Sponsored Programs

and

Foundation Relations

PROCEDURE MANUAL

SPONSORED PROGRAMS AND FOUNDATION RELATIONS

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

General Information for Faculty and Staff

The responsibilities of the office of Sponsored Programs and Foundation Relations (SPFR) are to assist faculty in locating appropriate external granting agencies 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 grant proposal/application, workshops and one-on-one assistance will be provided upon request. The Senior Director of Sponsored Programs and Foundation Relations will assist PIs with the management of their award and will monitor post awards in order to ensure compliance and successful future funding.

SPFR will maintain a database of all requested and awarded grants. Requests will be coordinated with the Office of Advancement in order to avoid duplication of tasks and to ensure the project is in accordance with the University's mission and strategic initiatives.

Grant Proposal Request

Faculty who are interested in pursuing a grant from external funding agencies (federal, state, local civic agencies, foundations) to support their instructional activities or research, must complete a **Grant Proposal Information Form (GPIF)** prior to writing the grant proposal in order to obtain administrative approval prior to proceeding on the project.

All faculty and program directors must coordinate contact with all civic agencies, corporations, or foundations through SPFR.

Steps to Follow in Completing the Proposal Form:

1. Complete the **Grant Proposal Information Form (GPIF)** which can be obtained from the Senior Director of Sponsored Programs and Foundation Relations or from **SPFR'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 complete the form and return it to the Senior Director of Sponsored Programs and Foundation Relations.

2. The Senior Director of Sponsored Programs and Foundation Relations will then route the form to obtain approval from the PI's Dean and/or Vice President. Approving officials will receive the **GPIF** along with an assessment from Sponsored Programs regarding the project and funding opportunity. The PI should not route the form on her/his own.

3. A copy of the approved form and assessment will be returned to the PI.

4. SPFR will notify the Provost and Vice President for University Advancement of the approved proposal to be submitted.

5. Once the approved **Grant Proposal Information Form (GPIF)** has been returned to the requesting faculty member, s/he may prepare the grant proposal/application. Assistance in the preparation of the grant proposal may be requested from SPFR.

   The Senior Director of Sponsored Programs and Foundation Relations 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, regarding how to set up a budget for a grant.

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

1. The Senior Director of Sponsored Programs and Foundation Relations should be contacted at least **four** weeks prior to the grant proposal deadline for technical assistance in the final submission of the proposal/application.

2. More lead time should be planned if more extensive writing, editing, or research assistance is necessary. SPFR will assist with all aspects of proposal development as needed.

3. At least two weeks before the proposal/application is due to the granting agency/foundation, the faculty member should submit a final copy of the proposal, with attachments to Sponsored Programs.

4. SPFR will submit the final draft of the proposal, as well as the **Grant Proposal Information Form (GPIF)**, to the Dean, Provost/Vice-President for Academic Affairs, and Vice President for Finance and Administration for final approval.

5. Once approved, SPFR will work with the applicant to ensure that the proposal and required copies are submitted in a timely fashion to the appropriate granting agency. SPFR will follow-up with the agency as needed to ensure that all required documents were received.

6. Copies of the proposal and signature pages will be kept on file in the Sponsored Programs and Foundation Relations Office and a copy will be sent to the Provost and Advancement offices. Electronic submissions will be submitted by the Senior Director of Sponsored Programs and Foundation Relations for all grants.

Notifications

When an agency sends a letter of notification for a funding award, the original letter should be **immediately** directed to SPFR.

In the event SPFR receives notice, a copy of the award letter will be sent to the PI, Dean, Provost, and Vice President of Finance and Administration. A copy will also be kept on file in SPFR.

Awards from foundations, corporations, businesses, or individuals will be acknowledged with a letter of gratitude upon receiving the award, as well as an annual update while the award is active.

Grant Management

The PI is responsible for implementation and administration of the budget of the grant. Even though the institution is legally responsible for the grant, the PI is accountable for:

- Fiscal management of the grant funds
- Reporting to the funding agency as required
- Maintaining compliance with granting agency requirements.

1. **Budgets:** SPFR will assist the PI in setting up the budget categories for better fiscal compliance. The PI should meet with the Senior Director of Sponsored Programs and Foundation Relations prior to implementation of the grant to review the grant requirements and complete an **Awarded Grant Budget Form (AGBF)**.

   If the grant is a collaboration grant with another institution, the PI on this campus will submit an **Awarded Grant Budget Form (AGBF)** for the portion of the grant that pertains to Texas Wesleyan University.

   SPFR will forward a copy of the budget form to the Business Office to establish an account and populate budget line items. The PI will access and monitor the budget through Datatel.

   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. When a grant has only 30 days remaining on it, SPFR will contact the PI for a financial statement as to how any remaining funds will be expended.

   In some cases, the PI may need to submit a **Grant Billing Form (GBF)** to the Business Office with a copy to SPFR if the collaborating institution requires that Texas Wesleyan University bill them for services rendered on the grant. Consult with SPFR regarding 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 (GPIF)** 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 SPFR web page. A **Cost Sharing Form (CSF)** is available from SPFR.

3. **Authorized Institutional Officials:** The Vice President for Finance and Administration is the designated authorized institutional **fiscal** official. Check with SPFR before typing in any name or title on application forms if you are unsure of whom the designated official should be.

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

   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 SPFR.

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 **Grant Change Form (GCF)** and obtains required signatures from the appropriate department head and Dean.

   - Form is submitted to SPFR where it will be reviewed and clarified if necessary and then forwarded to the Provost and Vice President for Finance and Administration 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 Senior Director of Sponsored Programs

6. **Photocopying and Mailing:** Applicant must provide a complete copy of all forms and proposal to the SPFR prior to submission. SPFR will mail all original and copies to the agency. All forms mentioned above can be obtained from the SPFR web page.

7. **Closeout:** 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.

   SPFR will provide the PI with a list of Roles and Responsibilities for each office involved with the grant to coordinate activities for closeout as well as a **Closeout Checklist** which will be coordinated with the Business Office.

   If an extension is necessary, it is the PI's responsibility to notify SPFR in writing of the nature of the extension and reasons for requesting it. This must be requested at least 30 days in advance.

Forms (Internal) Required for Submitting a Grant

Grant Proposal Information Form (GPIF) –Prior to writing the grant proposal, complete this form. This form will accompany your proposal throughout the approval process.

Awarded Grant Budget Form (AGBF) – When an award is received, the PI will consult with the Senior Director of Sponsored Programs and Foundation Relations in completing the form SPFR will consult with Finance and Administration before routing the form to the Business Office to establish an account, as well as budget line numbers for each account.

Grant Billing Form (GBF)

Time and Effort Reports

Cost Sharing Form (CSF)

Grant Change Form (GCF)

Closeout Checklist

All forms and grant proposals must be submitted to Sponsored Programs and Foundation Relations.