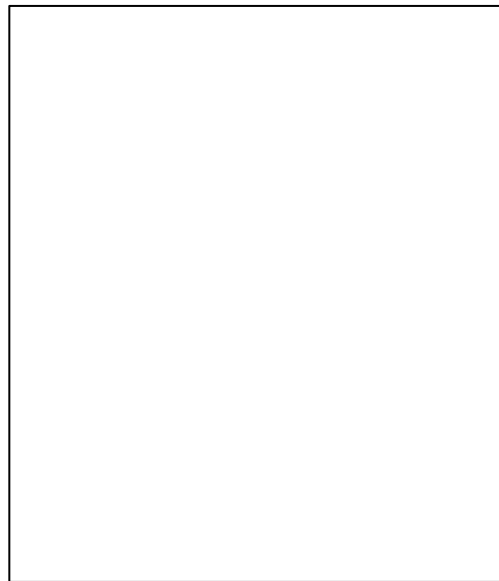


GRFC Guidelines



POLICIES AND APPLICATION PROCEDURES GOVERNING THE DISTRIBUTION OF
MONIES ALLOCATED FOR GRANTS AND RESEARCH, ADMINISTERED BY THE

**GRANTS AND RESEARCH FUNDING COMMITTEE (GRFC)
OF THE FACULTY SENATE**

SOUTHEAST MISSOURI STATE UNIVERSITY

2018

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Table of Contents

GRANTS AND RESEARCH FUNDING COMMITTEE (GRFC) PHILOSOPHY	5
RESEARCH AND CREATIVE WORK PROPOSAL APPLICATION PROCEDURES	6
General Information.....	6
Eligibility of Proposals	6
Eligible Projects	6
Ineligible Projects	6
Eligibility of Personnel	6
Amounts Awarded	7
Property.....	7
Patents and Copyrights	7
Role of Director of Research and Grant Development Office.....	7
Proposal Preparation	8
Style of the proposal	8
Preliminary Review	8
Structure of the Proposal.....	8
Section One, Title Page (one page).....	8
Section Two, Project Narrative (not to exceed five pages)	8
Purpose of the project	8
Project Design and Methods	9
Expected Results and Dissemination Plan.....	9
Other Funding Sources	9
Human/Animal Subjects	9
Hazardous Materials and Lab Safety	9
Section Three, Budget Summary (one page)	9
Section Four, Budget Justification Page (one to two pages)	10
Section Five, Biographical Sketch (one to two pages)	11
Allowable Budget Items	11

Submission Details.....	13
File Format.....	13
Submission Deadlines.....	13
Fall Semester.....	13
Spring Semester.....	13
Third Call.....	13
Evaluation Criteria.....	14
General Evaluation Criteria.....	14
Specific Evaluation Criteria.....	14
Reasons for Rejection of Proposals.....	16
Award Management.....	17
Award Terms.....	17
Fall Semester Awards.....	17
Spring Semester Awards.....	17
Third Call Award.....	17
Extensions.....	17
Accounting Procedures.....	17
Final Report.....	18
Final Report Due Date.....	18
Final Report Format.....	18
Introductory Information.....	18
Budget Summary.....	18
Results of project.....	18
Dissemination Plan.....	18
Appendix or Appendices.....	18
History of Research or Creative Work Proposal Guidelines.....	20
APPLICATION PROCEDURES FOR DISSEMINATION PROPOSALS	21
Submission Period of Publication Charge Proposals.....	21
Evaluation of Proposals.....	21
Application Procedures/Materials:.....	21

Follow-Up Requirements:.....	21
Percentage of the GRFC Budget to be "Safeguarded":.....	21
Policy Regarding Reprints	22
Special Considerations.....	22
History of Dissemination Grant Proposal Guidelines.....	22
Appendix 1: Faculty Research and Creative Work Proposal Title Page	23
Appendix 2: Faculty Research and Creative Work Proposal Budget Form	25
Appendix 3: Final Report Budget Summary	26
Appendix 4: Dissemination Proposal Title Page	27

GRANTS AND RESEARCH FUNDING COMMITTEE (GRFC) PHILOSOPHY

The goal of the Grants and Research Funding Committee is to encourage the growth of scholarly and creative activity at Southeast Missouri State University. Scholarly and creative activity is understood to include scientific and humanistic research, as well as literary or artistic projects related to academic or professional disciplines.

The rationale for encouraging scholarly and creative activity at a regional institution with a primary commitment to teaching is threefold:

First, because many of the programs and courses offered by the University cover advanced skills and sophisticated material within disciplines that are constantly growing and developing, effective teaching requires that faculty maintain an active interest in their respective areas. Activity in research and creative endeavors is the most direct evidence of knowledge in one's discipline.

Second, because instructors at the University stand before students not only as teachers, but also as representatives of the disciplines whose subject matter they teach, it is desirable that faculty maintain professional levels of performance within their fields. Typically, it is through research, scholarship, and other creative activities that professionalism is sustained and reviewed.

Third, since an important part of the University's educational mission requires that it serve as an educational resource for the region at large, it is necessary to maintain a faculty whose members can speak authoritatively within their chosen disciplines and who are themselves engaged in assimilating and generating information, as well as developing and maintaining skills relevant to their fields. It is scholarly and creative activity, which best identifies and sustains the University as a regional educational resource.

It is therefore precisely because of the University's unique educational mission--because it is an institution of higher learning whose faculty are learners as well as teachers--that scholarly and creative activity is to be encouraged.

The Committee is particularly interested in recommending funding for initial projects, projects that may lead to outside funding, and projects for which outside funding is not available.

RESEARCH AND CREATIVE WORK PROPOSAL APPLICATION PROCEDURES

General Information

This section presents general information, which should be carefully noted prior to the preparation of a proposal. It addresses eligibility criteria, amounts recommended, title to materials purchased with GRFC funds, and patent and copyright concerns.

ELIGIBILITY OF PROPOSALS

Eligible Projects

1. A research project, which expands knowledge of humanity, its institutions, and its physical world by a recognized research method, is eligible.
2. A creative project in any acknowledged area, such as the visual arts, music, or literature, is eligible.

Ineligible Projects

1. Research intended for completion of degree requirements (for faculty or staff) is ineligible.
2. Projects involving program/course development and/or implementation are ineligible.
3. Administrative projects are ineligible.
4. Projects primarily or exclusively for composed of student research or student creative works are ineligible. Note: Students may assistant a faculty member in the project.

ELIGIBILITY OF PERSONNEL

1. All members of the full-time University Faculty on the Southeast Missouri State University campus payroll are eligible. (Note 1: The GRFC will place a priority on proposals from probationary faculty. Note 2: Any regular non-tenure track faculty member is encouraged but not required to collaborate with a current tenure track faculty member.)
 - a. An individual faculty member can only be the primary researcher on two (2) open GRFC proposals at a time. (Exception – A faculty member with two (2) open GRFC proposals will be considered if a 3rd or summer call is made.)
 - b. An individual faculty member may only submit one proposal per call.

- c. In the event that a faculty member with an open GRFC leaves the university, the funds may be transferred to a faculty collaborator with the approval from the department and GRFC chairs. If no co-PI or faculty collaborator can be identified, the funds revert back to the GRFC.
2. Prospective new faculty members, contingent upon their appointment to the academic faculty, are eligible. (Note: The GRFC encourages incoming faculty members to collaborate with current faculty members on proposals.)
3. Grant applications from individuals with two (2) or more active GRFC grants will not be considered during the Fall review. They can be considered during the Spring review if funds remain after decisions have been made on all other applications. The '2 Open Grants Rule' will apply to that faculty member who is the lead or primary investigator. The GRFC will consider that faculty member whose name appears first on the proposal to be the lead or primary investigator.

AMOUNTS AWARDED

Grants may be awarded in amounts recommended by the GRFC and approved or modified by the University Provost. The Committee places greater emphasis on funding seed money for new projects and a diversity of smaller projects rather than a few expensive ones. Typically, the maximum amount awarded per proposal is \$4000. Requests over \$4000 must include extreme justification.

PROPERTY

Title to all materials, equipment, supplies, books, documents, etc., obtained with Committee funds will rest with the University. When such materials are no longer needed for the project, the materials will remain property of the university.

PATENTS AND COPYRIGHTS

If the results of any research funded by the GRFC are patented and/or copyrighted, any resulting proceeds are subject to the University's Patents and Copyrights Policy.

ROLE OF DIRECTOR OF RESEARCH AND GRANT DEVELOPMENT OFFICE

The GRFC serves as an advisory committee to the Provost and recommends funding or nonfunding of projects directly to the Provost. The Director of Grant Development in the Office of Research and Grant Development serves as a nonvoting member of the GRFC and is available to provide assistance for those wishing to submit a proposal. GRFC proposals, which have been funded, will be kept on file for two years in the Office of Research and Grant Development.

Proposal Preparation

This part addresses the style, preliminary review, and structure of the proposal. All proposals **MUST** be prepared according to the structure presented.

STYLE OF THE PROPOSAL

1. The proposal must be written in clear and direct language, avoiding the use of professional jargon whenever possible. (The author is reminded that the GRFC is made up of faculty from each college, some of whom may not be familiar with the author's area of specialization.)
2. All pages must be numbered in consecutive order following the title page and must be double-spaced. Page limitations for each section must be followed as defined in the "Structure of the Proposal."
3. The section titles and subheadings described in "Structure of the Proposal" must be used.

PRELIMINARY REVIEW

Preliminary review of proposals within the applicant's department or field is strongly recommended; applicants are urged to ask their colleagues or outside experts to review their proposals prior to submission. The Office of Research and Grant Development will provide assistance in preparing grant proposals. The applicant must consult the GRFC representative early in the development of the proposal to ensure that the proposal contains all necessary information and materials. The researcher or project designer should thoroughly brief the representative on specific details of the proposal.

STRUCTURE OF THE PROPOSAL

Section One, Title Page (one page)

Appendix 1 must be used. The title page serves as the cover page for the proposal. Appendix 1 includes the Project Summary, a description of the project in non-technical terms, not to exceed 300 words.

Note: Because signatures of the GRFC College Representative, the Department Chairperson, and the College Dean must be obtained on the cover sheet, it is strongly suggested that applicants allow enough time to gather the required signatures.

Section Two, Project Narrative (not to exceed five pages)

Purpose of the project

The purpose of the project must include a statement of the problem and/or need, the

significance of the project, objectives of the project and a brief outline of existing work in the field (e.g. Literature Review).

Project Design and Methods

A brief description of the proposed procedure and its rationale should be included here.

Expected Results and Dissemination Plan

Explain your expected results and describe your plan to disseminate the results/products.

Other Funding Sources

Briefly explain what other internal and/or external funds must be used for cost sharing, if any, including any support from the Department and/or college.

Human/Animal Subjects

Research that involves human or animal subjects must be approved by the appropriate University Committee(s) in accordance with the procedures set forth by those committees. The proposal may be submitted to the appropriate committee and to the GRFC at the same time. A statement indicating that the research has been submitted/approved by the above committee(s) should be included in the “project design and methods” section.

Hazardous Materials and Lab Safety

Research that involves hazardous materials and lab safety issues must be approved by the appropriate University Committee(s) in accordance with the procedures set forth by those committees. The proposal may be submitted to the appropriate committee and to the GRFC at the same time. A statement indicating that the research has been submitted/approved by the above committee(s) should be included in the “project design and methods” section.

Section Three, Budget Summary (one page)

1. Use the budget form provided in Appendix 2
2. If the total budget for the project is greater than the amount being requested from GRFC, identify the specific items and amounts being requested from GRFC
3. Represent all items in whole dollars
4. Any cost overrun is the responsibility of the principal investigator and his/her department; the additional expenses will not be covered by the GRFC
5. Only priority items necessary for the project should be included

Section Four, Budget Justification Page (one to two pages)

1. All budget items must be justified in a budget justification following the budget. (See Allowable Budget Items)
2. Personnel requests should include
 - a. The specific expectations and responsibilities
 - b. The relationship between the principal investigator and the personnel (e.g., student-teacher relationships)
 - c. The educational experience the student may gain by participating in this activity
 - d. Justification for pay over min wage (e.g., required special skills)
 - e. Explanation for how the number of hours for the project was estimated
3. Travel requests should include
 - a. Specifically how the travel is required for the research/creative works project
 - b. Destination and mileage or airfare estimate
4. Equipment requests should include
 - a. Specific information on how the equipment will be used for the research or creative works project
 - b. Explanation of why the current equipment available is not adequate for the project. This is especially important for computer requests
 - c. Explanation of how the equipment can be used after the project
5. Consumable supply requests should include
 - a. Explanation of how the total amount needed for consumables was estimated
 - b. Examples of the types of consumables needed for the project (an itemized list doesn't have to be included) and estimation of costs
6. Other expenses requests should include

- a. Explanation of how the expense is required for the project completion
- b. If applicable, an explanation of why the needed resource is not available on campus

Section Five, Biographical Sketch (one to two pages)

1. For each investigator(s), include the academic background which is relevant to this proposal
2. Include the scholarly preparation and professional recognition (no more than one page) relevant to the topic or purpose of the proposal
3. List previous GRFC proposal and awards, including the status of any active awards. Note any publications, presentations, or exhibitions that resulted from previous GRFC awarded proposals.
4. Provide a list of relevant proposals submitted to outside agencies, including the status and amount of grant dollars requested/approved

ALLOWABLE BUDGET ITEMS

1. Personnel.
Note: Faculty salaries are not allowed.
2. Travel and per diem.
Note: Per diem may be lowered by the committee.
3. Equipment.
4. Consumable Supplies.
5. Other Expenses. Examples may include (but are not limited to):
 - a. Reproduction costs.
 - b. Communications costs.
 - c. Special services (e.g., chemical analysis, calligrapher, proof-reader, accompanist).
 - d. Consultants (fees, travel, per diem).
 - e. Equipment/technology use fees (outside the University only).
 - f. Incentives.

Submission Details

FILE FORMAT

To ensure file compatibility for GRFC members, the proposal should be uploaded as a pdf or Microsoft Word file.

SUBMISSION DEADLINES

Fall Semester

An electronic copy of the completed proposal must be uploaded to the Grants and Research Funding Committee (GRFC) Moodle page (or Submission website) no later than 5 p.m. on the second Monday of October.

Spring Semester

An electronic copy of the completed proposal must be uploaded to the Grants and Research Funding Committee (GRFC) Moodle page (or Submission website) no later than 5 p.m. on the last Monday in February.

Third Call

If unexpended funds exist after the fall and spring semester meetings of the GRFC, a third call for proposals may be extended at the discretion of the GRFC.

Evaluation Criteria

This part outlines the criteria used by the GRFC in evaluating proposals. All proposals are evaluated in a collegial, consensual manner by voting members of the academic units which comprise the GRFC.

GENERAL EVALUATION CRITERIA

1. Proposal is well-written (i.e., it is easy to understand, presented in a logical manner, without jargon).
2. No extraneous information is included, and proposal follows all page limits.
3. Sufficient information is presented to allow a logical decision relative to funding potential.
 - a. Project appears feasible.
 - b. Proposal is presented in concise form and is not verbose.
 - c. Convincing argument is presented that the proposed plan is appropriate.
 - d. Convincing argument is presented that the proposed plan is timely, if applicable.
 - e. Convincing argument is presented that the proposed plan maximizes and fully utilizes currently available resources.
4. Effort was made to seek external or other support (if applicable).

SPECIFIC EVALUATION CRITERIA

1. Purpose
 - a. The problem and/or need is clearly described.
 - b. The significance of the project is explained.
 - c. Critical survey of existing scholarship in the field or "Literature Review" that is relevant to the problem and/or need is provided.
2. Project Design and Methods
 - a. A clearly stated procedure, method, and plan are presented.

- b. The project design explains how results are achievable.
 - c. A reasonable timetable is presented.
 - d. A clear means of evaluation of data is presented.
 - e. Reliability/validity information about data collection instruments is included, if applicable.
 - f. Statements are included about submission/approval of research projects involving human subjects, animal subjects, or hazardous materials to appropriate committee(s).
3. Expected Results and Dissemination Plan
- a. Expected outcomes are clearly explained.
 - b. Plan to disseminate the results is included.
4. Other Funding Sources
- a. Availability of internal or external funding is addressed.
 - b. If no other funding is available, please note.
5. Budget
- a. Budget categories are clearly defined.
 - b. Follow categories as identified in Appendix 2.
 - c. Relationship between budget and project objectives is clear.
 - d. Relationship between budget and procedure/method/plan is clear.
 - e. All expenses are directly related to project.
 - f. *All items are sufficiently explained.*
 - g. All items are rounded to the nearest whole dollars.
 - h. Total project cost is accurately calculated.
6. Biographical Sketch

- a. The principal project faculty and staff are clearly identified.
- b. Information about scholarly preparation of investigators includes only information relevant to the proposal.
- c. List any previous awards from GRFC. Note any publications, presentations, performances, or exhibitions that resulted from previous GRFC awarded proposals.
- d. List proposals submitted to outside funding agencies, if applicable.

REASONS FOR REJECTION OF PROPOSALS

1. Missing deadlines.
2. Failure to concisely and clearly state the project objectives without jargon.
3. Failure to clearly indicate the proposed outcome of the project.
4. Failure to provide a clear rationale for the proposed project.
5. Travel requests without sufficient justification of intended research objectives.
6. Failure to follow guidelines in preparing proposal (e.g., proposal too long).
7. Slanted, biased presentation of proposal.
8. Budget items that are not sufficiently justified.

Award Management

AWARD TERMS

Fall Semester Awards

The term of each fall award shall be from the receipt of the award letter to the end of the fiscal year (June 30) following that fiscal year in which the award is made (e.g., an award made in the fall of 2018 [FY2019] will run until June 30, 2020).

Spring Semester Awards

The term of each spring award shall be from the receipt of the award letter to December 31 of the fiscal year following that year in which the award is made (e.g., an award made in the spring of 2019 [FY2019] will run until December 31, 2020).

Third Call Award

The term of the third round awards shall be the same as the spring semester awards.

EXTENSIONS

The time period of a project can be extended by one year. A letter addressing the need for extension should be uploaded to the GRFC Moodle page (or Submission website). The chairperson can approve a reasonable extension without the input of the committee. A second or third extension will be granted only under extenuating circumstances and with the formal approval of the entire committee.

ACCOUNTING PROCEDURES

Each grant will be assigned an individual account number. The researcher or a budgetary authority (approved by the researcher, chair and the University's controller's office) must complete any accounting training required by the University prior to the accessing the grant funds. The researcher assumes responsibility for keeping track of grant expenditures.

Final Report

FINAL REPORT DUE DATE

An electronic copy of the Final Report must be uploaded to the Grants and Research Funding Committee (GRFC) Moodle page (or Submission website) no later than three (3) months after the end of the award term. For awards that expire on June 30, the Final Report is due by September 30 of the same calendar year. For awards that expire on December 31, the Final Report is due March 31 of the following calendar year. (e.g., an award made in the fall of 2018 [FY2019] will run until June 30, 2020 and the final report is due Sept 30, 2020). Proposals by an applicant who has not submitted final reports on completed GRFC projects will not be considered by the GRFC until the overdue final report has been submitted.

FINAL REPORT FORMAT

Introductory Information

Please include the following introductory information.

1. Name of PI(s)
2. Original award date
3. Title of proposal
4. Original project summary
5. Index number

Budget Summary

Summarize the budget expenditures. Use Appendix 3 to compare the budget request from the GRFC to the total amount spent.

Results of project

Briefly summarize the results of the project in non-technical terms. (Typically, 300-500 Words)

Dissemination Plan

Briefly summarize how the results of the project have been disseminated and any further dissemination plans. (Typically, 300-500 Words)

Appendix or Appendices

For research projects, attach a copy of the manuscripts or abstracts that have resulted from the

project. For creative projects, attach a picture of the work, a copy of the program or other evidence related to the completion of the project.

History of Research or Creative Work Proposal Guidelines

**Procedures established by the Grants and Research Funding Committee - 1979 Approved by the Faculty Senate - July 11, 1979
Approved by the President - September 3, 1980**

**Revised Guidelines approved by the Faculty Senate - April 11, 1984
Amended by Faculty Senate, Bill 85-A-02 - April 3, 1985
Approved by President - May 6, 1985**

**Amended by Faculty Senate, Bill 87-A-04 - April 22, 1987
Approved by President and Board of Regents - July 23, 1987**

Amended by Faculty Senate, April 18, 1990 Amended by Faculty Senate, December 2, 1992 Amended by Faculty Senate, April 19, 1995

Revised Guidelines approved by the Faculty Senate - September 16, 1998

Revised Guidelines approved by the Faculty Senate – May 2001

APPLICATION PROCEDURES FOR DISSEMINATION PROPOSALS

SUBMISSION PERIOD OF PUBLICATION CHARGE PROPOSALS

Proposals may be submitted immediately upon the availability of a GRFC budget following the beginning of a fiscal year. The cut-off date is the first Monday in March. At this time those funds not used in the Dissemination Fund will be freed for use in the spring proposal competition. If uncommitted funds remain from the spring proposal competition, additional Dissemination Charge proposals may be considered.

EVALUATION OF PROPOSALS

If a proposal is under \$400, it may be accepted at the discretion of the GRFC chairperson, without review by the full committee. Dissemination costs over \$400 will be considered for funding by the entire committee. Proposals to cover dissemination costs over \$1000 must be prepared in accordance with the established guidelines for research proposals.

APPLICATION PROCEDURES/MATERIALS:

The following materials must be submitted:

1. A title page consisting of the form shown in Appendix 4.
2. A cover letter stating the details of the request and any special considerations, should they exist.
3. Evidence of dissemination. May include:
 - a. Evidence that the manuscript has been accepted for publication in the journal.
 - b. Evidence that presentation/exhibition/performance is accepted for professional venue.
4. A single copy of the manuscript (I.e. copy of abstract or article) or evidence of creative work (I.e. visual representation of works of art) should be attached to the proposal.
5. Justification of need for funds beyond professional development funds (excluding funds earned based on individual merit such as PD merit, Copper Dome Fellowship awards etc.) must be included.

FOLLOW-UP REQUIREMENTS:

The grantee shall submit one photocopy or reprint of the publication to the chairperson of the GRFC within six months of the publication date.

PERCENTAGE OF THE GRFC BUDGET TO BE "SAFEGUARDED":

Up to 10% of the GRFC budget will be reserved for the Dissemination Fund.

POLICY REGARDING REPRINTS

Funds shall not be provided for the purchase of reprints.

SPECIAL CONSIDERATIONS

Special situations may arise occasionally during consideration of publication cost proposals. For those that have been foreseen, the following policies are adopted.

1. **Publication of Degree-Related Research**

Such material will not be funded through the GRFC unless significant advancements and additions have been made and incorporated into the manuscript since awarding of the degree (assuming that such work was conducted at SEMO). Spin-offs or follow-up studies to the degree-related research, conducted at Southeast Missouri State University, will be considered for funding through the GRFC.

2. **Multiple Authorships When One or More Authors Are Not from Southeast Missouri State University**

If it can be demonstrated that an author from this institution warrants first-authorship (e.g., the authorship was not determined alphabetically), full publication costs can be applied for. Otherwise, the author(s) should request a percentage of the publication costs, with the remaining author(s) assuming responsibility for the balance.

3. **Publication Costs Resulting from "In-House" Funded Research Versus Independently Conducted Research**

An applicant can apply for full publication costs as long as the research leading to publication was conducted by a member of the Southeast Missouri State University faculty or staff in conjunction with professional pursuits.

History of Dissemination Grant Proposal Guidelines

Approved by the Faculty Senate - January 27, 1982

Revised Guidelines approved by the Faculty Senate - September 16, 1998

Revised Guidelines approved by the Faculty Senate - May 2001

Appendix 1: Faculty Research and Creative Work Proposal Title Page

1. Title _____

2. Name(s) of investigator(s) _____
 If more than one, designate which is to serve as fiscal officer responsible for budget control.

3. Department of _____ MS _____

4. College of _____ MS _____

5. Period covered by proposal: _____ to _____

6. Total amount of request: _____

7. Does this proposal involve human subjects? _____; animal subjects? _____;
 hazardous materials? ___; controlled substances? _____.

8. Have you previously sought external funds for this project? Yes / No

External Funding Source(s) _____

9. Have you identified potential (future) external funding sources for this project? Yes / No External
 Funding Source(s) _____

10. If no external funding sources have been identified, have you contacted the Office of Research and
 Grant Development to conduct a search on your behalf? Yes / No

11. Brief abstract of proposal:

Add additional PI signature lines as needed

 Signature of investigator Printed Name Date

 Signature of investigator Printed Name Date

 Signature of investigator Printed Name Date

GRFC College Representative

Printed Name

Date

Department Chairperson

Printed Name

Date

Dean

Printed Name

Date

Comments:

Appendix 2: Faculty Research and Creative Work Proposal Budget Form

Name:

Department:

Name of

Proposal:

ITEM	TOTAL BUDGETED AMOUNT*	AMOUNT REQUESTED FROM GRFC
Personnel:		
Travel and per diem:		
Mileage		
Air, bus, etc.		
Per diem		
Equipment:		
Expendable Supplies and Postage:		
Other Expenses:		
Total		

*Includes non-GRFC funds that are budgeted for the project. Please include a breakdown of any other funds for the project in the justification.

Appendix 3: Final Report Budget Summary

Name:

Department:

Name of

Proposal:

ITEM	AMOUNT AWARDED FROM GRFC	TOTAL AMOUNT Spent from GRFC
Personnel:		
Travel and per diem:		
Mileage		
Air, bus, etc.		
Per diem		
Equipment:		
Expendable Supplies and Postage:		
Other Expenses:		
Total		

Appendix 4: Dissemination Proposal Title Page

1. Title _____

2. Name(s) of investigator(s) _____
If more than one, designate which is to serve as fiscal officer responsible for budget control
3. Department _____
4. Name(s) and address(es) of additional author(s) not from Southeast Missouri State University

5. Publication date: _____
6. Total amount of request _____
 - a. Have you applied or do you plan to apply for external funds to support this request?
_____ If yes, give status:

 - b. Have you contacted the University Office of Research and Grant Development for external funding possibilities? _____