objectives. For example, if the project proposes to improve literacy skills among a certain group of K-5 students, one might predict that 65%

of the participants will improve their reading and comprehension as evidenced by a reading and comprehension improvement in the first cycle of the program. Then, add process objectives or specific activities that are planned to explain how those objectives will be achieved.

Project Design & Program Methods

The project design and descriptions of the methods to be used must clearly communicate how the project will work to solve the stated problem. This section outlines the plan of action.

- Activities planned
- Timeline and organizational flowchart
- Discuss roles and functions of collaborators

Evaluation and Assessment

An increasing number of researchers and creative artists are seeking support. As a result, grant seeking is more competitive than ever before. Funders are increasingly concerned with accountability and seek to make awards to organizations that can produce and share measurable results. Key to making a proposal effective and persuasive is a plan for evaluating the project that demonstrates understanding of what it takes to construct a valid and reliable assessment instrument.

Most Federal agencies require some form of evaluation and assessment from grantees. All funders want to see valid results that will reward their investment and enable them to feel that their agency or foundation has made a contribution beyond the money itself. Develop a credible assessment plan – recruit assessment specialists in the field, if necessary – and budget for them. Often, the lack of an assessment plan and a budget line item for it automatically disqualifies a grants proposal from further review. Federal agencies will pay for the costs associated with the assessment activities.

A convincing assessment will include appropriate data collected before as well as during and after the grants period. Be sure to plan for this step during proposal development.

During evaluation planning, consider these steps:

1. Determine evaluation type (i.e., formative, summative, or both)
2. Determine measurement criteria and methods
3. Select assessment /evaluation tools and materials

4. Select data collection procedures and analysis
5. Establish mechanism for revisions

A well-conceived assessment/evaluation plan is essential to a successful proposal. Funders are placing increasing emphasis upon evaluation, so it is vital that the evaluation design communicate expertise, the evaluation plan be as strong as possible, and that it can be successfully completed during the grants period.

Have one or more colleagues read and assess the proposal, paying particular attention to the evaluation component, and ask for constructive criticism. The reviewers who evaluate the proposal will be sophisticated readers with graduate-level standing in the appropriate area of academic discipline. Give them what they need to score the project proposal – an evaluation instrument – a winner.

Conclusion

Like the summary, the Conclusion underscores the proposal's most important points briefly, powerfully, and persuasively. Restate project benefits and expected outcomes. Describe how funding will further the funder's mission, goal and objectives. Finally, explicitly ask for the funding.

Budget & Budget Narrative

It is often a good idea to start with the budget. The scope of work is a function of how much money and time you have. Avoid the temptation to delay budget planning until after having written the project narrative. Develop the budget in tandem with your narrative/project description development to assure that budget items relate specifically to activities described in the project narrative.

Each grant is unique in what it will and will not fund. Typically, operating expenses and bricks and mortar projects are not supported by grants. Generally, grants support:

- Personnel wages and fringe benefits
- Travel costs
- Postage, Materials, and Supplies, specific to the project
- Equipment, including the costs for shipping, installation, and sales tax
- Publication Costs
- Laboratory Renovation
- Subcontracts to collaborators

A well-prepared budget identifies and justifies all expenses and is consistent with the proposed narrative.

When preparing government grant or contract proposals, the Federal government's cost principles for educational institutions must be used as a guide in determining costs project costs.

The Office of Management and Budget (OMB) publishes three important Circulars related to sponsored programs, with applicable requirements that are detailed and continually updated.

- **OMB Circular No. A-21** – Cost Principles for Educational Institutions, (applicable to Federal grants and contracts), specifies the cost principles.
- **OMB Circular No. A-110** – Uniform Administrative Requirements for Grants and Agreements with Institutions of Higher Education, Hospitals, and Other Non-Profit Organizations. A-110 provides guidance on the administration of grants, and is not applicable to contracts.
- **OMB Circular No. A-133** – Audits of States, Local Governments, and Non-Profit Organizations. The A-133 Audit reviews the institution's systems for compliance with cost principles, administration rules, and other regulations and laws.
- **Federal Acquisitions Regulations (FAR)** – FAR is a system of uniform policies and procedures governing acquisition by all Federal agencies and applies to contracts. Only FAR 31.3 adopts Circular A-21 as cost principles for universities under contracts. All other aspects of administration are included in the clauses in or referenced by a contract.

Links to these OMB Circulars are available on the Sponsored Projects Office Website – www.lmu.edu/spo For a broader discussion of the OMB Circulars, please consult Chapter 3 on **Compliance**.

Allocable Costs

The costs budgeted must be reasonable, allowable, and allocable to a specific sponsored agreement. According to OMB Circular A-21, a cost is allocable to a sponsored agreement if **it is incurred solely to advance the work under the sponsored agreement**. Further, it should benefit both the sponsored agreement and the other work of the institution in proportions that can be approximated through use of reasonable methods.

Unallowable Costs

Note that there is nothing inherently wrong with many of the expenditures listed below as long as they are **necessary** and **reasonable**. For the most part, they are the necessary costs of doing business for the University. The Federal government has determined, however, that the University must exclude certain costs when preparing its application for its Indirect Cost Rate Agreement.

Allowable direct costs are also governed by the sponsor’s specific budgetary authorizations. In case of a discrepancy between the provisions of Circular A-21 and those of a specific sponsored agreement, the agreement governs.

Examples of Unallowable Costs:

Category	UNALLOWABLE Or Allowable under certain conditions	Sample ACTIVITIES requiring No Action
Advertising	Production and distribution of magazines, newsletters, radio /TV programs, direct mail, unless directly related to performance of sponsored research program. Purchase of promotional materials.	Normal faculty and staff recruitment. Normal acquisition or disposal associated with performance of sponsored agreements.
Alcoholic Beverages	ANY purchase	None
Alumni Activities	ALL	None
Commencement	ALL	None
Entertainment	Holiday, birthday celebrations. Concert tickets, sporting event tickets, similar costs for hosting or recruiting.	Student attendance at cultural/entertainment events as part of sponsored program.
Fund Raising	ALL	None
Goods or Services for Personal Use	Costs of goods or services for personal use by the institution’s employees are unallowable regardless of whether the cost is reported as taxable income by the employees.	Fringe benefits are allowable costs IF Sponsored Researched in accordance with established policies and distributed equitably to all institutional activities.
Hosting	ALL	Light refreshments during scheduled sponsored program activities.
Meals & Travel	Travel and subsistence expenses of non-employee spouse.	Subsistence while engaged in sponsored project activity away from home or outside customary work hours.

Category	UNALLOWABLE Or Allowable under certain conditions	Sample ACTIVITIES requiring No Action
Medical Liability Insurance	An allowable cost of research insofar as the research involves human subjects.	A direct cost assigned to the individual project based on the manner in which the insurer allocates the risk to the insured population.
Memberships		Memberships in technical and professional organizations acceptable under University policy.
Meetings & Conferences		Scholarly and/or professional gatherings the primary purpose of which is the dissemination of technical information.
Proposal Preparation	Unallowable as a direct charge to the sponsored award.	Allocable as F&A cost.
Public Relations	ALL, unless specifically required by sponsored agreement or consistent with performance of sponsored agreement.	Costs of communicating with the public and the press pertaining to specific activities or accomplishments resulting from performance of sponsored agreement.
Selling & Marketing	ALL, unless directly related to recruitment of employees.	
Student Activity Costs	ALL, unless specifically provided for in the sponsored award.	

Faculty and Staff Salaries

As a general policy, the Federal government recognizes that faculty member salaries and the salaries of other personnel directly associated with the project constitute appropriate direct costs and may be requested in proportion to the effort devoted to the project. OMB Circular A-21 requires measuring in “percentage of effort,” with 100% effort being paid by “regular base salary.” LMU applies this principle to all sponsored program salaries. If a sponsor requires salaries to be stated in hourly rates, contact the Sponsored Projects Office for the method of estimating hourly rates for salaried personnel.

OMB Circular A-21 stipulates that **salaries paid to nine-month faculty members for summer work must not exceed their regular monthly academic year salary.** This means that a faculty member may only request up to three months of salary during the summer (equal to three-ninths of their regular

base salary) on any sponsored project. The National Science Foundation is the only Federal agency that limits summer salary for faculty members on academic-year appointments to no more than two-ninths of their regular academic year salary, i.e., only two months at 100% effort. Wages for non-faculty must be distributed to projects based on actual percentage of effort committed to the project. Wages must be paid as part of base salary, not as overtime, unless an employee is nonexempt. Exempt employees in this category may not receive overtime pay from sponsored projects; doing so violates section J.10.d. of Circular A-21 and breaches institutional policy.

Consultants

Consultants are unaffiliated, non-LMU employees who are hired for short-term input, usually for problem-solving, evaluation, or provision of specialized technical knowledge. Compensation must be stated as daily or hourly rates. Travel expenses must be stated separately. Justification for hiring a consultant must include a description of the specific need, and a clear rationale for hiring each consultant along with their unique qualifications. Some Federal agencies such as the National Science Foundation and NASA limit consultant rates of compensation to no more than the daily rate of a GS-18 Federal employee.



One LMU faculty member cannot pay another LMU faculty or staff member as a consultant on a sponsored project.

Obtain Letters of Support

Letters of support or letters of commitment from respected colleagues, outside experts in the field, Deans, and University Administrators can be very helpful in adding credibility and authority to your grant proposal. They reinforce the applicant's standing in the community and the field, attesting to the importance of the project, and lend third-party support to the quality of the proposed research. An authoritative letterhead can and often does impress reviewers. **Please check the funding guidelines for letter restrictions. Some agencies do not accept such letters.**

Since writing good letters of support is time-consuming, it is important to be considerate and ask for the letter early to give the writer plenty of time to fit it into their schedule. While not explicitly required in many grant solicitations, the Sponsored Projects Office recommends planning on incorporating at least two or three letters in your proposal.

Grant Writing Responsibilities and Assistance

There is no substitute for the Principal Investigator's expertise in the discipline that is the subject of the proposal. The PI is the creator and author of the proposal.

The staff of the Sponsored Projects Office at Loyola Marymount University offer one-on-one assistance with proposal development, editing, formatting, and packaging – in addition to information concerning regulatory and compliance issues. The Sponsored Projects Office provides supporting advice on the suitability of project design, optimal fit with prospective funders, and the most effective presentation of the material in the proposal. Staff members are available for consultation at every stage of proposal development. Individualized support is custom-tailored to needs, capabilities, and goals.

Why Some Proposals Fail

There are many reasons why proposals may fail to score highly and win funding. The following are some common reasons proposals fall short with reviewers.

- The project does not match agency or foundation priorities
- Proposed activities are unrelated to or insufficiently tailored to project objectives
- Inadequate evaluation plan and/or lack of funding to carry it out
- Project is of questionable importance or potential significance
- Project plan lacks sufficient detail
- Scope is too ambitious for grant period and/or budget
- Timetable is vague or missing
- Unclear objectives
- Unconvincing argument or the claims made are not sustainable
- Vague methodology
- Generic curriculum vitae with material not relevant to project
- No justification of why the applicant is qualified to conduct the research or creative activity

- Roles of the project team members are not adequately described
- Typographical and/or factual errors distract readers and undercut grants seeker's competence
- Poor grammar and/or writing style; jargon-ridden text
- Poor or sloppy presentation
- The narrative is unclear and fails to capture and hold the interest of the reader.

Seven Reasons Why Proposals Succeed

1. Grant seeker exerts leadership early and schedules time for consultation with the funding agency's Program Officer, as well as correspondence with supporters of the project. The PI leaves sufficient time for strategic planning, concept refinement, peer review and feedback, fact-checking, proofreading, polish writing, and grant assembly.
2. The proposal is presented to the appropriate funding agency and submitted to the appropriate program.
3. The proposal stresses knowledge to be gained, not merely the grant seeker's needs. It presents the needs statement or problem as a universal challenge that, when understood, will lead to improved knowledge.
4. The principal investigator establishes his/her credentials and demonstrates collaboration with other well-qualified, published scholars who will contribute to the successful implementation of the grant.
5. The proposal exhibits openness to discovery and others' viewpoints, and often is interdisciplinary.
6. The proposal is written clearly, presented professionally, and on-time.
7. Grant seeker takes pride in project and convinces reviewers that the dissemination plan to inform others about the project is well-thought out and doable.

Compliance

What Compliance Means to You

Compliance is a simple word representing a complex set of responsibilities, regulations, and legal obligations. Becoming familiar with what is expected when awarded a grant will make the supported research or creative activity a fulfilling, productive, and rewarding experience. Observing obligations to comply with regulations ensures that the grants awardee and, by extension, the University will remain in compliance and enjoy positive results. Finally, adhering to Federal, state, local, institutional regulations and requirements helps to ensure the University's eligibility for future funding.

Research Responsibility

Loyola Marymount University is a medium-sized institution, but it is smaller than many research institutions that are engaged in sponsored research activities. Compliance at smaller institutions is as important as it is at the larger research-intensive major universities. The stakes are high at LMU because the relative cost of noncompliance is proportionately so high.

Research activities are governed by regulatory and compliance policies imposed by Federal and state laws. Non-compliance can result in severe penalties to the University and, in some instances, to the individual. It is the faculty member's responsibility to be familiar with University policies as they relate to sponsored research compliance.

Following are regulated areas of research and creative activity that are commonly identified with research and/or creative activities of faculty at LMU:

Human Subjects Policy – Institutional Review Board

The use of human subjects in research involves many sensitive issues. The LMU IRB (Institutional Review Board) Committee works intensively to develop comprehensive, fair, and effective standards in this area. All research projects involving human subjects require review by the IRB Committee.

WHEN MUST THIS REVIEW/APPROVAL BE SOUGHT AND OBTAINED? Be clear here! For Federal applications, the review must be sought in time to get approval by about 60 days before the award is to be made (“just in time” procedure). Also, the “application,” as well as any protocol, must be reviewed. In many cases, these are the same reviewers.

The Human Subjects Review and Exemption Request forms have been updated and are available on the Sponsored Projects Office website. To obtain a review, please complete an LMU IRB Request Form. For further information check with **Birute Anne Vileisis, Ph.D., Chair, LMU IRB Committee**, at Bvileisis@lmu.edu

Human Subjects application deadlines, generally on the first of each month, are posted on ManeGate, the University’s portal.

Compliance regulations:

- HHS – Protection of Human Subjects (45 CFR Part 46)
- FDA – Protection of Human Subjects (21 CFR Part 50, Part 56)

For further information, see LMU’s “POLICY ON THE USE OF HUMAN SUBJECTS IN RESEARCH,” authored by Human Subjects Review Board 2003-2004. This policy is available on the Sponsored Projects Office website.

Animal Care and Use Policy

LMU is committed to ethical conduct in the proper care, humane use, and respectful treatment of laboratory animals in research, testing, and instruction. This requires scientific and professional judgment based on knowledge of the needs of the animals and the special requirements of the research, testing, and educational programs.

To accomplish this, an LMU animal care committee reviews the care and treatment of animals in all animal study areas and facilities. Please contact **Dr. Jeff Sanny**, Associate Dean of Research, College of Science & Engineering, jsanny@lmu.edu for information.

Federal Animal Use Regulations

- USDA Animal Welfare Act and Regulations
- PHS Policy on Humane Care & Use of Laboratory Animals
- U.S. Government Principles for the Utilization and Care of Vertebrate Animals used in Testing, Research & Training
- NAS Institute for Laboratory Animal Resources “Guide for the Care and Use of Laboratory Animals”
- DHHS & FDA “Good Laboratory Practice for Non-clinical Laboratory Studies”
- U.S. Fish & Wildlife Service Endangered Species Act

For further information, see LMU’s “ANIMAL CARE & USE POLICY” (2004). This policy is available on the Sponsored Projects Office website.

Conflict of Interest Policy for Sponsored Research Investigators

It is the policy of Loyola Marymount University that the highest standards of conduct and honesty are expected of the University's faculty. Further, it is the obligation of all members of the faculty to avoid involvement in activities that conflict with their professional responsibilities as members of the LMU faculty.

Specifically, a conflict of interest exists when a faculty member's action or activities in the scope of his/her employment by the University result in an improper gain or advantage to the faculty member, a family member, or a personal or business associate. (Ref. *Faculty Handbook*, V.B., page 18)

Conflicts of interest cover a range of situations such as placing one's own financial interest, or the financial interests of an outside organization ahead of the University's, or investing more time and creative energy in a consulting arrangement than to faculty teaching responsibilities. Sponsored program proposals submitted to the National Science Foundation require specific disclosures for all significant financial interests.

Federal Conflict of Interest Regulations

- OMB Circular A-110: Uniform Administration Requirements for Grants and Other Agreements with Institutions of Higher Education, Hospitals, and other Non-Profit Organizations
- NSF – Investigator Financial Disclosure Policy
www.nsf.gov/pubs/2002/nsf02151/gpm5.htm
- PHS – Policy on Objectivity in Research
- AAU Report on Individual & Institutional Conflict of Interest (Oct. 9, 2001) www.aau.edu/research/conflict.html

Intellectual Property Policy

What is the value of an idea? How can the right to perform a play or a musical composition be valued?

Questions about intellectual property - ownership and handling of copyrights, patents, and other intellectual or creative work products – have profound philosophical, ethical, and legal implications for faculty and the University. As a result, ownership, management, and disposition of intellectual property rights are at the center of a critically important policy discussion currently underway throughout the academic community.

Intellectual property includes three categories: Patents, Copyrights, and Trademarks.

Industrial

Industrial includes invention patents, trademarks, industrial designs, and geographic indications of source. This category of Intellectual Property is concerned more with research activities in the College of Science and Engineering than other schools or colleges at Loyola Marymount University.

The United States Patent and Trademark Office (PTO) promotes the progress of science and the useful arts by securing for limited times to inventors the exclusive right to their respective discoveries (Article 1, Section 8 of the United States Constitution).

The PTO is a non-commercial Federal entity and one of 14 bureaus in the Department of Commerce (DOC). The office examines and issues patents, and examines and registers trademarks.

For more information, see www.uspto.gov.

Copyright

Copyright pertains to research and creative activities in every academic department of the University at one time or another.

Copyright is a form of protection provided by the laws of the United States (title 17, U.S. Code) to the authors of “original works of authorship,” including literary, dramatic, musical, artistic, and certain other intellectual works. This protection is available to both published and unpublished works. Section 106 of the 1976 Copyright Act generally gives the owner of copyright the exclusive right to do and to authorize others to do the following:

- To **reproduce** the work in copies or phonorecords;

- To **prepare derivative works** based upon the work;
- **To distribute copies or phonorecords** of the work to the public by sale or other transfer of ownership, or by rental, lease, or lending;
- To perform the work publicly, in the case of literary, musical, dramatic, and choreographic works, pantomimes, and motion pictures and other audiovisual works;
- To display the copyrighted work publicly, in the case of literary, musical, dramatic, and choreographic works, pantomimes, and pictorial, graphic, or sculptural works, including the individual images of a motion picture or other audiovisual work; and
- In the case of **sound recordings, to perform the work publicly** by means of a **digital audio transmission**.

In addition, certain authors of works of visual art have the rights of attribution and integrity as described in **section 106A** of the 1976 Copyright Act. For further information, request **Circular 40**, "Copyright Registration for Works of the Visual Arts."

It is illegal for anyone to violate any of the rights provided by the copyright law to the owner of copyright. These rights, however, are not unlimited in scope. **Sections 107 through 121** of the 1976 Copyright Act establish limitations on these rights. In some cases, these limitations are specified exemptions from copyright liability. One major limitation is the doctrine of "fair use," which is given a statutory basis in **section 107** of the 1976 Copyright Act. In other instances, the limitation takes the form of a "compulsory license" under which certain limited uses of copyrighted works are permitted upon payment of specified royalties and compliance with statutory conditions. For further information, consult the copyright law, www.copyright.gov, or write to the Copyright Office: U.S. Copyright office, 101 Independence Ave. S.E., Washington, D.C. 20559-6000. Tel. (202) 707-3000.

WHAT WORKS ARE PROTECTED?

Copyright protects "original works of authorship" that are fixed in a tangible form of expression. The fixation need not be directly perceptible so long as it may be communicated with the aid of a machine or device. Copyrightable works include the following categories:

1. literary works;
2. musical works, including any accompanying words;
3. dramatic works, including any accompanying music;

4. pantomimes and choreographic works;
5. pictorial, graphic, and sculptural works;
6. motion pictures and other audiovisual works;
7. sound recordings; and
8. works of architecture.

These categories should be viewed broadly. For example, computer programs and most "compilations" may be registered as "literary works;" maps and architectural plans may be registered as "pictorial, graphic, and sculptural works."

WHAT IS NOT PROTECTED BY COPYRIGHT?

Several categories of material are generally not eligible for Federal copyright protection. These include among others:

- Works that have **not** been fixed in a tangible form of expression (for example, choreographic works that have not been notated or recorded, or improvisational speeches or performances that have not been written or recorded).
- Titles, names, short phrases, and slogans; familiar symbols or designs; mere variations of typographic ornamentation, lettering, or coloring; mere listings of ingredients or contents.
- Ideas, procedures, methods, systems, processes, concepts, principles, discoveries, or devices, as distinguished from a description, explanation, or illustration.
- Works consisting entirely of information that is common property and containing no original authorship (for example: standard calendars, height and weight charts, tape measures and rulers, and lists or tables taken from public documents or other common sources).

Copyright and its related rights are essential to human creativity. This protection rewards creators with recognition and fair economic rewards. Under this system of rights, creators are assured that their works can be disseminated without fear of unauthorized copying or piracy. In turn, this helps increase access to and enhances culture and knowledge all over the world. Both patent and copyright refer to "negative rights," if exercised, they prevent others from copying unless the Intellectual Property owner permits.

FAIR USE

Fair use of a copyrighted work, including such use by reproduction in copies or phonorecords or by any other means specified by that section, for purposes such as criticism, comment, news reporting, teaching (including multiple copies for classroom use), scholarship, or research, is not an infringement of copyright. In determining whether the use made of a work in any particular case is a fair use the factors to be considered shall include –

- (1) the purpose and character of the use, including whether such use is of a commercial nature or is for nonprofit educational purposes;
- (2) the nature of the copyrighted work;
- (3) the amount and substantiality of the portion used in relation to the copyrighted work as a whole; and
- (4) the effect of the use upon the potential market for or value of the copyrighted work.

The fact that a work is unpublished shall not itself bar a finding of fair use if such finding is made upon consideration of all the above factors.

This discussion of Copyright and Fair Use from the United States Copyright Office is a good example of Fair Use in practice.

Please consult the LMU Copyright guidelines:
www.lmu.edu/special/copyright/lmucopyrightguide.pdf

PATENTS

On December 12, 1980, Congress enacted the Bayh-Dole Act into law providing the basis for current university technology transfer practices.

**For inventions made as a result of Federal funding,
Recipients are required to:**

- 1) take effective steps to achieve practical application of the inventions;
- 2) take action to alleviate health or safety needs;
- 3) ensure that the invention is reasonably available for public use;
- 4) give preference to U.S. licensees;
- 5) share royalties with the inventors;
- 6) retain for the government a non-exclusive, nontransferable, irrevocable, paid-up license to have the invention to practice or have practiced on its behalf throughout the world.

(Bayh-Dole Act)

Please note that at the time that this Handbook is being updated, October, 2007, the University is reviewing the LMU Intellectual Property Policy for final approval.

Research Integrity Policy

Ethical behavior by faculty, staff, and students is expected of every member of the higher education community. Given the increasingly complex nature of research and relationships with external organizations, compliance with Federal regulations and established norms is critically important to maintaining research integrity.

On October 29, 1999, the U.S. Department of Health and Human Services' Office of Research Integrity defined research misconduct as **"fabrication, falsification, or plagiarism in proposing, performing, or reviewing research, or in reporting research results,"** and issued a wide-ranging policy for research misconduct. (ORI, 1999)

The policy applies to Federally-funded research and proposals submitted to Federal agencies for research funding.

Loyola Marymount University is committed to maintaining a scholarly environment that promotes the highest ethical standards in the conduct of research or any creative activity without inhibiting productivity or the creativity of persons involved. The University does not tolerate misconduct in any aspect of research or creative activity and will deal with every incidence of misconduct forthrightly, in accordance with academic due process, and with respect for commonly accepted best practices within the scholarly community.

The LMU Research Integrity Policy is available on the Sponsored Projects Office website.

Environmental Health and Safety (EHS) Policy

The Environmental Health and Safety (EHS) Office assists LMU employees in assuring the establishment and maintenance of safe, healthy, and environmentally friendly atmosphere for the University community.

The University is legally required to comply with a wide variety of environmental health, safety, and environmental regulations, all of which are strictly enforced. California's occupational health & safety and environmental regulations are very strict. If proposed work involves the use of any equipment, chemicals, animals, human bodily fluids, pathogens, radiation, or oversight of employees and students working with the aforementioned, please contact the Environmental Health and Safety Office on campus for further information on EHS compliance matters. The EHS office offers safety training, audits, spill response, accident investigation, and other compliance services.

EHS programs related to academic grant research include, but are not limited to: Air Quality Program; Bloodborne Pathogens Policies and Procedures; Chemical Hygiene Plan; First Aid Kit Policy; Hazard Communication; Hazardous Materials Release Response Program; Hazardous Waste Management Program; Hearing Conservation; Injury, Illness, and Prevention Plan; Lockout/Tagout Procedures (i.e., Electrical Safety); Medical Waste Management Plan; and Respiratory Protection Program.

Contact the EHS Director, **David French**, at extension 81932 or **Antonio U. Chavez III**, EHS Specialist, at extension 87861.

EHS Compliance regulations:

- 40 Code of Federal Regulation (environmental regulations)
- 29 Code of Federal Regulation (occupational health and safety regulations)
- Title 22 of the California Code of Regulations (environmental regulations)
- Title 26 of the California Code of Regulations (environmental regulations)
- Title 8 of the California Code of Regulations (occupational health and safety regulations)
- City of Los Angeles and Los Angeles County Regulations (environmental health and safety)

Federal Regulations

Nearly everything that needs to be known about compliance issues is readily available on the World Wide Web. Federal funding and associated compliance regulations are particularly well covered in a range of Office of Management and Budget Circulars.

OMB Circular No. A-21 – COST PRINCIPLES FOR EDUCATIONAL INSTITUTIONS.

- Defines allowable and unallowable costs ('J' section)
- Defines methods of F&A cost rate identification and calculation
- Is included in FAR as Part 31.3

OMB Circular No. A-110 - UNIFORM ADMINISTRATIVE REQUIREMENTS FOR SPONSORED RESEARCH AND AGREEMENTS WITH INSTITUTIONS OF HIGHER EDUCATION, HOSPITALS, AND OTHER NON-PROFIT ORGANIZATIONS.

- Financial systems and financial reporting
- Procurement standards
- Property systems
- Project administration
- Does not legally apply to contracts but A-110 standards satisfy FAR standards.

OMB Circular No. A-133 - AUDITS OF STATES, LOCAL GOVERNMENTS, AND NON-PROFIT ORGANIZATIONS.

- Establishes audit requirements for state and local governments and other non-profit organizations receiving Federal funds
- Defines Federal responsibilities for implementing and monitoring those requirements
- Audits may include:
 - Financial Reports
 - Davis-Bacon Act
 - Cash Management
 - Drug-Free Workplace
 - Civil Rights

In accordance with the requirements of OMB Circular No. A-133, PricewaterhouseCoopers, the University's external auditors, conduct an annual audit of the expenditures of Federal funds. In some instances in which the University is a sub-recipient of Federal funds, an audit of the primary recipient may extend to the University's expenditures.

Faculty Salaries

As noted previously, OMB Circular A-21 clearly states that summer monthly salaries paid by Federal grants to faculty members must not exceed their regular monthly academic year salary rate. Under LMU policy, **in no case shall any faculty member receive summer grant compensation exceeding the equivalent of three months of their monthly academic year salary.** The National Science Foundation is the only Federal agency that limits the number of summer months faculty members may receive 100% salary for their work to two months. To avoid later cost disallowances, be aware of any limitations.

OMB A-21, Section J.10.d states:

“(1) Salary rates for academic year.

Charges for work performed on sponsored agreements by faculty members during the academic year will be based on the individual faculty member's regular compensation for the continuous period, which under the policy of the institution concerned, constitutes the basis of his salary. Charges for work performed on sponsored agreements during all or any portion of such period are allowable at the base salary rate. In no event will charges to sponsored agreements, irrespective of the basis of computation, exceed the proportionate share of the base salary for that period. This principle applies to all members of the faculty at an institution. Since intra-university consulting is assumed to be undertaken as a university obligation requiring no compensation in addition to full-time base salary, the principle also applies to faculty members who function as consultants or otherwise contribute to a sponsored agreement conducted by another faculty member of the same institution. However, in unusual cases where consultation is across departmental lines or involves a separate or remote operation, and the work performed by the consultant is in addition to his regular departmental load, any charges for such work representing extra compensation above the base salary are allowable provided that such consulting arrangements are specifically provided for in the agreement or approved in writing by the sponsoring agency.

“(2) Periods outside the academic year.

“(a) Except as otherwise specified for teaching activity in subsection (b), charges for work performed by faculty members on sponsored agreements

during the summer months or other period not included in the base salary period will be determined for each faculty member at a rate not in excess of the base salary divided by the period to which the base salary relates, and will be limited to charges made in accordance with other parts of this section. The base salary period used in computing charges for work performed during the summer months will be the number of months covered by the faculty member's official academic year appointment.

“(b) Charges for teaching activities performed by faculty members on sponsored agreements during the summer months or other periods not included in the base salary period will be based on the normal policy of the institution governing compensation to faculty members for teaching assignments during such periods.

“(3) *Part-time faculty.*

Charges for work performed on sponsored agreements by faculty members having only part-time appointments will be determined at a rate not in excess of that regularly paid for the part-time assignments. For example, an institution pays \$5000 to a faculty member for half-time teaching during the academic year. He devoted one-half of his remaining time to a sponsored agreement. Thus, his additional compensation, chargeable by the institution to the agreement, would be one-half of \$5000, or \$2500.”

Submitting the Proposal

Putting Intellect and Scholarship to Work

The research idea, curricula vitae, formalized list of references cited, letters of support, refined project description, budget, budget narrative, and one page project summary or executive abstract are complete. Now what?

Internal Proposal Review

The Principal Investigator (PI) or Project Director (the person who will oversee the project implementation), must submit the proposal package to the Sponsored Projects Office for a final review to ensure that the project complies with the funder's and the University's policies and that required University resources are available and approved. This is especially important when a grant award will require cost sharing or matching funds.

LMU Proposal Routing Form (grants and contracts)

The LMU Proposal Routing Form is an internal form that is signed by responsible parties as it circulates with the proposal for final review. It provides a brief proposal abstract and identifies PI and Co-PIs, Funding Agency, Program Officer, Deadline and Notification dates, Budget, and University Matching or In-Kind Contributions.

This important document:

- Informs the dean and chair if the faculty applicant will be requesting course release time or any other extended leave time.
- Provides assurance of clearance (if appropriate) by the Institutional Review Board (IRB) and Animal Care and Welfare Committee (IACUC) and clearance for any potential financial conflict of interest.
- Serves as a binding document for all signed parties.

- Provides a record of required and/or committed Cash or In-Kind Contributions.
- Documents the faculty member's involvement in the Sponsored Research-seeking process.

It is the Principal Investigator's responsibility to circulate the LMU Proposal Routing Form with a copy of their proposal for final approvals by the department chair and college/school dean, then deliver the proposal and signed Routing Form to the Director of the Sponsored Projects Office, who will secure the approval and signature of the Chief Academic Officer, the University's authorizing official.

Important – Proposals must be reviewed, approved, and signed by the appropriate University officials. Loyola Marymount University, as the recipient of the award, can not accept grant or contract awards for proposals that were not registered with the Sponsored Projects Office and approved by the University's Authorizing Official before submission.

Deadlines – Start Early

Ultimate responsibility for meeting the funding agency's submission deadline lies with the Principal Investigator/Project Director. If the funding agency specifies a deadline for receipt of the proposal at its offices, the Principal Investigator is responsible for delivering the reviewed and approved proposal, plus one copy for University records, to the Sponsored Projects Office at least five working days BEFORE the agency's published deadline.

Failure to deliver the proposal in a timely manner *prior* to the deadline to the Sponsored Projects Office puts unnecessary stress on all parties in the application process and significantly increases the rate of errors that may jeopardize the proposal's chances for success.

Successful proposals usually reflect the distinctive refinement that is the result of multiple readings and careful revision. Starting a draft several months in advance of the deadline provides the key advantage of TIME for the grant application and its author. Time for:

- review and analysis of the proposal for flow and logical progression,
- continuing creative development,
- additional research and/or collaboration,
- fact-checking,
- review of the budget and, if any, sub-agreements, and
- check off the final requirements checklist.

The Review Process

Reviewers

Who are those people we call reviewers? In nearly every instance, they are peers. They are scholars, researchers, or professors who bring expertise in the project's discipline area to bear on a carefully considered evaluation of the proposal. They have sought, managed and administered grants themselves and have experienced the thrill of receiving a grant award letter. While they are intelligent and accomplished in their own areas, they are not expected to be experts in the special area presented in every proposal. They are best characterized as intelligent and discerning laypersons.

The processes by which they read, evaluate, and comment on a grant application vary. Some receive a batch of grant applications in the mail; others travel to a central location and discuss the proposals as a panelist. All reviewers take seriously their responsibility to the grant seeker.

Peer-Review Process – A Description

The basics of the peer review process and review criteria pertain in all types of grants: Federal, state, foundation, and corporate. Federal grants are the most challenging in terms of their review. The following comments, therefore, refer to the Federal process.

Grant funders publish guidelines for the format, length, and content of grant applications they expect to receive from grant seekers. Generally, the guidelines mirror the funder's review criteria. Assuming you followed the funder's guidelines, completed and signed the appropriate forms; the application should pass the first or 'pre-review' without difficulty and proceed to the formal peer-review of content phase.

The **review criteria** generally constitute the point-based rating system that the funding agency uses to evaluate the proposal, analyze its strengths and weaknesses,

and decide whether or not to award the grant. The grant application must win a certain number of points to be recommended for funding. Additionally, awarding of a grant is determined by the amount of funding available.

The review process takes from two to six months or longer, depending upon the program and the number of grant applications received. During this time, do not expect to hear anything at all from the prospective funding agency. Be patient.

*"Everything comes to him who
bustles while he waits."*

Thomas A. Edison

Better yet, get busy on Plan B, the *next* grant proposal. While waiting for a decision on a grant request, the best use of time and energy is in developing another proposal, the next book, the next big project. Opportunities are abundant, but time is limited. Make the most of the time available by cultivating new contacts and collaborators, and expanding ideas, research, and scholarly interests. Learn to do that and opportunities will multiply and success will follow.

Becoming a Reviewer

Consider becoming a reviewer. Participating in the grant review process 'on the inside track' provides invaluable insight into the way the process works, the distinguishing characteristics of winning grants and also-rans, and expands the applicant's personal network of scholars and researchers in the field.

Some agencies keep active lists of potential reviewers. To sign up, complete an on-line form at these locations:



National Science Foundation

If you would like to be an NSF reviewer and Panelist, e-mail your NSF Directorate or Division Contact person and include your CV and area of expertise: www.nsf.gov/staff/orglist.jsp



Panelist Reviewer Information System

www.neh.gov/prism/

A database of prospective reviewers used by the NEH staff.

You must register as PRISM user: prism@neh.gov

The Award

Congratulations, we are pleased to inform you . . .

There is real satisfaction in being awarded a competitive, peer-reviewed grant. It acknowledges the applicant's expertise, a well thought through approach to a significant area of study, and conveys a measure of prestige to the applicant, his/her department, and Loyola Marymount University. It is also a public reflection of the respect in which the applicant is held by colleagues on the review panel. Enjoy the good news and take justifiable pride in your achievement. You are to be congratulated!

Upon notification of an award, please notify the Sponsored Projects Office for assistance in negotiating the award, coordinating publicity, and establishment of your award account with the Controller's Office.

Elements of an Award Notice

- Awarding Entity, Authority, and Award Number
- Recipient (institution)
- Name of PI or Project Director
- Reference to Proposal or Project Title
- Funding (total, incremental?)
- Cost basis (reimbursement, fixed?)
- Start / End Dates
- Deliverables and Technical and Financial Report timeline
- Terms and Conditions

Award Notification, Acceptance, Negotiation

Funding agencies award grants to the University on behalf of the individual grant winner. Because of this, the award document is usually sent to the Chief Academic Officer's Office, the President's Office, or the Sponsored Projects Office. In the event this does not happen and the award document is delivered directly to the principal investigator, it should be forwarded to the Sponsored

Projects Office immediately. Only after it is received in the Sponsored Projects Office can it be formally reviewed, changes negotiated, and the award accepted by the University. Also, the Award Letter and/or Terms and Conditions, may require a signature by the University's Authorizing Official or Chief Academic Officer or Chief Financial Officer. In no case can the award be accepted by the P.I.

Publicizing the Award

Upon official notification of the award to LMU by the funder, the Director of the Sponsored Projects Office will coordinate with LMU University Relations to broadcast the award to the campus-wide community via press releases and ManeGate. This congratulations message will feature the names of the principal investigator and co-principal investigators and a brief description of the award.

Grant or Contract awardees are encouraged to share their good news with fellow faculty and make themselves available as panelists in occasional panel discussions and seminars organized by the Sponsored Projects Office – **only after they have received an official Letter of Award from the funder.** Now that you have been a successful grant winner, you can become a mentor to other faculty members.

Stevens Amendment

On April 19, 2004 the Department of Defense Appropriation Act for 1989 included a new provision known as the Stevens Amendment specifically for the Acknowledgment of Federal Funds. The Amendment applies to assistance awards (grants and cooperative agreements) and not to acquisition awards (contracts). The amendment covers all new, continuation or renewal grants funded in whole or in part with Federal money.

The provision requires that when issuing statements, press releases, requests for proposals, bid solicitations and other documents describing projects or programs funded in whole or in part with Federal money, grantees shall clearly state:

- 1) the total cost of the program, and
- 2) the dollar amount of Federal funds for the project or program.

The amendment was introduced because Senator Stevens got tired of hearing State and Local officials take credit for projects funded at least in part by the Federal government. The amendment is intended to give credit where credit is due.

Sponsored Research Administration Process

Contact: The SPONSORED PROJECTS OFFICE

Establishing the Account

A separate fund account is established for each new project awarded. The Director of the SPO will meet with the Principal Investigator and the Manager of Grant Accounting in the Controller's Office to establish a Post-Award project account against which obligations and expenditures will be charged.

Principal Investigator Responsibilities

The Principal Investigator is responsible to the University for administration of Sponsored Research-supported project activities. Specifically, the principal investigator is expected to:

1. Manage the project in accordance with the approved work plan, sponsor requirements, and budget terms contained in the award document;
2. Prepare and submit progress reports, annual reports, final reports, and other deliverables as scheduled in the terms and conditions;
3. Supervise expenditures to ensure conformance with the approved budget. Consult with the Sponsored Projects Office and/or the Controller's Office to obtain guidance in structuring any deviations;
4. Complete and submit personnel time and effort reports to the Controller's Office, as required by the sponsoring agency;

5. Maintain records to support final project accounting and account close out.

LMU has no central campus fund for defraying potential project over-expenditures. Financial liabilities over and above the amount provided by the research funds are the responsibility of the principal investigator, their department, and the school, college, or division.

Under no circumstances may funds for a specific sponsored project be commingled with another sponsored project.

Hiring New Employees

Personnel hiring and compensation for the sponsored project must be managed in accordance with applicable LMU Human Resources procedures.

All faculty and staff are to be paid the established University salary rate, regardless of the source of funds. All salaries and wages charged to a sponsored project must be earned during the official grant period of performance as stated in the award document.

Time & Effort Reports

ALL Federal grants require a means of verifying that appropriate salary/wage expenses are charged to the Federal government. Specifically, OMB Circular A-21, J.8 requires:

- After-the-fact confirmation of personnel costs charged to sponsored agreements
- Time and Effort tracking and reporting system be incorporated in the official records of the University
- Certification that encompasses all employee activities on an integrated basis (i.e., 100% of effort)
- Certification be performed by an individual with first-hand knowledge of the employees' activities (i.e., Principal Investigator)
- Certification occur at least:
 - Annually (plan-confirmation system),
 - Each academic term (after-the-fact activity records by PIs and professional staff), or

- Monthly (after-the-fact activity records – all other employees)

Failure to respect the need for accurate time and effort reporting can result in disallowance of some costs by the sponsoring agency, significant settlement amounts, and damaging news coverage in the media. There is also a risk of extrapolation of audit findings to all of the University's Federally sponsored programs.

WHAT ARE EFFORT REPORTS USED FOR?

Government Use:	Loyola Marymount University Use:
Verify that labor charges are appropriate based upon amount of work performed	Verify that faculty and other researchers are performing work as promised
Verify that cost-sharing is performed as promised	Management analysis and reporting tool
Verify that sponsored research is correctly classified	Properly segregate costs to ensure accurate accounting

Equipment

The grant award may fund the purchase of specific equipment. Capital equipment is defined as 'tangible nonexpendable personal property having a useful life of more than one year and an acquisition cost of \$5,000 or more per unit.' If unsure about equipment purchase allowability in any situation, request additional information from the Sponsored Projects Office.

After it has been determined that purchase of the equipment is allowable under the terms of the grant, it is the responsibility of the principal investigator to:

1. Purchase the equipment in accordance with established University purchasing practices; and
2. Ensure the proper receipt, inventory tracking identification, and proper operational condition of the equipment.

The University's **Inventory Control of Assets Acquired by Federal Funds (ICAAFF)** monitors the acquisition, use, and disposition of capital equipment acquired for use on externally sponsored projects and is administered by the Controller's Office.

Ownership and Control of Equipment

Equipment acquired through sponsored projects becomes the property of the University unless restricted by the sponsor. Government awards that finance equipment through a grant normally vest title of the equipment in the University. If purchased through a contract, title may remain in the possession of the government. Under no circumstances does equipment purchased through a sponsored project become the property of the principal investigator.

Federal Grants require property inventory management in accordance with the **Capital Equipment Management System (CEMS)** for Sponsored Projects. Further, the principal investigator must control the use and condition of the equipment.

As the end of the grant period nears, the principal investigator should consult with the Controller's Office to determine appropriate disposition of the sponsored project equipment. Title will usually transfer to the University, but not always. Depending upon the particular funding agency and program, the funder may request return of the property. Often, obsolescent equipment may be sold and the PI's department can retain the proceeds.

Final Reports

Most sponsors require fiscal, technical, performance, and/or results reporting of the funded project. The content and level of detail required varies from sponsor to sponsor, but generally the reports are due within 90 days of the ending grant period date. Some agencies require interim reports during the grant period. Failure to submit reports in a timely and acceptable manner can result in rejection of pending proposals without consideration, and withholding of final payment. It also puts in jeopardy the faculty member's and the University's eligibility for future grant opportunities. Some agencies permit 'No Cost Extensions' of the grant period to provide the Principal Investigator extra time to complete the project.

The Sponsored Projects Office

Supporting Scholarly Research and Creative Activities

The Sponsored Projects Office takes pride in helping faculty capitalize on funding opportunities in support of research and creative activities including: basic research, applied research, postdoctoral fellowships, curriculum development, community outreach, summer/sabbatical support/faculty/student research, and more. The services of the Sponsored Projects Office are primarily for LMU tenured and tenure-track faculty members. Lecturers and Adjuncts can obtain special consideration to serve as PI or Co-PI with a request from their Dean to the Chief Academic Officer.

University Organization for the Administration of Sponsored Projects

The Chief Academic Officer & Senior Vice President has ultimate responsibility for all University sponsored projects and is the Authorizing Official with final signature authority for sponsored projects administration. All sponsored project proposals and applications for research, training or other sponsored activities must be reviewed prior to submission by the Sponsored Projects Office. Once the budget and proposal are reviewed, it is then forwarded for review, approval, and signature by the PI, Department Chair, and Dean; then returned to the Sponsored Projects Office with the signed LMU Proposal Routing form. The Sponsored Projects Office submits them on the faculty member's behalf to the Chief Academic Officer for official University approval.

Role of the Sponsored Projects Office

The Sponsored Projects Office is the Loyola Marymount University's central administrative office responsible for facilitating the submission of all externally funded sponsored projects. The office, located on the third level of University

Hall in Suite 3000, serves as liaison between funding agencies and the research seeker and reports to the office of the Chief Academic Officer.

The Sponsored Projects Office's mission is to enhance the environment for research at LMU, encourage and facilitate external funding for faculty, and support LMU's pursuit of academic excellence. The Sponsored Projects Office must process all grant applications that support externally funded programs.

The Sponsored Projects Office's principal functions and services are as follows:

Sponsored Projects Office - Functions

- Policy development and implementation
- Funding opportunity research, development, promotion, & advancement
- Interpretation of guidelines
- Assist with proposal preparation
- Provide editorial review and feedback
- Preparation of contracts and subcontracts
- Project performance & delivery
- Negotiation with funding agency, dispute resolution
- Certification, compliance
- Communication of outcomes
- Stewardship & accountability

Identifies and Helps Select Funding Sources

The Sponsored Projects Office has at its disposal current RFPs and newsletters about funding opportunities from Federal, State, Foundation, and Corporate sources. It gathers information about these opportunities from a variety of sources and communicates appropriate notifications that are targeted to eligible faculty, department chairs, and deans. Occasionally, short notice opportunities merit personal contact, but notifications are normally presented through e-mail and or flyers. The SPO highly recommends that faculty sign up for COS funding alerts in their specific disciplines and areas of research.

The Sponsored Projects Office also responds to specific requests from faculty for help in identifying funding of original projects and particular interest areas. In these cases, the staff acts on the faculty member's behalf by performing research, reporting results of this research, and offering advice on selection of the right opportunity.

Specifically, the Sponsored Projects Office monitors print and electronic publications from several sources, including but not limited to:

THE CATALOG OF FEDERAL DOMESTIC ASSISTANCE

The online Catalog of Federal Domestic Assistance provides access to a database of all Federal programs available to State and local governments (including the District of Columbia); Federally-recognized Indian tribal governments; domestic public, quasi-public, and private profit and nonprofit organizations and institutions; specialized groups; and individuals.

GRANTS.GOV www.grants.gov

Grants.gov is a single access point for over 900 grant programs offered by the 26 Federal grant-making agencies. Grants.gov allows organizations to electronically find and apply for competitive grant opportunities from all Federal grant-making agencies.

COS www.cos.com

This scholarly online research clearinghouse offers comprehensive research support services to the university researcher and grants administration professional. From funding sources to online CV management, COS supports customizable funding opportunity research, alerts, and support services. Faculty members are eligible for unrestricted access to the entire database as a benefit of Loyola Marymount University's COS membership.

FEDERAL GRANTS & CONTRACTS WEEKLY

A weekly newsletter that highlights Federally-Sponsored project opportunities in research, training and services, as well as news briefs of interest to higher education on granting agencies and their changing regulations.

THE FEDERAL REGISTER www.gpoaccess.gov/fr/

The s Register is the official daily publication for rules, proposed rules, and notices of Federal agencies and organizations.

THE GRANT ADVISOR

This monthly publication is directed specifically to higher education and provides information about Federal and non-Federal funding opportunities. Information is presented by area of interest.

NATIONAL SCIENCE FOUNDATION (NSF) www.nsf.gov

The NSF funds research and education in science, engineering, and social sciences including economics and sociology through grants, contracts, and cooperative agreements. The NSF accounts for about 20 percent of Federal support to academic institutions for basic research. Faculty members are encouraged to subscribe to the NSF's free E-Bulletin e-mail alerts. MyNSF is a custom web-based alert service. Register at: www.nsf.gov/mynsf/

NATIONAL ENDOWMENT FOR THE HUMANITIES (NEH) www.neh.gov

The National Endowment for the Humanities (NEH) is an independent Federal agency created in 1965 to promote excellence in the humanities and conveying the lessons of history to all Americans. The Endowment provides grants for high-quality humanities projects in four funding areas: preserving and providing access to cultural resources, education, research, and public programs.

Faculty members are encouraged to make use of these resources and contact the Sponsored Projects Office to develop a funding strategy for the faculty member's particular area of interest.

Proposal Development Assistance

After locating a funding source, the Sponsored Projects Office is prepared to assist faculty and staff in development of a grant proposal. To make the most of this attractive LMU benefit, contact the Sponsored Projects Office early in the research proposal process. While the writing of the proposal as well as the implementation of the project is the responsibility of the principal investigator, the Sponsored Projects Office will:

- Assist in Sponsored Research concept development
- Assist with proposal strategy and tactics
- Obtain application materials and guidelines
- Coach during writing phase
- Assist in developing a budget

- Review drafts and offer editorial commentary
- Proof-read and edit proposal drafts
- Assist with completing and submitting of the final grant package

Institutional Compliance

The Sponsored Projects Office coordinates the University's compliance with requirements mandated for institutions participating in Federally-sponsored projects. The Sponsored Projects Office is responsible for advising the Chief Academic Officer, LMU Committees for Human Subjects, Animal Care, Intellectual Property Rights, Export Controls, and other administrative units as appropriate, regarding proposed changes and new requirements.

Proposal Review and Processing

When the writing of the proposal is completed, the SPO must review it to ensure conformance with University policy and consistency with agency guidelines. The office will obtain the Chief Academic Officer's approval and signature. Finally, the Office will assist with final assembly of the grant package, and implement submission to the funder either electronically or by courier.

Award Negotiation

In consultation with the principal investigator, the SPO negotiates with the sponsor(s) contract language that is acceptable to the PI, the University, and sponsor. Areas commonly requiring negotiation are: publications restrictions, intellectual property rights, indemnity and insurance requirements, payment provisions and scheduling, levels and frequency of technical and financial reporting, and revised work scope and corresponding budget.

Certain Post-Award Administration Functions

After project accounts are established with the Controller's Office, involvement of the Sponsored Projects Office is reduced in favor of direct contact between the PI and the Manager of Grant Accounting.

CLOSE-OUTS

The Controller's Office is responsible for overseeing the close-out of awards.

FINAL TECHNICAL / PROGRAMMATIC REPORTS

The Grantee/Principal Investigator is responsible for the timely completion and submission of his/her grant's final report.

Report	Responsible Person/Office
Technical	Principal Investigator
Equipment	Central Property Control Office, Controller's Office
Patent/Invention	Sponsored Projects Office in collaboration with the PI and University Counsel
Fiscal	Controller's Office
Sub-recipients	Principal Investigator

Reminder to PI: Obtain Sub-recipient reports generally 30 to 45 days prior to the due date for completing your final report to the sponsor

When do you begin preparing for an audit?

ALWAYS. You must be prepared for an audit at all times!

Please copy the Sponsored Projects Office and Controllers' Office on all technical grant and contract reports. For audit purposes the University must retain copies of your reports.

Contact Us

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