PROCEDURE MANUAL

GRANT OR FELLOWSHIP PROPOSALS SUBMITTED TO SPONSORED PROGRAMS
SPONSORED PROGRAMS

PROCEDURES for submission of PROPOSALS for externally awarded grants, fellowships, and sub-contracts through Sponsored Programs.

General Information for Faculty

The responsibilities of the Director of Sponsored Programs are to assist faculty in locating appropriate external granting agencies and projects consistent with their research interests or instructional needs, to provide technical assistance, and editing of final grant proposal. For faculty needing assistance in developing their first grant, workshops and one-on-one assistance will be provided if requested. The Sponsored Programs Office will maintain a database of all requested and awarded grants. Requests will be coordinated with the Institutional Advancement Office (IA) in order to avoid duplication of tasks and to ensure the project is in accordance with the College mission and strategic initiatives. The Director of Sponsored Programs will assist PIs with the management of their award and will monitor post awards in order to ensure compliance and successful future funding.

Grant Proposal Request

Faculty who are interested in pursuing a grant to support their instructional activities or research from external funding agencies (federal, state, local civic agencies, foundations) must complete a Grant Proposal Information Form (GPI) prior to writing the grant in order to obtain administrative approval prior to proceeding on the project. Notify the Director of Sponsored Programs before making contact with any civic agencies, corporations, or foundations in order to prevent conflicts in efforts between Sponsored Programs and Institutional Advancement.

Steps to Follow in Completing the Proposal Form:

1. Complete the Grant Proposal Information Form (GPI) which can be obtained from the Director of Sponsored Programs or from the Sponsored Program’s web site. This should be completed by the PI (Project Investigator or Project Director-faculty or staff in charge of the project) as soon as the faculty member or staff decides to pursue a project. The PI and co-PI, if there is one, should sign the form and return it to the Director of Sponsored Programs.

2. The Director of Sponsored Programs will then obtain approval from the various department heads, deans, and Vice-President for Academic Programs.

3. A copy of the approved form will be returned to the PI. The Director of Sponsored Programs will notify the IA office of the proposal.

Once the approved Grant Proposal Information Form (GPI) has been returned to the requesting faculty member, s/he may prepare the proposal/application for the grant.
Assistance in the preparation of the grant proposal may be requested from the Director of Sponsored Programs. Additional assistance is available through the web pages for Sponsored Programs. The Director of Sponsored Programs will provide the faculty member with the required institutional information so that faculty only need to focus on the main body of the grant, i.e. the project itself and the budget. Assistance will be given, if needed, in how to set up a budget for a grant.

The following guidelines should be used by faculty for developing the grant proposal:

1. The Director of Sponsored Programs should be contacted at least three weeks prior to the grant proposal deadline for technical assistance in the final submission of the proposal/application if electronic submission is required. This lead time is required to become familiar with the software being used and to confirm that all software is available, compatible and working properly.

2. More lead time should be planned if more extensive writing, editing, or research assistance is necessary. If your departmental budget allows it, you may contract the services of an external grant writer to assist you with writing the grant, but you will still be required to develop the project and major components of the budget.

3. At least ten working days before the proposal/application is due, the faculty member should submit a final copy of the proposal, with attachments, and a Routing Form (RF) with signatures from the PI and co-PI. The Director of Sponsored Programs will review the proposal and suggest any changes before forwarding the proposal for approval.

4. A copy of the final edited proposal will be submitted to the department head, Dean, and Vice-President for Academic Programs for final approval. After the document is approved, it will be returned to the Director of Sponsored Programs, who will work with the applicant to ensure that the proposal and required copies are submitted in a timely fashion to the appropriate granting agency and then follow-up with the agency to be sure that all required documents were received. Copies of the proposal and signature pages will be kept on file in the Sponsored Programs Office and a copy will be sent to the IA office. Electronic submissions will be submitted by the Director of Sponsored Programs for all federal grants, i.e. NSF via Fast Lane.

Notifications

When an agency sends a letter of notification for a funding award, the original letter should be immediately directed to the Office of Sponsored Programs (OSP). A copy of the award letter will be sent to the PI, Department Head, Dean, and Vice-President for Academic Programs via e-mail with scanned copy of notification letter attached. A copy
will also be kept on file in OSP. The original letter will then be forwarded to the IA office to be kept on file.

Awards from foundations, corporations, businesses, or individuals should be acknowledged with a letter of gratitude from the PI/Dept. Head or Dean/OSP upon receiving the award as well as an annual update while the award is active.

All correspondence with an agency should be routed through OSP for review before being sent.

**Grant Management**

The PI is responsible for implementation and administration of the budget of the grant. The PI should meet with the Director of Sponsored Programs prior to implementation of the grant to review the grant requirements and complete an [Awarded Grant Budget Form (BF)](https://example.com).

1. **Budgets:** Since the PI is ultimately responsible for how the funds are spent, it is important that the PI and accounting office keep meticulous records of how the funds are spent. Prior to spending funds which have been awarded by a funding agency, the PI will submit an [Awarded Grant Budget Form (BF)](https://example.com) with a copy of the budget to OSP. OSP will review the budget information and forward a copy to Accounting for setting up the account numbers. OSP will send a copy of the budget information and contract to IA for the permanent file. It will be necessary for the PI to keep a spreadsheet of budget finances to track expenses and balances so that overspending does not occur since the accounting records do not provide account status information.

   If the grant is a collaboration grant with another institution, the PI on this campus will submit an [Awarded Grant Budget Form (BF)](https://example.com) for the portion of the grant that pertains to Meredith College. In some cases, the PI may need to submit a [Grant Billing Form (GBF)](https://example.com) to Accounting with a copy to OSP if the collaborating institution requires that Meredith College bill them for services rendered on the grant. Consult with Accounting on billing to collaborating institutions.

2. **Cost-Sharing:** Agency cost-sharing requirements must be documented. The accounts to be charged for any cost-sharing must be included on the grant proposal form and the form must be signed by those account administrators. The Federal government has imposed numerous compliance requirements on grantee institutions. By signing the [Grant Proposal Information Form (GPI)](https://example.com), a faculty member is providing assurance that s/he is in compliance with all federal regulations and compliance requirements and will comply with award terms and conditions. A list of these assurances is available from the Sponsored Programs web page. Cost sharing forms are available from OSP.

3. **Authorized Institutional Officials:** Vice President for Business and Finance is the designated authorized institutional [fiscal](https://example.com) official. Check with Sponsored Programs before typing in any name or title on application forms if you are unsure of whom the
designated official should be. The authorized institutional official for signature on NSF documents is the Director of Sponsored Programs. Letters transmitting application materials may be signed by any appropriate person at the college as long as the Vice President for Business and Finance (or designee) has signed the **Routing Form (RF)**.

**4. Reporting:** Copies of reports sent to the funding agency should be sent to the Office of Sponsored Programs for review prior to submission. Any requests for changes to the grant implementation of the grant should also be directed through the Office of Sponsored Programs (see **Changes** below).

Even though the institution is legally responsible for the grant, the PI is accountable for the fiscal management of the grant funds and for reporting this information back to the funding agency as required, maintaining the funding and being within compliance of certain granting agency requirements. The Accounting Office and Office of Sponsored Programs will assist the PI in setting up the budget categories for better fiscal compliance.

The PI will have access to budget expenses through Informer. When a grant has only 30 days remaining on it, the PI will submit a financial statement to the sponsored programs office as to how the remaining funds will be spent.

**Time and Effort Reports** will be completed by the PI at the end of each academic term, unless requested more frequently by an outside agency. Copies are to be sent to accounting.

**5. Changes to Grant:** PI’s requesting a change in an awarded grant must complete a **Grant Change Form (GCF)** and submit it with required signatures before requesting a change from the granting agency. All forms can be obtained from the web pages for Sponsored Programs.

Steps to follow:

PI completes **GCF** Form and obtains required signatures from the appropriate department head and dean.

Form is submitted to OSP where it will be reviewed and clarified if necessary and then forwarded to the Vice President for Academic Programs and Vice President for Business and Finance for approval if a budget change is being requested.

After these approvals are obtained, the PI may then contact the agency for a change in the grant.

If a written agency approval is required for the changes, the change form plus any additional forms required by the agency will be submitted by the PI and the Director of Sponsored Programs.
6. Photocopying and Mailing: Applicant must provide a complete copy of all forms and proposal to the Office of Sponsored Programs prior to mailing the original and copies to the agency.

All forms mentioned above can be obtained from the web pages for [Sponsored Programs](#).

7. Close Out of Grant: Once a grant has come to an end of its term, it will go through a systematic closeout procedure to review the grant to check for compliance and to be sure that everyone has all necessary documents on file before closing the file. The PI will receive an email or letter notifying him or her of the upcoming closeout. If an extension is necessary, it is the PI’s responsibility to notify OSP in writing of the nature of the extension and reasons for requesting it. This must be requested at least 30 days in advance. The PI will receive a list of Roles and Responsibilities for each office involved with the grant to coordinate activities for closeout as well as a Close out Checklist which will be coordinated with Accounting.
Forms (Internal) Required for Submitting a Grant

**Grant Proposal Information Form (GPI)** – Prior to writing the grant proposal, complete this form.

DEVELOP OUTLINE
WRITE FIRST DRAFT OF PROPOSAL
WRITE 2\textsuperscript{ND}, 3\textsuperscript{RD}, 4\textsuperscript{TH}, ETC. DRAFTS
EDIT FINAL PROPOSAL

**Routing Form (RF)** – At least ten working days before the proposal/application is due, the faculty member should submit a final copy of the proposal with attachments along with this form.

**Awarded Grant Budget Form (BF)** – When an award is received, the PI will consult with the Director of Sponsored Programs in completing the BF form. OSP will consult with the Accounting Compliance Specialist before routing the form to Accounting. Accounting will provide the award with budget line numbers for each account.

All forms and grant proposals must be routed through the Office of Sponsored Programs for review before being routed to the Dean of Natural and Mathematical Sciences and Vice-President for Academic Programs.