

Grants Handbook

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Grant Seeking Strategies

Types of funders: 1. government (local, state, federal) 2. Corporate and foundation

Types of foundations:

- local or community: benefit to surrounding community
- national: innovative projects that could be replicated or adapted elsewhere
- company sponsored: areas related to company activities and locations. For example, Walmart and has a company foundation to support the communities where it operates.
- corporate giving: directly from company. For example, M&T Bank supports the communities where it operates.
- operating foundations: use endowment income to support their own ongoing work

What foundations support: social, educational, religious and other charitable activities

- Special projects or start-up funding for activities that will become self-sustaining
- Activities that are consistent with the foundation mission and goals

How to Begin

- Define the program
- Statement of Need
 - demographics of intended population to be served
 - proposed intervention
 - project design and management
 - assessment
- Concept paper or outline of ideas
- Identify funders

Sources of Funding Opportunities

- Government: determine agency of interest
 - Federal grants: Grants.gov or specific agency
- [Foundation Directory](#) (Foundation Center, part of Candid): requires subscription, or access free at some public libraries. Harrisburg: McCormick Riverfront and Madeline Olewine
- [AASCU/Grants Resource Center/Grant Search](#): [create an account](#) using Shippensburg University log in
- [InfoEd Sponsored Programs Information Network \(SPIN\)](#): create an account using Shippensburg University log in
- See what funding peer organizations have received

- See Business Journal or Chamber of Commerce company lists

Screening lists of funders: look for funding interests (project type), eligibility of organization to apply (funding type), geographic location, amount

Presenting the Idea

Contact by the method requested. May need to call and ask if no method is requested.

Typical methods:

- Phone call
- Letter of inquiry
 - Intro with project details and description of organization
 - Project dollar amount required
 - Qualifications of staff
 - Methodology and timetable
 - Statement of need
 - Organization ability to meet need; why best qualified to do so
- Concept paper: summary of proposal, including all components of full proposal
- Full proposal
 - Follow guidelines
 - Emphasize need and impact of meeting the need
 - Components
 - Letter or one page synopsis of project, stating purpose, amount required and expected duration
 - Description of organization. Signature of authorized organization representative.
 - Statement of Need
 - Project goals
 - Measurable objectives to be taken to achieve objectives
 - Timeline or schedule of project activities
 - Evaluation plan
 - Description of qualifications of key personnel
 - Proof of organization tax exempt status
 - Budget: address plan for future funding. Include both table and narrative description.

Keys to Success

- Prepare high quality proposals
- Submit often
- Seek feedback if declined

Adapted from “Guide to Foundation Funding,” Grants Resource Center (GRC), American Association of State Colleges and Universities (AASCU), 2010

Proposal Development

The staff of the Institute for Public Service and Sponsored Programs will review all grant and contract applications for fiscal accountability and compliance under Shippensburg University, State System of Higher Education, and federal/state regulations and statutes. Consultation with the directors of Human Resources, Budget, and Social Equity is commonly held to ensure that the application, if approved and funded, can be properly administered.

Plan Your Proposal

The grant application process has many steps:

- Begin with an idea for a research project.
- Develop the idea into an outline.
- Identify all potential sponsors.
- Evaluate sponsor interest.
- Determine deadline dates for submission of application and specific requirements of sponsor.
- Prepare a plan of action with adequate timetables for application preparation, internal review, copying, and mailing.
- Prepare the application. It is imperative that all required forms are completed.
- Submit the application for internal review.
- The IPSSP director submits externally on behalf of the university and project director

Planning phase

The planning phase focuses on gaining knowledge, data, and partners to prepare for a future proposal or project. This may include:

- competitive analysis of your concept/idea,
- workshops, generating white papers,
- finding collaborators, identifying mentors,
- contacting program officials,
- generating preliminary data, and
- talking with your Department Chair or Dean.

Developing Concept and Ideas: concept paper pre-proposal; solicit feedback

1. A title
2. A brief overview of the research topic, including a summary of what is already known about that topic
3. A brief statement of the research question
4. An explanation of why this research question is important

5. A description of the methods that will be used to answer the research question

National Science Foundation ([NSF Program Suitability & Proposal Concept Tool \(ProSPCT\)](#)): for prospective PIs to contact the NSF to determine suitability of a project idea prior to submission of a proposal.

ID Funding Opportunities: IPSSP administers government and research funding. The Shippensburg University Foundation administers funding from private funders such as corporations and non-profit foundations. Read solicitation guidelines to determine goals, objectives, and requirements of the funder.

Write and Compile a Proposal

Proposal timeline: The process to submit a proposal can take six months or longer, and requires the involvement of several people from departments and offices.

Below is an example time chart to schedule proposal development:

Time Chart

Activity	Due Date	Time Required
Preparation		
Develop Outline		
Write Introduction		
Write Objectives		
Write Plan of Operations		
Write Evaluation Plan		
Draft Budget		
Compile Draft		
Review and Edit		
Submit to IPSSP		5 working days before due date

Abstract: purpose, goals, methods, outcomes

Problem statement: begin with broad problem and identify smaller contributing problem that the project will address. Cite statistics or relevant data to establish problem exists. Describe literature to show what has already been done. Explain why past solutions are not effective. Answer these questions:

- What is the problem or need and why is it a problem or need?
- How extensive is the problem or need?
- Who is affected?
- What has already been done to address the problem or need and why has it been insufficient?

Goals and objectives: Goals are broad hope for achieved state and objectives are specific measurable steps that can be taken toward accomplishing the goal. Answer these questions:

- What do you plan to do to address the problem or need and to what extent?
- When, Where and with whom do you plan to do it
- In what order do you plan to perform various steps?
- What resources do you need to do it?

Methodology: connect your methods to each objective. Discuss qualifications of personnel to complete this. Answer these questions:

- What is your plan of action?
- Why did you choose this particular plan?
- Is it the only way to solve the problem? Did you consider other methods, and if so, why did you reject them?
- Can you do what you propose?

Personnel: Define each person's classification, role in the project, expertise, percentage of time spent on project. If creating a new position, describe required qualifications.

Institutional Resources: provide background of university and why it is best to support the project, including special facilities or support services. For data requests, see Institutional Research and Assessment website or make data request.

Evaluation: determine type and methods of evaluating success, connecting each objective to an evaluation method. Answer these questions:

- How will you know if your objectives have been reached?
- How will you measure the results?
- What type of evaluation will you conduct (formative, summative, process or impact)?
- When will the evaluation occur?
- Who will perform the evaluation, and what are their credentials?

Dissemination: funders want to know that the results will be shared, including with:

- the funder
- participants
- your institution
- other professionals in your field
- the public

Common methods include:

- journal articles
- formal reports
- presentations at professional meetings and conferences
- media presentations
- electronic databases
- websites

Answer these questions:

- How will the results be disseminated?
- To whom, when and where will the results be disseminated?

Budget

IPSSP staff can assist you as you begin the process of developing the budget for your project. A plan of operation that is logical in sequence and clearly developed will lead to a budget that is adequate to support the project, and reasonable in relation to the objectives of the project.

Budgets center around direct and indirect cost items. **Direct costs** include personnel, fringe benefits, travel, equipment, supplies, contractual, and other. **Indirect cost** is an accounting term used to describe costs that are common to two or more of a grantee's projects, such as building space, procurement, personnel administration, and grant accounting. These costs are real and represent actual costs to the institution. Indirect costs are added to the total direct cost and retained by the Institution to offset the additional expense of carrying out the project.

Our March 2024 agreement with the federal government calculates indirect costs as 45% of all salary, benefit, and wage expenditures. Some granting agencies (particularly non-governmental funders) may require an alternative method for calculating indirect costs (e.g. 8% of total costs, excluding equipment).

As indirect costs are reimbursed to the University during the post-award phase of a sponsored project, the funds are allocated as follows: 60% to the university general fund, 30% to the Office of the Provost, 10% to the Institute for Public Service and Sponsored Programs.

The Office of the Provost has discretion to redistribute indirect costs to the PI and/or University Center to encourage additional scholarship and professional development. The share of indirect costs recovered by the Centers or PI is intended to support research and creative activity efforts and enhance future grant acquisition.

Matching Funds: Many granting agencies require that some percentage of total support come from other sources and refer to these contributions as a match or cost share. Consider all opportunities to include in kind matches, such as professional time donated to the project. Under certain circumstances, the value of space provided as well as utility and custodial costs may be charged. Project directors are required to document the matched resources throughout the project.

Personnel/Faculty

Budgeting summer salary:

Faculty can be compensated for 12 weeks of summer effort in addition to their regular academic year contract. Extramural funding (e.g. research effort) plus university commitments (e.g. summer teaching, other summer contract work) cannot exceed 12 weeks of remuneration per summer.

The formula to calculate the hourly rate of pay for compensation for sponsored research in summer is as follows:

Academic Annual Salary (based on rank/step) ÷ 30 weeks (academic year [two 15-week semesters]) ÷ 37.5 (standard workweek) = Hourly Rate of Pay

Example: $\$81,559.54 \div 30 \div 37.5 = \$72.50/\text{hour}$

Fringe Benefits (based on employee benefit package): actual rate ranges from 18-65%. IPSSP staff will work with you and Human Resources to confirm your fringe benefit costs for your budget proposal. Contact IPSSP@ship.edu to confirm benefit and salary information.

Budgeting replacement cost (i.e. reassign time or teaching load reduction):

Reassign time to reduce teaching load during the academic year should be budgeted as replacement costs based on your salary. [Example: Your academic year salary is \$90,000 and you are requesting a one-semester, one-course teaching load reduction, which represents 1/8 of your load. Budget $(0.125) \times (\$90,000) = \$11,250$ plus 60% benefits, \$6,750. The total amount is \$18,000.] If this method is not allowed by the granting agency or not workable in your budget, you may discuss options with the Institute for Public Service and your academic dean.

Budgeting salary and benefits:

HR must review the job description for employees to determine the appropriate job title and classification. For Grant-Funded Employees, submit a job description to IPSSP@ship.edu to receive estimated salary and benefit information for the position.

Personnel/Staff

Basic steps required to hire staff:

Before hiring staff, contact IPSSP and HR. A request to fill and job description will be required, along with documentation that funds are available to support the position. All positions will be posted to the Shippensburg University jobs portal. Grant-Funded Staff will submit Time and Effort forms to the Grant Accounting office.

Personnel/Students

Basic steps required to hire a student:

Before hiring a student worker, contact HR/Student Payroll (ext.1124). HR will confirm with the Financial Aid office that the student is eligible for employment. Students will record their hours in eTime. Project directors will provide reports from eTime to the Grant Accounting office.

Student wages and benefits:

Undergraduate students are generally paid at the Pennsylvania state minimum wage, \$7.25 per hour. Students can be paid higher rates based upon their qualifications as allowable under the guidelines of particular granting agencies.

Graduate student's hourly rate is \$10.00 per hour, this rate may increase based on their qualifications and job requirements as long as allowable under the guidelines of the granting agency.

For student workers who are enrolled less than full-time (e.g. summer employment), you should budget for benefits at a rate of 7.65% of wages to cover employers contribution for Social Security and Medicare.

Budgeting tuition remission:

You can budget to fund student tuition based on actual costs. Tuition in future years is difficult to predict. It is wise to build an annual increase into multi-year grants to cover future increases in tuition cost. Current rates are available at: <https://www.ship.edu/paying/tuition-fees/undergraduate/>

Budgeting a graduate assistantship (GA):

To budget a graduate assistantship position you need to submit the Grant Funded Graduate Assistant Appointment form to IPSSP. GA positions must include \$6,966 in tuition (non-resident) and \$2,500 stipend each semester during the academic year or \$1,500 for summer (\$9,466 per semester or \$18,932 total for 2024-2025 during academic year). Contact The Graduate School for current rates.

Supplies and Equipment

Project directors are expected to research the cost of necessary equipment and supplies for their project. All procurements (supplies, speakers, consultants, and equipment) will go through SourcePoint and SAP. The project director will need to ask their department clerical staff to assist with these systems and navigate the procurement process. Contact the Regional Procurement Office or Grant Accounting with questions.

Equipment/supplies costing less than \$300 can be purchased by the project director and reimbursed via a direct pay form request within 30 days. Some items cannot be reimbursed via direct pay, so you may want to check with the Accounting Office first. Note that no sales tax will be reimbursed. Sales tax exemption forms are available from the Accounting Office.

Travel Costs

Rental Car Process: For the current Rental Car Process, email Vehicle Dispatch (vehicledispatch@ship.edu). If you have any questions, reach out to Vehicle Dispatch (x1567) or the Administrative Services Manager (x3316).

Private vehicle: If a privately owned vehicle (POV) must be used, mileage is calculated using the current federal reimbursement rate. This rate changes annually; current reimbursement rates are available at <https://www.passhe.edu/offices/anf/accounting/employee-travel-expense-reimbursement-rates.html>

Hotel and meal costs: these expenses will be reimbursed based on actual expenses shown on original receipts, up to a maximum of the federal maximum rates for lodging or M&IE (meals and incidental expenses) for your destination. In preparing a budget, see the U.S. General Services Administration rates are available at: <http://www.gsa.gov/portal/category/21287>.

Approval Process

All planned proposals should be approved with the [Sponsored Projects Clearance Form](#), located on IPSSP website <https://www.ship.edu/about/offices/public_service/>

The IPSSP director submits all proposals on behalf of the university and project director.

Step 1. Academic Department

It's important to discuss the details of your project with your department chairperson during the planning phase. Provide the chairperson with information concerning how this project will contribute to the overall goals of the college and how participating in this project will affect the normal operation of the department release time, use of facilities, clerical support, in-kind contributions, personnel, and other data so that an informed decision concerning your project can be made.

Step 2. College Dean

The college dean will require the same information concerning the project that you supplied to your department chairperson. You should also clarify how this project and the goals of the university are compatible.

Step 3. Institute for Public Service and Sponsored Programs

Applications should be submitted to the director of the Institute with approvals of both the department chairperson and the college dean at least five working days prior to the closing date established by the funding agency. The Institute supports and coordinates all grant research and contract activity at the university. Institute staff will finalize and submit the proposal to the funder.

Human Subjects: If you plan to conduct research or related activities with human beings as subjects, you are required to follow procedures established by the U.S. Department of Health and Human Services to ensure the protection of these subjects. The completion of an [Institutional Review Board \(IRB\)](#) application for approval to use human subjects in your research or activity is part of these procedures.

Animal Care and Use Procedures: If your research activity involves the use of animals, specific rules and procedures must be followed and assurances must be indicated in the application. This requires an additional clearance through the Institutional Animal Care and Use Committee (IACUC).

Grant Administration

IPSSP staff will assist project managers in ensuring compliance under Shippensburg University, State System of Higher Education, and federal/state regulations and statutes. Relevant policies and procedures are listed below.

Policies

[University Policy Repository](#)

Employee Compensation: Procedure/Standard number 2018-32, Employee Compensation for Sponsored Activities for State System Universities

Procurement: see PASSHE Expenditure of Public Funds – Guidelines Standards, and Limits

Ethical Conduct of Research: see Ethical Conduct of Research Policy, SU Policy Number: 201-002.0

Financial Conflict of Interest: see PASSHE Procedure/Standard Number 2016-22: Management of Financial Conflict of Interest (FCOI)

Conducting high quality research and instructional activities is integral to the primary mission of State System member universities. Active participation by faculty and other employees in external activities that enhance their professional skills or constitute public service can be beneficial to the university as well as the individual.

The purpose of the procedure/standard (link above) is to provide the members of the academic community with a framework to promote quality and objectivity in research by establishing standards to ensure that the design, conduct or reporting of research or sponsored projects will not be biased by any conflicting financial interests of an investigator.

The procedure/standard provides a framework to manage, reduce or eliminate financial conflicts of interest in research, education, and service activities. This procedure/standard protects the credibility and integrity of faculty and staff, so that public trust and confidence in the sponsored activities are ensured. It is also intended that any such action be in accordance with applicable federal and state law as well as collective bargaining agreements.

The procedure/standard is issued under the authority of Act 188, Section 20-2005-A (7).

IRB/Human Subjects Review: see RESEARCH PROJECTS INVOLVING HUMAN SUBJECTS/PARTICIPANTS

Animal Care and Use Procedures

If your research activity involves the use of animals, specific rules and procedures must be followed and assurances must be indicated in the application. This requires an additional clearance through the Institutional Animal Care and Use Committee (IACUC). If you require the clearance of this committee, contact Dr. Kathryn Potoczak at kmpoto@ship.edu. This clearance must be complete before the application reaches the IPSSP Office. For information regarding the Institutional Animal Care and Use Committee, please contact Dr. Potoczak at kmpoto@ship.edu.

The University IACUC maintains oversight of all animal use in research at the University, and will make available to interested faculty copies of the guidelines for the care and use of laboratory animals. All necessary research oversight committees and policies are in place to assure compliance with program regulations.

Subrecipient Monitoring see Procedure/Standard Number 2015-19 Subrecipient Management and Monitoring

Technology Transfer: see Technology Transfer and Commercialization Guide for PASSHE Non-Faculty Personnel

Export Controls: Procedure/Standard 2012-14-A, Compliance with United States Export Control Laws

Information Security: see Information Security Plan – IPS 2023

Record Retention: see Records Retention Policy, SU Policy Number: 401-003.1

Procedures for Sponsored Activities, Provided by Grant Accounting

Allowable Costs

Award Cash Management ACM\$ Procedures

Budget and Expenditure Monitoring Procedure for Sponsored Activities

Budget Revision

Cash Management

Cash Transfer

Grant Travel

Institutional Policies to which IPSSP must Certify upon Submission of Federal Grants

- Certification Drug Free Work Place
- Certification Regarding Debarment and Suspension
- Certification Regarding Lobbying
- Certification for Contracts, Grants, Loans and Cooperative Agreements
- Certificate Regarding Nondiscrimination
- Certification Regarding Flood Hazard Insurance
- Certification Regarding Responsible Conduct of Research

Statements of Compliance - from Office of Social Equity

- Equal Opportunity
- Sexual Harassment
- People of Disabilities
- Access to Education Records (Family Education Rights and Privacy Act of 1974)
- Drug-Free Campus

- Campus Safety
- Consumerism
- Veteran' Benefits
- Nonimmigrant Alien Students
- Information Security Plan