



**MOLLOY
UNIVERSITY**

PROPOSAL DEVELOPMENT HANDBOOK

FOR

**PROJECT DIRECTORS AND
PRINCIPAL INVESTIGATORS**

**Seeking Internal and/or
External Funding**

2023

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I. INTRODUCTION

PREFACE

Molloy University is committed to providing excellent service to members of the university involved in the application for and administration of publicly and privately funded projects, to support the university's goal to increase the level of sponsored project funding, to protect the university's interests, and comply with sponsored project requirements to which the university and sponsors/funders may agree. Nothing in these procedures is intended to, or will infringe upon, faculty's rights and privileges with respect to academic freedom, nor do these policies apply to those doing research or developing programs apart from any connection to Molloy University.

This *Proposal Development Handbook* is designed to introduce faculty and administrators to the process of obtaining and administering project funding at Molloy University. It also serves as an introductory guide to the policies and procedures that govern interactions with funding organizations. Its purpose is to provide general guidance for all phases of sponsored projects: searching for funding sources; proposal submission; negotiation of award documents; grant administration; and, award closeout. If you are seeking external funding, Appendix II of this document must be fully completed with appropriate signatures. For those not seeking funding at this time, you may optionally submit the form without signatures if you would like technical assistance to discuss an idea or learn more about the grants process. For faculty seeking Molloy internal support through a faculty research/scholarship award or sabbatical, this can be used for many purposes including undertaking a research project, preparing a research-based article for publication, initiating a pilot project in preparation for a research investigation, or writing a grant proposal. The policies and procedures are outlined in the Faculty Handbook.

The *Proposal Development Handbook* has been prepared to accommodate inevitable changes in the sponsored projects environment. As you use the *Handbook* while performing or administering sponsored projects, we welcome comments and/or suggestions to make this proposal tool as useful as possible.



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OVERVIEW

Responsibilities of the senior director of grants and sponsored programs (SDGSP) in the Office of Advancement encompass sponsored projects in which members of the university participate. The SDGSP works closely with faculty, deans, department chairs, and administrators and serves as the primary contact point for sponsors and subcontractors on grant-related issues. SDGSP is responsible for proposals that request external funding for research, capital projects, programs, capacity-building, professional development/training, academic support, curriculum, student services, community service, fellowships, and scholarships. While some faculty and administrators are more confident initiating projects and crafting proposals, others may require more technical assistance. Whatever your preference, the Grants Office, including the SDGSP, associate director of grants and sponsored programs (ADGSP), and grants and research specialist (GRS), are available to collaborate and facilitate the grants process. This may include the full grant cycle from pre-award to post-award such as prospect research, initial funder contact, proposal-writing, building partnerships, obtaining letters of support, and reporting. The *Handbook* describes the procedures faculty and administrators should follow in initiating and carrying out sponsored projects at the university.

The Office of Research and Scholarship is coordinated by the senior dean for research and scholarship (SDRS) and will interface with the senior director of grants and sponsored programs to navigate grant proposals and strategize the use of university resources as determined by the vice president for academic affairs and vice president for advancement.

BASIC CONSIDERATIONS

External sponsors include the federal government, state, and local governments; public and private foundations; international, national, and local organizations; research institutes; and corporations. These entities fund sponsored projects through a variety of mechanisms known as contracts, grant agreements, award notices, and cooperative/vendor agreements.

Sponsored projects are those involving funds, materials, other forms of compensation, or exchanges of in-kind efforts from sources external to Molloy University under contracts or agreements which contain *any one or more of the following criteria*:

- Description of the scope of work delineated with a substantial level of detail. This would include, for example, funding dedicated to a principal investigator's particular research project or seed money for a department to develop an educational program.
- Defined period of performance during which funds may be used; unused funds must be returned to the sponsor unless a no-cost extension is granted by the funder for a specified time.
- Grant award allocation and line-item budget detailing expenses by activity, function, or project period. Financial reports including expenses are required and subject to audit.

- Provisions for the disposition of either tangible or intangible properties, which may result from the project. Tangible properties include equipment, records, formal activity reports, theses, or dissertations. Intangible properties include rights in data, copyrights, inventions, or research-related materials.

PROJECT DIRECTORS/PRINCIPAL INVESTIGATORS

Project directors (PD) and principal investigators (PI) hold several responsibilities related to sponsored projects, the core of which is conducting the work for which funding has been received. The PD/PI also has administrative responsibilities such as assuring that expenditures are made for the intended purpose of the project and in accordance with sponsor requirements and university policy and procedures. Other PD/PI responsibilities include writing content for funding proposals and complying with the technical requirements of awards. The latter involves submitting periodic progress and final narrative reports on a timely basis and overseeing others who may contribute to the project, including university employees, consultants, and subcontractors. The PD/PI must ensure all activities comply with the Molloy University reporting system. Sponsored projects are legal agreements between a sponsor and the university. For the university to fulfill its legal responsibilities under sponsored agreements, it may be necessary for the PD/PI to have regular term faculty of the following ranks: professor, associate professor, assistant professor, and instructor depending upon the project's purpose and scope of work. Questions concerning the foregoing guidelines may be addressed to SDGSP.

INTERNAL AND EXTERNAL COLLABORATION

Funders look favorably upon both internal and external collaborative efforts to expand project resources. Whether your project is interdisciplinary involving more than one campus department or utilizes partnerships with outside agencies, schools, hospitals, or other institutions, open lines of communication and clearly delineated responsibilities are essential. Community partnerships are strongly recommended to expand funding opportunities and strengthen proposals. Use professional status and connections to engage prospective partners through discussions about proposed research or projects. External collaborative arrangements can be formal or informal. Formal arrangements are generally in the form of subcontracts/subagreements or Memorandum of Understanding (MOUs). A letter of commitment from the potential partner or vendor outlining responsibilities and scope of work to be performed is typically included with the proposal. Funders may provide sample agreement templates.

II. PRE-AWARD ACTIVITIES

A. SPONSOR ENGAGEMENT

1. Identifying Funding Sources

The Grants Office assists faculty members and administrators in finding sponsors/funders based on their research/program interests. Using access to online search resources, SDGSP and GRS can facilitate searches using funder name(s) and/or keywords to identify multiple sources. Certain parameters may either qualify or eliminate Molloy as a potential viable applicant based on the type of organization, geographic area, target population, and size of operating budget, among other factors. Some funders do not accept unsolicited proposals. Often it is not wise to spend time with these funders unless someone at the university has a personal relationship with a key person associated who can secure an invitation to apply. See Appendix I for helpful websites to search for potential funding sources.

2. Initial Contact with Sponsors

When appropriate funding sources have been identified, it is advisable to contact the sponsor to be sure that the proposed research topic or project is within their current scope of interests. This is very important in dealing with both public and private funding sources since direct contact with the sponsor may also help to answer questions about the project that may not be addressed in the printed materials. On occasion, the funder may initiate unsolicited contact based on the university's reputation, prior relationship, or personal connection.

Public and private funding entities have varying requirements for making initial contacts regarding funding for faculty/administrators wishing to discuss the scope of their project. Grants Office can obtain current guidelines as well as contact information for program officers and other representatives of funding agencies who are the initial point of contact. Guidelines specify the appropriate means of introducing the project and institution for consideration via email or hard copy, telephone communication or brief online pre-proposal. Often sponsors request a preliminary or shorter proposal (2-3 pages) known as the Letter of Introduction or Letter of Intent (LOI) before being invited to submit a complete proposal.

Faculty/administrators must inform SDGSP of their intention to contact funding officers to discuss the scope of individual projects to prevent any kind of duplication. Faculty must also notify SDRS of this intention. Sponsors can give valuable guidance and assistance to faculty or administrators in preparing a competitive proposal according to the requirements of their organizations. Whenever possible, faculty/administrators in conjunction with SDGSP should contact the funding agency directly.

The purpose of this initial contact is to confirm the common areas of interest of the sponsor and the faculty. These inquiries can take the form of phone conversations or written correspondence. Inquiries should address the following basic questions:

- ✓ Who you are and your qualifications
- ✓ What you intend to do
- ✓ When and where you will do it
- ✓ Why you want to do it
- ✓ How you will do it
- ✓ Who will benefit from this work
- ✓ What you estimate the project will cost

B. PRE-PROPOSAL SIGNATURES AND AUTHORIZATIONS

Faculty/administrators are required to notify SDGSP and SDRS as soon as possible about their intention to submit a proposal to an external sponsor. This oversight is essential for the reputation of the university, to avoid multiple applicants for the same offering (often prohibited by funders), to ensure that applications are done accurately, and for effective stewardship.

To facilitate campus-wide communication, the Notice of Intent to Obtain External Funding must be filed (see **Appendix II**). This form specifies the approval requirements for several items, some of which are use of human subjects, student involvement, and the proposed utilization of Molloy funds, space, and resources.

1. Notice of Intent to Obtain External Funding

The Notice of Intent to Obtain External Funding also requires general information regarding the potential proposal, such as type of project, project director or principal investigator name and department/school, title of project, collaborators, period of project, and anticipated costs (both direct and indirect) of the project. The PD/PI needs to provide this form to SDGSP and SDRS with the appropriate signatures prior to the time the proposal is submitted for review. Signatures can be obtained manually using hard copy forms at end of the *Handbook* or electronically using online versions. The form provides instructions as to when the various signatures are required.

2. Institutional Review Board (IRB) Process for Use of Human Subjects

The Institutional Review Board (IRB) is “a committee whose primary responsibility is to protect the rights and welfare of research subjects and to function as a kind of ethics committee focusing on what is right or wrong and what is desirable or undesirable” (IRB Member Handbook, Third Edition, 2011). Molloy University Institutional Review Board (IRB) serves to protect human subjects enrolled in research conducted by faculty, students, or administrative personnel at the university. IRB approval ensures subjects have been adequately informed and have consented to participate in all research: (a) conducted by or under the direction of Molloy University employees; (b) utilizing Molloy property, personnel, students, or facilities; or (c) utilizing the institution’s emails or contact information from the Molloy University website or non-public information to identify or contact human research subjects or prospective subjects. Procedures to apply for IRB approval are available online on the Molloy website. Forms for IRB submission are in the IRBNet library for researchers. IRBNet is now available for uploading and storing IRB-related documents and decisions (<https://www.irbnet.org/release/index.html>). Questions regarding the process can be directed to the Molloy University IRB administrator and chairperson (irb@molloy.edu).

There are multiple types and categories of research undertaken at Molloy with a wide variety of discipline specific differences. Molloy University IRB application submission policy, under the Office of Academic Affairs, specifies that all proposals must be reviewed prior to beginning the research. The Institutional Review Board serves to protect “human subjects” enrolled in research conducted by faculty, students or administrative personnel at the university, and IRB procedures are necessary when “human subjects” are involved in any capacity. If exempt, the IRB chairperson will determine that the researcher can proceed for one year if there are no further changes to the protocol. If not exempt, the application and submitted protocol is determined as expedited or full board review by the chairperson. Molloy has a federal government IRB registration and Federal Wide Assurance (FWA) documentation necessary to conduct research funded by the government.

The Office of Academic Affairs oversees the operation of the IRB and institutional compliance matters. The IRB has at least five members (the chair and four other members), with varying backgrounds to promote complete and adequate review of research activities commonly conducted by Molloy University. The IRB shall be sufficiently qualified through the experience and expertise of its members (professional competence), and the diversity of its members, including race, gender, and cultural backgrounds and sensitivity to such issues as community attitudes, to promote respect for its advice and counsel in safeguarding the rights and welfare of human subjects. The IRB will be able to ascertain the acceptability of proposed research in terms of institutional commitments (including policies and resources) and regulations, applicable law, and standards of professional conduct and practice. The IRB shall therefore include persons knowledgeable in these areas. If the IRB regularly reviews research that involves a category of subjects vulnerable to coercion or undue influence, such as children, prisoners, individuals with impaired decision-making capacity, or economically or educationally disadvantaged persons, consideration shall be given to the inclusion of one or more individuals who are knowledgeable about and experienced in working with these categories of subjects.

For more information about the IRB submission process visit this link

https://www.molloy.edu/academics/research/images/irb_application_submission_process-12_05_22.pdf

CITI PROGRAM - COLLABORATIVE INSTITUTIONAL TRAINING INITIATIVE

Molloy maintains an organizational subscription to the CITI Program entitling unlimited participation for faculty and administrators.

The Collaborative Institutional Training Initiative (CITI Program) is dedicated to promoting the public's trust in the research enterprise by providing high-quality, peer-reviewed, web-based educational courses in research, ethics, regulatory oversight, responsible conduct of research, research administration, and other topics pertinent to the interests of member organizations and individual learners.

These materials are designed and regularly updated to:

- Enhance the knowledge and professionalism of investigators, staff, and students conducting research in the United States and internationally.
- Educate members, administrators, and leadership of ethics committees that review and oversee research.
- Promote ethical research at organizations through the education of research administrators and organizational leadership.

Those involved in research must take courses in Human Subjects Research and the Responsible Conduct of Research. These courses are to be successfully completed (a minimum score of 80%) every three years. Please access this link to create an account and to register for courses <https://www.molloy.edu/academics/research/irb#accordion1>

C. PROPOSAL PREPARATION

1. Proposal Guidelines

In preparing proposals for submission to external sponsors, faculty, administrators, and doctoral students should pay careful attention to directions and information available in the program application materials provided by the sponsor. Application packages are often referred to by one of the following: Request for Proposals (RFP); Request for Applications (RFA); Request for Qualifications (RFQ); Application Booklet; Program Guidance or Program Guidelines. Sponsor-provided instructions should be followed exactly.

Care should be taken to closely follow application guidelines in preparing the proposal using the most recent version of sponsor guidelines/program guidance. Sponsors frequently detail the requirements for their applications in very specific terms. These funders can and do return proposals without a review if they do not conform to the directions given in the application guidelines. Careful attention should be paid to the following in preparing the proposal:

- Page length and margins of the proposal
- Numbers of characters or words in sections
- Specifications on font type/size and line-spacing (single or double spacing)
- Pagination as requested
- Limitations placed on length of bios or other attachments
- Deadline date for submission of the proposal
- Method of submission (e.g., specific number of proposal copies if hard copy)
- Certifications or assurances to be sent with proposal

Any questions about the application process, required certifications, budgets, and other issues related to the submission process should be referred to SDGSP as soon as possible. Be careful to note whether this will be an electronic submission with online application forms or hard copy mail-in format. Page limits, font size, and other restrictions are taken seriously by sponsoring organizations.

2. Suggested Format

Please keep in mind the four C's of a well-written proposal:

- ❖ Clear
- ❖ Concise
- ❖ Complete
- ❖ Correct

In the absence of specific directions from the sponsoring entity, the following format may be used to organize the proposal:

a. Title and Cover Page

Most sponsors require applicants to fill out an official cover page for the proposal. The Grants Office will complete the form with specific institutional information such as Federal ID number, DUNS number, Unique Entity Identifier (UEI) and Congressional District. In the absence of an official sponsor cover page, applicants should include a cover letter on Molloy University stationery addressed to the sponsoring entity specifying:

- 1) Title of project
- 2) Introduction to organization's mission and purpose
- 3) Brief summary of the project
- 4) Dollar amount requested
- 5) Contact information (address, phone number, email) for PD/PI and SDGSP
- 6) Signature block for project director/principal investigator
- 7) Signature block for appropriate university official

b. Abstract or Project Summary

Sponsors often request a brief summary or abstract of the overall proposed project. This is the document used to concisely describe your project and/or publicize grants awarded. The Abstract should be able to stand on its own merits and not refer to anything in the narrative or budget. Be sure to follow sponsor guidelines on the length. In the absence of specific guidelines or forms, it is often useful to include a brief abstract of no more than one single-spaced page summarizing the project purpose, methodology, costs, and timetable. Be sure to include PD/PI, institution, and the title of the project on the abstract page. Some funders are very specific about information requested. Grant writers generally complete abstracts or summaries at the end of the proposal preparation process so key elements are included.

c. Introduction

The Introduction answers the questions of why you are applying, what you are asking for, and who you are as project director or principal investigator. It is also an opportunity to emphasize Molloy's attributes and the university's capacity to successfully implement the project with grant support. SDGSP and GRS will provide boilerplate information to include the university's mission, history, organizational accomplishments, student demographics, accreditations, distinction recognitions, and related grant awards. Office of Institutional Effectiveness can provide demographic

data, as well as customizing data specific to the project. The introduction should describe how the project aligns with the interests of the sponsor. Read over sponsor guidelines and follow the directions/advice about explaining the proposed project.

d. Problem Statement or Needs Assessment

Generally, sponsors are familiar with the issue(s) they are seeking to address and therefore have chosen them as focus areas. Although some sponsors require, and others prefer, to see a short section describing the background of the issue or phenomenon to be studied, more emphasis should be in the form of a clear statement on why the scope of the research or project will make a significant contribution to the field or profession. Often funders want to know how an issue or problem affects a specific region and the proposed approach to address it relevant to geography or target population. It is helpful to include relevant data with citations. This may not be required by all sponsors, but it does help to justify funding decisions.

e. Project Goals, Objectives, and Outcomes

Goals, objectives, and outcomes are not the same and should be dealt with separately. The goal reflects the overall purpose of the project and its intended major accomplishment. Proposed objectives are statements of measurable activities that lead to quantifiable outcomes which reflect an anticipated impact such as a change in knowledge or behavior as a result of activities implemented. Wherever possible be specific, and time bound. Only include milestone activities if specifically requested by the sponsor.

f. Plan of Action, Methods, Design

This section of the proposal answers three important questions: (1) when the project will be implemented; (2) where project will be performed; and (3) how each aspect of the work will be accomplished. The plan or methods section will likely be the longest section of the technical narrative and will present a description of the work to be done in accomplishing the project objectives. A reasonable action plan within the project timeframe should account for all activities and key individuals to be involved.

This section of the proposal often includes a management plan with key personnel, timeline or flowchart showing the order of activities to take place, as well as a logic model if requested.

g. Evaluation and Dissemination

Evaluation is an important part of the grant implementation process. Most funders will accept an internal evaluation plan that would involve key staff and perhaps advisory board members. However, on occasion, an outside evaluator may be required, and this expense must be included in the budget along with the selection process. It is important to include a plan for evaluating accomplishment of objectives, criteria for success and meeting proposed outcomes, how data will be gathered, test instruments or questionnaires to be used, process of data analysis, and evaluation reports to be produced. Funders would also like to know how the results of the

project will be disseminated internally and externally (e.g., professional journals, conference presentations, website/social media).

h. Bibliography/Sources

It is important to show familiarity with the literature on the subject being investigated. Follow the sponsor guidelines in providing a bibliography of materials or references section relevant to the proposal. Also, check to see if the bibliography is part of the overall page limitations or in addition to those page limits.

i. Curriculum Vitae/Biosketches

If requested, include curriculum vitae or biosketches for PD/PI and all key members of the proposed project. Follow sponsor guidelines on format and length and ensure information is completely updated. Most funders request biosketches be in the range of two to five pages and often provide a template for use. Unless otherwise specified, biographical information should be included at the end of the proposal narrative.

j. Budget

This section of the proposal answers the following questions: (1) how much the project will cost; (2) what the specific cost categories are; and (3) projected revenues and funding sources. Be sure to show all costs related to the project. Accuracy and detail are essential in this section. Costs should be reasonable and justified in a budget narrative, if requested. Be careful to follow guidelines for allowable expenses. Many funders provide their own expense and revenue budget templates. As soon as possible in the proposal preparation process, provide a draft of the budget to SDGSP and ADGSP which will then be shared with the Finance Department. Elements of most expense budgets include the following: direct costs, indirect costs, and *when required*, matching or cost sharing.

1) Direct Costs

- a. Salaries and Wages** – The percentage of time of all project personnel should be included in the project budget. Proposed salaries must be in accordance with Molloy's approved rates. The university neither pays nor accounts for faculty and professional time by labor hours. For administrators, project time may be calculated as a percentage of the workweek or a specified time period (e.g., one day per week or 20% of time). For full-time faculty, it can be in the form of percentage of academic year schedule with faculty release time, work overload, flat stipend, or percentage of summer months. Therefore, budgets must be expressed in terms of percentage of time or person months. Funders may require time/effort reports to document involvement. For assistance, contact SDGSP or ADGSP in determining faculty compensation.
- b. Fringe Benefits** – Fringe benefits include mandated social security, disability, unemployment, and workers' compensation, as well as those that are optional

such as health insurance, life insurance, retirement, and tuition remission. Consult Grants Office for the current rates.

- c. **Consultants** – Consultants may provide technical expertise for a limited duration necessary for the conduct of the sponsored project. Consultants are retained through temporary arrangements with external companies or individuals. Contact SDGSP for guidance with Molloy’s policies on the use of consultants and approved contractual rates. The Human Resources Department at Molloy approves the use of consultants and requests documentation to ensure consultant status.
- d. **Equipment** – Generally, equipment is defined by most external funding entities as an article of nonexpendable, tangible property with a useful life of at least one year and costing more than \$5,000. Check funder guidelines carefully for threshold value of equipment since this may vary. (See Section III, POST–AWARD ACTIVITIES: B4 & B5; Expenditure Processing, Equipment and Procurement for guidelines on internal reporting of equipment.)
- e. **Materials and Supplies** – Equipment and supplies, itemized at less than the designated threshold value for equipment, should be listed in this section. Each item is then carefully justified in terms of need.
- f. **Travel** – Travel costs include local mileage and out-of-area travel expenses such as airfare, lodging, ground transportation, and meals (shown as per diem costs).
- g. **Subcontracts** – A subcontract agreement between Molloy University and an external organization is appropriate when a significant portion of the sponsored project is performed at or with another institution. Contact SDGSP for guidance in including subcontract costs in proposed budgets. The university has a subawardee agreement form which delineates expectations. Subrecipients can also provide their own commitment forms, if appropriate.
- h. **Other Direct Costs** – These are additional items such as publication costs, human subject fees, postage, photocopying, and equipment maintenance. If contracts are recommended for maintenance of equipment, it should be explicitly written in project narrative and budget justification; institutional approval is required.

2) Facilities and Administrative (Indirect) Costs

Indirect costs represent the expenses of doing business which are not readily identified with a particular grant, contract, project function, or activity, but are necessary for the general operation of the organization and the conduct of activities it performs. The indirect cost components are classified under two major cost categories: Facilities and Administration. Included under Facilities would be depreciation, interest on debt associated with certain buildings, equipment and capital improvements, operations, maintenance (physical plant), and library expenses. Administrative costs include the costs associated with administering

general university operations, department activities, sponsored projects, student services, and all other types of expenditures not listed specifically under Facilities.

For proposal purposes, indirect costs are commonly expressed in terms of an indirect cost rate applied as a percentage of direct costs in a sponsored project budget. Molloy has a federally negotiated indirect cost rate of 44% of Modified Total Direct Costs (MTDC) for onsite work and a lesser amount for work conducted at another location. If a sponsor has a written policy, the university will accept that policy in determining the level of F&A costs included in the budget. If the proposal requires more detail, the Finance Department maintains a record of specific indirect costs such as audit fees, space, and utilities. For example, the federal government may allow a specific percentage of salaries for an indirect cost rate if there is no formal indirect cost rate approved. Other funders allow a de minimis rate (usually 8 – 10%) of modified total direct costs (this precludes tuition stipends and other participant costs). Check with the Grants Office to determine applicable rates.

3) Cost Sharing/Matching Funds

Some sponsors require the university to contribute a certain portion of funding (cash or in-kind support) to the overall cost of a project or the purchase of a piece of equipment. It is the university's practice not to propose cost sharing unless the sponsor requires it and, in most cases, not to cost share more than the sponsor's stated requirements. PD/PIs must obtain written authorization for cost sharing before writing or submitting a proposal requiring this kind of commitment by the university.

k. Miscellaneous Proposal Information

1) Active & Pending Grant Support/Plans for Sustainability

Many sponsors request applicants supply information on both active and pending support. SDGSP can supply faculty and administrators with a complete list of grant support including: (1) project titles; (2) funding sources; (3) duration of projects; and (4) approved total budgets. This information should be included in the appropriate spaces on required application forms (e.g., budget) or, in the absence of any required form, typed neatly on a separate numbered page as an appendix item.

Applicants should also list the same information about pending applications. This is particularly important for federal programs where possible sources of support may come from different funding agencies. Private foundations often want to see where an applicant has submitted other proposals for project support as they may be more comfortable not being the only funder. Most funders will want to know how the applicant plans to continue their project if it extends beyond the grant period, so they often ask for the potential grantee's sustainability plan. This ensures a better return on their investment if they are confident of the applicant's ability to show the project's potential for success in the long term.

2) Facilities and Equipment

Resources available to the PD/PI for project implementation should be described in detail. Examples of university resources include lab space; equipment; library resources; and computer systems.

3) Appendices/Attachments

Appendices should be clearly labeled and provide supportive information that relates directly to the proposed project. The use of appendices with restrictions on number of pages and type of content is usually delineated. For this reason, it is essential to consult the funder's proposal preparation guidelines. Funders may also request proof of not-for-profit status, board of trustees with affiliations list, and financial information in the form of the annual audit and/or Form 990. For electronic submissions, be careful to attach documents in specified sections.

D. PROPOSAL SUBMISSION PROCESS

1. University Review and Approval

All externally sponsored project proposals are reviewed by SDGSP. In addition, SDRS must review academically related grants prior to deadline for submission to funders. A complete final draft of the proposal should be submitted to the Grants Office at least five (5) working days in advance of the deadline. This provides sufficient time to ensure all university approvals are in order and adequate time is available to make any needed modifications to the proposal. Proposals are reviewed to ensure they comply with government and foundation regulations, policies, and procedures, and adhere to the requirements/guidelines of the funder. **All university proposals to external funding organizations must be submitted by SDGSP as Molloy's authorized organizational representative.** Copies of submissions will be sent to SDRS, vice president for academic affairs, vice president for advancement, and vice president for finance & treasurer as appropriate. The Grants Office maintains all copies of proposal submissions, both hard-copy and electronic, and maintains a grants status chart.

2. Required Copies of the Proposal

Proposals are usually required to be submitted electronically. However, when the funder requests a hard copy submission, the number of copies varies with each sponsor and is noted in sponsor guidelines. If not stated, SDGSP and GRS will obtain that information and provide it to the PD/PI. Whether submitted electronically or otherwise, SDGSP maintains a complete copy of each proposal in grant files.

3. Sponsor Deadlines

Deadline dates are published online and strictly enforced by the sponsor. Sponsors require proposals either be (1) postmarked by the deadline date or (2) received by the sponsor electronically or in hard copy on or before the deadline date and time. Sponsors rarely make any exceptions. If the proposal does not meet the deadline requirements, automatic rejection is likely. SDGSP and GRS can provide the PD/PI with the deadline dates upon request. It is

recommended submissions be made by SDGSP 24- hours prior to the deadline. This will avoid any last-minute problems with technical uploads. It is preferable for the faculty member or administrator to be present when the final submission is uploaded and transmitted.

4. Multiple Submissions

Identical proposals may be submitted to more than one funder at a time provided each sponsor is advised this has occurred. Names of the other recipients of the proposal and the amount of funds requested should be provided. In instances where all sponsors are given the same total project budget, it should be specified as to how much of the total budget is being requested of each and for what purpose those funds will be used. It is important to know funding entities have specific policies on the submission of identical proposals to other sponsors, including some (e.g., NIH) that prohibit multiple submissions. In all instances, the SDGSP must be notified.

E. NEGOTIATION AND ACCEPTANCE OF SPONSORED AGREEMENTS

1. Negotiation

SDGSP, Finance Department, and Compliance Office are responsible for reviewing all terms and conditions of an award prior to acceptance by the university to assure sponsor requirements are compatible with university sponsored-project policies, consistent with government-wide regulations applicable to colleges and universities, and reflect the understandings agreed upon prior to the award. SDGSP has primary responsibility for resolving any differences between the university and sponsor with regard to terms and conditions of new awards as well as modifications or amendments to existing awards.

2. Award Acceptance

When an award document is received, SDGSP immediately informs the vice president for advancement and vice president for finance & treasurer. SDRS notifies vice president for academic affairs, as well as the PD/PI who play a significant role in the negotiations of a sponsored project. The PD/PI may also be directly notified by the sponsor. SDGSP will advise PD/PI the award document is being reviewed in conjunction with the Compliance Office to assure required terms and conditions are in accordance with university policies and procedures and seeks input concerning any questionable provisions. In reviewing terms and conditions of an award SDGSP is concerned with protecting the rights of PD/PI and the university and assuring the feasibility of administering the award and conducting the project/research. Under certain circumstances, it may be necessary for Molloy's legal counsel to review contracts. Once approved, the award document is signed by the authorized individual of the university indicating acceptance and returned to the sponsor to be fully executed. The vice president for academic affairs and the vice president for advancement are authorized to sign sponsored agreements on behalf of the university. If an officer is required, agreement must be signed by the president or vice president for finance & treasurer, as officers of the corporation. For electronic approvals, the SDGSP can receive permission from one of the two officers to sign on their behalf.

III. POST-AWARD ACTIVITIES

A. AWARD ADMINISTRATION

1. Introduction

ADGSP, in collaboration with the PD/PI, is responsible for administering all sponsored projects awarded to the university. This includes verifying and enforcing sponsor terms and conditions, monitoring budget transactions, processing administrative reports, preparing, and overseeing subcontracts, and implementing changes mandated by both government and private agencies. Once an award has been accepted by the university, a grants management file is created. The PD/PI is responsible for monitoring activities and expenditures in accordance with sponsored requirements. The Finance Department ensures compliance with Molloy policies and has overall responsibility for supplying financial accounting information, such as revenues and expenses. Director of financial reporting serves as the grants liaison in the Finance Department.

2. Establishing an Account

It is the responsibility of ADGSP to establish an account for the award in conjunction with the Finance Department. Each award is assigned a general ledger (GL) code restricted solely for the sponsored project and set up in accordance with the approved budget and sponsor's specified terms and conditions. The account has object codes reflecting cost categories of the approved budget and defined by the university's accounting policies. ADGSP contacts PD/PI informing him/her of the program code, the object codes (cost categories), and budget period. ADGSP informs PD/PI of specified terms and conditions and reporting requirements and provides a fully executed copy of the award agreement. It is the responsibility of PD/PI to ensure funds are expended in accordance with the award agreement.

3. Grant Revenues

Funders have varying policies regarding disbursement of grant funds. Foundations will generally provide a full or partial check enclosed with their award letter. If a partial check is sent, they will detail the terms regarding the balance. Government grant funds are more typically transmitted electronically into established accounts. The Finance Department arranges for these transfers and monitors the drawdowns done on a schedule quarterly, semi-annually, or annually. Funders may also make payments as a reimbursement of project expenses after a claim is submitted and approved. Receipts and other documentation can be required. Responsibilities for claim preparation will be determined upon receipt of a grant award notice.

All grant funds are deposited into approved GL accounts described in the above section. Other than by electronic means, ADGSP deposits grant fund checks in accordance with university policy. ADGSP ensures all grant revenues are recorded in Raiser's Edge so the university can maintain a complete database of grants and contributions.

4. Subcontracting

SDGSP/ADGSP, in coordination with the PD/PI, is responsible for preparing and overseeing subcontracts as approved in the sponsored project award and issued by the university to other organizations.

In general, the subcontractor is subject to the same terms and conditions of the award as the university. Therefore, the subcontract agreement prepared by SDGSP/ADGSP contains specific terms and conditions, an approved budget, and a statement of work. The subcontract is reviewed first by our Compliance Office and then approved by the PD/PI. To be binding, it must be signed by the authorized official of the university and the subcontractor. When the agreement is fully executed, SDGSP/ADGSP issues a purchase order by which payment is made to the subcontractor per submission of an invoice to SDGSP/ADGSP and verbal approval by the PD/PI. Extensions and changes to the subcontracts are made by SDGSP/ADGSP based on the approval of the primary sponsor.

B. EXPENDITURE PROCESSING

1. Finance Department and Payment Process

The Finance Department facilitates the financial activity associated with a grant or contract. This is accomplished by processing payroll, check requisitions, and cost transfers. They coordinate all audits within the contracts and grants area performed by the university's independent auditors, and federal and other sponsoring entities. Finance is also responsible for establishing annual fringe benefit rates.

The financial accounting system provides a reasonable basis for sponsored project accounting according to federal grants management requirements. To expedite payment of check requisitions, original receipts/invoices along with signed Payment Authorization forms available on the Accounts Payable page of the Molloy website must be submitted to Finance.

<https://www.molloy.edu/about/administration/finance-department/accounts-payable/>

As a tax-exempt organization, Molloy does not pay sales taxes on purchases within New York State. Use a sales tax-exempt form when making purchases or paying for hotel accommodations; no reimbursement will be made for NYS sales taxes charged on purchases.

The Finance Department will review all expenditures charged to sponsored projects to verify sufficient budgeted funds are available in each line item. Expenditure payments will only be made after the university formally accepts a sponsor's official award notification and restricted account numbers and approved budget are set up on the general ledger. It is the responsibility of the PD/PI to ensure purchases are allowable within the grant guidelines. Disallowed items may include but are not limited to non-business-related entertainment; alcoholic beverages; club dues; and legal fees. In addition, the university's allowable spending policy is available from Finance and should be consulted prior to making purchases. Questions concerning allowable costs should be directed to SDGSP or ADGSP.

2. Project Staffing

Before attempting to pay someone for work performed, it must be decided whether the individual is a consultant or if he/she should be paid as an employee. Following grant award guidelines, Human Resources will be involved in the employee hiring process for new faculty, administrators, and staff including recruitment, orientation, salary negotiation, and applicable benefits for all incoming personnel whether hired on a permanent or temporary basis. Current faculty who assume project responsibilities may be permitted additional compensation through work release time, course overload, summer percentage, and/or flat stipends. The Office of Academic Affairs determines these compensation policies for faculty. Funders often require documentation such as time/effort reports and log sheets with project activity delineated.

Consultants are hired directly by the PD/PI and approved by the appropriate dean. When determining consultant status, the most important criterion is whether the nature of the work performed is not unique; that is, not offered only at Molloy University and not performed for a sustained period. Human Resources must verify consultant status prior to this hiring. This is accomplished by completing the Molloy University Employee/Independent Contractor Checklist available in Human Resources and gaining appropriate signatures.

If there is a consultant expense line in the budget and HR determines the individual qualifies for consultant status, the following documentation is required:

- a. Memo containing name of consultant(s), description of work scope, how the work relates to the project and compensation arrangement must be submitted to Finance, prior to the first request for payment, along with a signed and completed W-9 form from the contractor designating either a Social Security or Employer Identification Number (EIN).
- b. Signed invoice from the consultant with full name, home address, brief description of work performed, hours or days worked, rate of pay, and total amount due must be submitted with each request for payment consistent with post-award policies.

This documentation is necessary to provide a record for the Internal Revenue Service (IRS) showing the individual qualifies as a consultant and to support their payment using sponsored project funds. Each consultant arrangement is determined individually. In some cases, additional documentation may be required.

Graduate assistants and university work-study students can be a resource for clerical and other administrative functions for the project.

3. Travel Policy

Travel expense for local mileage is reimbursed at a rate established by the IRS and is adjusted on an annual basis considering gas prices and average wear-and-tear on vehicles. Finance publishes the reimbursement rate at the start of each calendar year. Departmental policies should be followed for approvals. Out-of-area travel-related activities might be for the purpose

of attending conferences and other professional development opportunities or funder required meetings. Reimbursable expenses incurred for distance travel, such as airfare or railroad, lodging and per-diem costs for meals and other incidental expenditures, must be approved in advance by the PD/PI and applicable supervisor. Original receipts and signed forms are then submitted to Finance for payment. Use Molloy's NYS sales tax-exempt form when staying in New York hotels since there should be no sales tax charged for Molloy business-related trips (not applicable out-of-state). The tax-exempt form should also be used for business-related catering locally or anywhere in the state.

If travel involves students, contact the Office of International Education (Global Studies) to make travel arrangements for the group.

4. Equipment

According to Molloy policy, equipment is defined as having a unit cost of more than \$1,000 and a useful shelf life of greater than one year. Items \$1,000 and under are often classified as a consumable supply and follow less stringent guidelines. Funders have their own classifications; some consider items \$5,000 or higher to be categorized as equipment.

5. Procurement

When purchasing any individual items (goods or services) with a unit cost of more than \$1,000 and/or all orders totaling \$5,000 or more, the PD/PI needs to provide written bidding or sole source documentation to the Purchasing and Finance Departments. This documentation must be received and considered by Purchasing prior to commitment of an order. Purchasing is responsible for managing the bidding process for most goods and services required by university departments. Within its scope of operation, Purchasing handles the qualification of potential bidders, the solicitation and analysis of bids, and the awarding of business to vendors. Purchasing may also secure certified vendors for NYS-funded projects to meet Minority and Women-Owned Business Enterprises (M/WBE) goals. It is important, therefore, that each PD/PI communicate their needs and plans for major purchases (as defined above) to Purchasing as early as possible so there will be reasonable time to accomplish the bidding procedure. Purchasing documentation will help ensure the acquisition of goods and services are done in a competitive, fair, and timely manner. See Accounts Payable webpage on the Molloy website for more detailed policies and required forms (<https://www.molloy.edu/about/administration/finance-department/accounts-payable/>)

6. Property Management

University policy guidelines require that all non-expendable property having an acquisition cost of \$1,000 or more and having a useful life greater than one year is subject to property control. Property control includes the maintenance of property records, the tagging of equipment items, and periodic physical inventories (at least every two years). The information on record, necessary for the maintenance of the property inventory file, is as follows:

- Purchase order number (PO#)
- Molloy University account number(s)
- Description of item
- Manufacturer
- Cost
- Building and room location
- Model and serial numbers
- Workstation number, if applicable
- Acquisition date

7. Facilities and Administrative (Indirect) Costs

When indirect costs are allowable through a funder approved indirect cost rate, Finance will ensure the grant revenues associated with these costs are recouped appropriately in consultation with PD/PI and SDGSP.

8. Accounting Reports

After the closing of every month-end, the Finance Department posts General Ledger Monthly Budget Reports for every program code. The GL system includes Annual Budget, YTD Budget, YTD Actual and Remaining Balance information for all expense accounts. The GL information provided is a month-end snapshot of the account activity per line item and should be used to monitor expenses that have been incurred for projects. Project revenue and expense details are available online in Lion's Den. Access to individual GL accounts is required with set-up done by Molloy's director of MIS.

9. Budget Modifications/Cost Transfers

Expense line items must be monitored continually. Actual expenses incurred may vary from budgeted line-item expenses. Budgetary changes between categories of expenses may require funder approval; consult guidelines for percentage of allowable variance. The PD/PI is required to inform SDGSP and ADGSP of any anticipated deviations to the approved budget and/or exceptions/changes to the terms and conditions. It is the responsibility of SDGSP or ADGSP to contact the funding agency relative to the PD/PI's requests and clarify questions that may arise. Changes to object codes within budgets should be submitted to Finance once the budget modification is approved by the funder. To move budgeted amounts internally between expense categories, the Budget module on the Lion's Den webpage of the Molloy website should be completed by indicating the dollar amount in each account to increase and decrease.

10. Audit

In accordance with federal regulations, Molloy is subject to an independent annual audit. University also completes a Form 990 annual tax return for not-for-profit organizations. All university financial activities are included in this auditing and reporting process. Often funders require copies of these documents with proposal submissions and reports. In addition, funders

may execute their own audits of grant-funded projects. For this purpose, it is critically important to keep original receipts to submit to Finance. ADGSP can provide electronic copies of Molloy audit, 990, and other organizational documents.

C. ADMINISTRATIVE PROCEDURES

1. Project Management

If the PD/PI needs to be replaced during the course of the project, the funder must be notified immediately. This also applies to other key project personnel and consultants who were included in the original proposal. If outside hiring is required to replace vacant positions, HR policies must be followed.

2. Change in the Statement of Work

If key project objectives and/or associated methodologies need to change from the original funded proposal, the funder should be notified as soon as possible. This ensures the integrity of the project and shows respect for the relationship between grantor and grantee.

D. REPORTING REQUIREMENTS/GOOD STEWARDSHIP

The Grant Award Notice/Agreement typically details the approval conditions of the grant, including accounting procedures that will need to be followed and funder reporting requirements due at various stages throughout the grant. By accepting an award, the PD/PI has consented to comply with the funder's requirements for awarded grants. The purpose of grant reporting is to evaluate progress toward the vision and goals of the project and provide an opportunity to learn from successes and challenges.

With the assistance of the Grants Office, the PD/PI is responsible for ensuring reports are timely and accurately filed throughout the grant period until closeout of the grant. This helps to build and strengthen the grantor-grantee relationship through good stewardship and accountability. Some funders require both interim progress report(s) as well as a final report; other funders prefer a final report only.

1. Interim Program Reports

Interim reporting provides a project status update at a specified time during the grant project period. Some funders require only a brief program synopsis at some point during the grant period while others may provide a list of questions to be addressed in the program progress reports. Reporting requirements can also include grant recognition, adhering to funder guidelines, in the form of press releases, pictorial evidence of the use of the funds, and/or web links showing funder support. Interim financial reports provide a full accounting of the grant funds at a specified time during the grant project period. Total project revenue and expense reports should include a description of major discrepancies between the projected and actual project budget.

2. Final Reports (Closeout Documents)

A final report is generally required 30 days after project completion. Funders may provide an online form to be completed with a section to add attachments. This is the place to include project performance including research results, accomplishments with accompanying data, whether objectives and outcomes have been met and results of the evaluation, and publications or other tangible products. Funders often ask whether the project encountered any unforeseen challenges and how they were addressed. Note: This is not the time to report that the project work plan changed significantly. If that were the case the funder should have been made aware of the reason at the time and provided formal approval to modify plans. Revenue reporting may include a list of all other financial sources for the project.

Total expenditures, cost transfers, and approved changes to budgeted line items should be reflected in final financial reports and may require a detailed explanation as per funders' reporting requirements. If project funds are not expended by the end of grant period, funders may permit a carryover of funds through a no-cost extension process in coordination with a continuation of project activities to completion. A carry-over request will usually need to be substantiated with a rationale for funds to continue during the extended period.

E. RETENTION OF GRANT RECORDS

All proposals whether funded or not are kept in electronic files on a shared university drive which is backed up daily. These materials include proposals, supporting information, award documents, and reports. There is no time limit for this retention of records. The Finance Department maintains financial records in accordance with funder requirements. The university also has archives that can house older materials.

F. PUBLIC RELATIONS

Internal award announcements will be done jointly by the vice president for advancement and vice president for academic affairs. Public Relations (PR) in the Office of Advancement is responsible for any external publicity relating to a grant award and adheres to funder guidelines (e.g., use of logo/sponsor name/text). Details should be provided to PR so appropriate posting can be done on social media, as well as press releases distributed to the media as appropriate. The Grants Office will update the Molloy website with details regarding grant accomplishments. After program completion, there may be additional opportunities for publicity.

G. CONCLUSION

As mentioned throughout this *Handbook*, there are many people and entities involved with a successful project implementation in addition to the project director or principal investigator, senior director of grants and sponsored programs and senior dean for research and scholarship, Molloy's leadership team, academic deans, Academic Affairs, Advancement, Finance, Human Resources, Institutional Effectiveness, Public Relations, Purchasing, Student Affairs, among others. Project success not only benefits the reputation of the PD/PI but also the university as a whole. With each new award, Molloy's grants portfolio and track record grows stronger, making it more feasible to obtain additional grants in the future. This is a win for everyone in the Molloy community!

Appendix I

Sites to Search for Grant Information

Government Funding Sources:

Federal

Grants.gov

<http://grants.gov>

National Institutes of Health (NIH)

<http://grants.nih.gov/grants/guide>

National Science Foundation (NSF)

http://www.nsf.gov/funding/browse_all_funding.jsp

U.S. Dept. of Education (USDOE)

<http://www2.ed.gov/about/offices/list/ope/index.html?src=mr>

U.S. Dept. of Health and Human Services

Health Resources and Services Administration (HRSA)

<http://www.hrsa.gov/grants/index.html>

National Endowment for the Humanities (NEH)

<https://www.neh.gov/grants>

National Endowment for the Arts (NEA)

<https://www.arts.gov/grants>

New York State

New York State Education Department

www.nysed.gov

New York State Department of Health

www.health.ny.gov

New York State Department of Labor

www.labor.ny.gov

Dormitory Authority of New York State

www.dasny.org

New York State Regional Economic Councils

Consolidated Funding Application

www.regionalcouncils.ny.gov/cfa

New York State Energy Research Development

www.nyserda.ny.org

Humanities New York

<https://humanitiesny.org/our-work/action-grants/>

New York State Council on the Arts

<https://arts.ny.gov>

Foundation and Corporate Funders:

Instrumentl (subscription-based, contact Grants Office for searches)

Candid: <https://candid.org>

(The Foundation Center, known for its extensive database of foundations and grants training, and GuideStar which posts Form 990s, the annual tax return for nonprofit organizations, detailing foundation assets, board members, application process and grantees with award amounts recently merged to form Candid.)

Foundation Directory Online can be accessed for free at the Levittown Public Library, Huntington Public Library, and Riverhead Free Library.

Appendix II

Notice of Intent to Obtain External Funding

Submit this completed form **at least one month** in advance to initiate efforts to obtain funding. Requests for all types of financial support require appropriate signatures. If you are not seeking financial support at this time but would like technical assistance, you may optionally complete applicable questions, no signatures are necessary now. If available, attach a brief description of the proposed project and budget. Project Director/ Principal Investigator (PD/PI) must ensure completed forms are received by the Grants Office.

1. PD/PI(s): _____

☐ Faculty ☐ Administrator ☐ Graduate Student ☐ Doctoral Student

School/Div./Dept. _____

Contact: Molloy ext. _____ Cell: _____ Email: _____

2. Project title: _____ Start date: _____

3. Type of project: ☐ research ☐ program ☐ academic support ☐ curriculum development

☐ capital/equipment ☐ capacity-building ☐ professional development/training/mentoring

☐ scholarship/fellowships ☐ student services ☐ community-service ☐ other: _____

4. Where will project be located? ☐ on-campus ☐ off-campus ☐ combination

5. Are there collaborative partners? ☐ No ☐ Yes, list below:

a) internal collaborators: _____

b) external collaborations: _____

6. Assistance needed: ☐ locating funding opportunities ☐ project/concept creation

☐ proposal development (narrative/budget) ☐ identifying collaborative partners ☐ review & edit

7. Check if project will involve: ☐ human subjects ☐ potentially harmful agents

a) If human subjects are involved, has a proposal been submitted to the IRB? ☐ No ☐ Yes

b) If potentially harmful agents are involved, has this proposal been submitted to an IBC? ☐ No

☐ Yes, specify IBC and provide contact information for Molloy IRB: _____

c) Will students be involved in the conducting of the project? ☐ No ☐ Yes, specify:

☐ undergraduate ☐ graduate ☐ doctoral Explain briefly: _____

8. Will this project require Molloy resources (e.g., space, equipment, clerical support)? ☐ No

☐ Yes, explain: _____

9. Will you apply for internal funding through Research/Scholarship Committee? ☐ No ☐ Yes

10. Is proposed project related to a sabbatical leave? ☐ No ☐ Yes

11. Is release time requested? ☐ No ☐ Yes, specify:

Academic Year _____ Course(s) _____

12. Is there any potential conflict of interest? ☐ No ☐ Yes, explain:

Complete this if you have identified a funder and would like to submit a proposal for external funding:

13. Letter of Intent/Introduction (LOI) required? ☐ No ☐ Yes, due date: _____

14. Full application due date: _____

15. Funding agency: _____ Grant program: _____

Type of proposal: ☐ new ☐ continuation ☐ renewal ☐ revision/resubmission

16. Grant period: _____ ☐ One-year ☐ Multi-year

Anticipated start date: _____ Anticipated end date: _____

17. Total project costs: Direct \$ _____ Indirect \$ _____ Total \$ _____

18. Grant request: Direct \$ _____ Indirect \$ _____ Total \$ _____

19. Does this project include a subcontract arrangement with another entity to perform a portion of the work? ☐ No ☐ Yes, explain: _____

20. Is cost share/matching involved? ☐ No ☐ Yes, cost share is: ☐ mandatory ☐ voluntary

Type of cost share required: ☐ cash ☐ in-kind ☐ combination

Amount of cost share proposed: Grant budget \$ _____ Total project \$ _____

Source of cost share or match (e.g., Molloy department, external partner) and a description:

Additional information/comments: _____

REQUIRED APPROVALS

Project Director/Principal Investigator (Date)

Co-PI/Investigator (if applicable) (Date)

Administrative Director (Date)

Supervisor (Date)

Vice President for Advancement (Date)

OR

Dept. Chair (Date)

School Dean (Date)

Senior Dean for Research and Scholarship (Date)

Vice President for Academic Affairs (Date)

AND

Senior Director of Grants & Sponsored Programs, Office of Advancement (Date)