

Chapter 1 – Introduction and Overview

- 1.1 Introduction**
- 1.2 Rights and Responsibilities of Faculty and Investigators**
 - 1.2.1 Certification of Salaries Charged to Sponsored Projects**
 - 1.2.2 Equipment Control**
 - 1.2.3 Fiscal Obligations**
 - 1.2.4 Research Protocols**
 - 1.2.5 Health and safety**
- 1.3 Offices and Services**
 - 1.3.1 Office of Grants and Research Services (OGRS)**
 - 1.3.1.1 OGRS Services**
 - 1.3.2 Office of Corporate and Foundation Relations (OCFR)**
 - 1.3.3 Office of Government and Community Relations (OGR)**
 - 1.3.4 Office of Grants and Sponsored Accounting (OGA)**
- 1.4 Summary**

1.1. Introduction

Seton Hall University is committed to fostering an environment that encourages intellectual creativity and inquiry. Faculty members and administrators are encouraged to pursue scholarly, training and service activities that contribute to their disciplines and fields. The scholarly and service activities of the faculty and administration are expected to reflect and sustain the academic goals and mission of the University. The University also encourages the participation of students in sponsored research and other sponsored activities.

The Office of Grants and Research Services (OGRS) establishes University-wide policies and procedures and assists faculty and administrators in seeking external support for research, teaching, and outreach. OGRS provides all necessary assistance that may be required by individuals and groups seeking to attract external funds to support such endeavors and ensures compliance with all applicable federal, state, and University policies and procedures. OGRS often works in collaboration with the Office of Government Relations (OGR) and the Office of Corporate and Foundation Relations (OCFR) on proposal preparation. OGRS is the only office permitted to submit Federal, State or other governmental grant applications on behalf of the University.

The Principal Investigator's Handbook provides faculty members and administrators with policies and procedures for obtaining external funding and the procedures governing both pre- and post-award interactions with external sponsors. This handbook provides guidance in writing sponsored research proposals, submitting them through the University, and managing the grant awards. It provides the standard policies, procedures, and forms that are needed to accomplish these tasks. In the event of a conflict between policies of the University and the funding agency, the more restrictive policy is applied.

The Handbook is a good starting point for grant seekers at the University. When questions not addressed here arise, faculty members and administrators may contact OGRS at (973) 275-2974, or via email, at grantsoffice@shu.edu. OGRS is located on the third floor of Presidents Hall.

1.2. Rights and Responsibilities of Faculty and Investigators

The Faculty Guide states:

Teaching and research are complementary activities. A faculty member's professional development requires a continuing commitment to scholarly research and publication.

Principal Investigator's Handbook

The University expects faculty members to engage actively in research and other professional activities for the advancement and dissemination of knowledge. Such expectation includes the promulgation of policies and procedures necessary to foster a climate for research, the provision for internally funded research, and the endorsement and support of acceptable proposals to external sources for sponsorship.¹

Faculty members at Seton Hall University are encouraged to seek external funding to relieve them of the restrictions of departmental funding in support of their research, community service, and teaching. Categories of support for which faculty might seek external funds include: curriculum development, training, equipment, travel, research, fellowship support, public service, conferences, art exhibitions, and scholarship funds. In each case the sponsor could be the Federal Government, the State of New Jersey, a private philanthropic foundation, a corporation, or a professional organization. The award may be a grant, contract, sub-award, purchase order, or other agreement with Seton Hall being the award recipient and being required to provide a deliverable, most commonly, a final report. All proposals to any external sponsor for which a deliverable must be provided must be approved through OGRS. The OFCR handles gifts to the University from private individuals, corporations and foundations, with no deliverable. OGRS leads and collaborates with OCFR, as appropriate, on all pre-award administration for the University in sponsored projects administration, and collaborates with the Office of Grants Accounting (OGA) in the Division of Finance on post-award administration.

The purpose of the *Handbook* is to provide guidance in the funding and conduct of research and other sponsored programs. Our success is reliant in no small part to the attention our faculty members and administrators pay to all aspects of externally funded programs, including obligations to the University and to sponsors. This *Handbook* outlines the University policies and procedures related to grants. Grant seekers and recipients also must be mindful of their obligations to students, staff, and external sponsors. The following statements outline rights and responsibilities of grant recipients or Principal Investigators (PIs) in the conduct of research and other sponsored programs.

In the conduct of research and sponsored programs, faculty members have the right to academic freedom as defined in the *Faculty Guide*.² Faculty members have the right to disseminate the results and findings of research without suppression or modification by external sponsors. They also have the right to engage in external consulting activities as defined in the *Faculty Guide*.³ It is important to adhere to both the spirit and the letter of the *Faculty Guide*.

Along with these freedoms come corresponding responsibilities. PIs must be aware of their obligations to staff and students working as part of the research team. It is particularly important that at least annually, each PI reviews intellectual and tangible property rights and responsibilities (for management of data in all media, for proper authorship attribution, etc.) with all members of the group, including staff, students, postdoctoral fellows, and visiting scholars. Each member of the research team has the right to know who is sponsoring the research and supporting his or her salary or stipend. On an individual level, the best interests of each staff member and student should be of particular concern. The University is committed to demonstrate support and appreciation for its staff. To that end, PIs are encouraged to provide development opportunities and, if possible, a mentor relationship for those working on their team.

A PI has several responsibilities for the successful fiscal, personnel, technical and safety management of a grant. These are briefly summarized below with further details provided in later sections of this *Handbook*.

1 SHU Faculty Guide, revised March, 2016, "Faculty Research and Sponsored Activities," Article 9.1.

2 SHU Faculty Guide, Article 7.1.

3 SHU Faculty Guide, Article 7.9.

1.2.1 Certification of Salaries Charged to Sponsored Projects

Seton Hall University is required by the Federal Government to document time and effort charged to sponsored projects. It is the responsibility of each department chair and dean to see that a system is in place to ensure that PIs fulfill the requirement for review and certification of salaries, and to assure that salaries charged to sponsored projects correspond to effort expended on those projects, within the appropriate limitation for their school or college. All charges to federally-sponsored projects are required to conform to Uniform Guidance. See the information regarding uniform Guidance on the OGRS website.

1.2.2 Equipment Control

The control of both Seton Hall University and government-owned equipment is mandatory under the University's externally sponsored contracts and grants as well as under University policy. PIs are responsible for securing necessary approvals for the purchase of the equipment and for proper tagging, inventory, and eventual disposal of equipment. All charges to federally-sponsored projects are required to conform to Uniform Guidance. See the information regarding uniform Guidance on the OGRS website.

1.2.3 Fiscal Obligations

Although the legal agreement establishing a sponsored project is between the sponsor and the University, the overall responsibility for management of a sponsored project within funding limitations rests with the PI. Funds must be expended according to all applicable university and sponsor policies, within the restrictions of the contract or grant and if any overdraft should occur, it is the responsibility of the PI to arrange for clearing the overdraft by transferring charges from an appropriate fund. Should there be a conflict between University and sponsor policy, the more restrictive policy shall apply. All charges to federally-sponsored projects are required to conform to Uniform Guidance. See the information regarding Uniform Guidance on the OGRS website.

1.2.4 Research Protocols

PIs also need to ensure that approved research protocols for the use of human and animal subjects, radioactive materials and/or special chemical hazards in research are obtained and followed. Although these protocols do not always need to be approved in order to apply for external support, no research involving animals, human subjects, or special chemical hazards is allowed to begin at the University without first obtaining the necessary approvals. It is important to allow sufficient time for approvals or the project start may be delayed.

1.2.5 Health and Safety

Each PI is responsible for training members of his/her team in appropriate health and safety procedures for that particular research area and for management of those procedures in his/her laboratory or other workplace. PIs are also responsible for ensuring the periodic inspection of lab facilities and to cooperate in any inspections by Seton Hall personnel or by external agencies.

1.3. Offices and Services

For all sponsored research, the OGRS is the primary administrative contact point for PIs and prospective PIs. The Director of OGRS is the Authorized Institutional Representative for all Federal and State grants and as such, is the sole university official authorized to approve proposals for submission to the Federal and State governments.

Principal Investigator's Handbook

Several university-wide offices work with PIs and potential PIs to ensure competitive grant applications and smooth post-award grant management: The OGRS in the Office of the Provost, the Office of OGA in the Division of Finance and the OCFR and OGR in the Division of University Advancement. Their roles, services and contact information are summarized below.

Note that many of the roles and services overlap. To ensure a smooth submission and management process for any sponsored project, OGRS should be kept informed of activities with the other offices. Ultimately, the Office of the Provost, in which OGRS resides, is responsible for ensuring that all sponsored projects are completed according to the agreed-upon proposal and that all conform to both sponsor and university requirements.

1.3.1 Office of Grants and Research Services (OGRS)

Michael F. La Fountaine, EdD, ATC, FACSM, Director, lafounmi@shu.edu, x9334, Office: PH – 3rd Floor
Franklin K. Williams, MS, Assistant Director, franklin.williams@shu.edu, x2977, Office: PH – 3rd Floor
Nancy Gonzalez, Administrative Assistant, nancy.gonzalez@shu.edu, x4654, Office: PH – 3rd floor

OGRS is located on the 3rd floor of President's Hall.

OGRS leads and coordinates the submission of proposals and acceptance of external awards and contracts at the University. External grants and contracts come from many sources, including federal and state agencies, local government, foundations and corporations. Any members of the University faculty and administration who wish to submit proposals for externally funded grants and contracts should first contact OGRS. OGRS and OCFR will coordinate the submission of proposals to corporate or foundation sponsors. No proposals may be submitted without obtaining the appropriate approvals through these offices. Proposals must be submitted to OGRS for review and approval at least five (5) business days in advance of the sponsor deadline. This is to ensure that there is enough time for any changes to be made, duplications, faxes, copies, or next-day or electronic delivery of proposals.

Additionally, OGRS provides administrative support for the Seton Hall University Research Council (URC). The URC was established to foster faculty research and to promote faculty development activities, including the identification of priorities and programs which shall provide opportunities for faculty growth and renewal. It conducts an annual awards competition for research-expense grants and summer stipends in accord with guidelines approved by the University.

The OGRS website (<http://www.shu.edu/offices/grants-research/>) contains a wide range of resources for those seeking external funding. These resources include proposal writing, guides, searchable databases of funding opportunities, grant alert services, and links to the websites of public agencies, private foundations, and electronic application systems.

1.3.1.1. OGRS Services

Information about Sources of Funding

- The OGRS website (<http://www.shu.edu/offices/grants-research/>) provides links to public and private funding agencies and searchable databases of funding opportunities.
- We review newsletters, publications, and electronic resources regularly and forward information on grant and fellowship opportunities to faculty members and administrators.

Principal Investigator's Handbook

- We assist in identifying government, foundation, and corporate grant programs to match faculty interests, in collaboration with OGR and OCFR.
- We disseminate information on internal awards, such as the URC awards and provide administrative support to those programs.

Project Design

- We provide consultation and assistance in the project design phase preceding proposal preparation.
- We provide coordination and consultation in the design of campus-wide, multidisciplinary, and/or inter-institutional projects.

Budget Preparation

- We review and approve all proposal budgets. The Director of OGRS is the official Seton Hall University institutional representative who signs off on agency forms.
- We provide consultation in completing all required federal budget forms, budget narratives, and assurances.
- We advise applicants regarding current University policies on Facilities and Administrative (F&A or indirect) costs, fringe benefit rates, etc.

Proposal Assembly

- We provide assistance in securing the necessary approvals, including official signatures required on the Seton Hall University Intent to Apply for External Funding form.
- OGRS is responsible for assuring that all proposed projects, prior to submission, are in compliance with all federal regulations concerning human subjects and animals, scientific misconduct, conflict of interest, etc.
- OGRS is charged with ensuring proposals conform to University policies, and proposed budgets contain the necessary fringe benefits, F&A costs, and cost sharing requirements.

Electronic Submission

- We provide training about the online submission process.
- We provide assistance with the online submission of proposals, and, generally, we submit the proposals.

Agency Foundation Contact and Follow-up

- We act as a liaison between the PI/University and the funding agency to explore funding opportunities and to follow up on submitted proposals.

Subcontracts and Sub-grants

- We work with the University's legal department to ensure that subcontracts comply with University requirements.

1.3.2 Office of Corporate and Foundation Relations (OCFR)

Steven C. Smith, Senior Director, George M. Ring Building, (973) 378-9815, steven.smith5@shu.edu

Principal Investigator's Handbook

The OFCR is located in the Division of University Advancement in the George M. Ring Building.

The OCFR is charged with: managing relationships with corporate and foundation donors and prospects on behalf of the University; supporting faculty scholarship by aligning University-based research with foundation-based grant-making priorities; generating extramural support for University and school/college-based programmatic, curricular, community, and mission-related initiatives; and soliciting and managing gifts from private foundations, organizations and trusts. The OCFR provides multiple services for University administration and faculty:

- disseminates RFPs based on interest areas to department contacts
- researches prospective funders and develops funding strategies for approaching funders
- works with faculty to develop grant proposals at all stages of the proposal development process including:
 - conducting research to identify and target prospective funders
 - generating ideas for fundable projects and articulating project goals and aims
 - developing a communication plan with the prospective funder and serving as the primary liaison for information relay between the funder and faculty members/academic leadership
- drafting, editing, and writing all letters of inquiry, concept papers, budgets, and grant proposals, as well as submitting the final letter, concept paper, budgets, or grant proposal to the funder (online and hard copy submissions via overnight mail for guaranteed delivery)
- engaging in follow-up discussions with funders to receive feedback on submitted proposals (if declined, how to improve the grant going forward; if accepted, ongoing stewardship efforts to allow for possible renewal or expansion of funding)

1.3.3 Office of Government and Community Relations

Vacant and To be Named, (973) 378-9846,

The department is responsible for managing Seton Hall's relationship with federal, state and local government. The office works closely with Seton Hall administrators and faculty to ensure the University is completely prepared for issues and opportunities as they arise.

Primary Responsibilities:

(1) Secure federal and state appropriations as well as identify and assist with grant and partnership opportunities; (2) Develop and enhance relationships with elected and appointed officials, their agencies and the local community and (3) Monitor and respond to legislation and community concerns that impact SHU.

1.3.4 Office of Grants and Sponsored Accounting

Brenda Dunlop, Director, Bayley Hall Room 6, 973.761.9324, brenda.dunlop@shu.edu

The Office of Grants and Sponsored Accounting (OGA) is responsible for monitoring and executing the post-award administration of sponsored activity for the University. To accomplish this task, the Office of Grants and Sponsored Accounting maintains: (a) an effective grants management system to monitor compliance with fiscal and reporting requirements as established by Federal and State law, agency regulations, University policy and procedures, and generally accepted accounting standards; (b) an effective cash management system to ensure the payment of obligations and the collection of funds; (c) an accurate general ledger information to ensure proper financial presentation of sponsored activity within University financial records; and (d) a support structure for University personnel engaged in research.

Principal Investigator's Handbook

The Office of Grants and Sponsored Accounting regularly monitors activity and coordinates with pre-award departments, financial offices, departmental administrators, and principal investigators to ensure proper post-award compliance. The Office of Grants and Sponsored Accounting assists in the training of those involved in sponsored activities with courses offered through the office of Research Administration.

1.4 Summary

This handbook is offered to assist prospective and active PIs with project idea generation, proposal preparation, submission and management of sponsored projects. The University offices involved with sponsored projects stand ready to assist PIs with any aspect of proposal preparation and grant management. Our goal is the same as yours: a successful and fulfilling project.

The remaining chapters cover idea generation, proposal preparation, budget preparation, submission to sponsors, post-award management, relevant University policies and forms related to sponsored research. It is important for PIs to be as knowledgeable of relevant sponsor and University policies and procedures as possible. PIs bear responsibility and accountability to ensure that sponsored projects are completed and reported according to sponsor and University policies and that they are managed according to the appropriate fiscal regulations, policies and principles. If you have any questions, please reach out to OGRS at any time; we are here to assist you.