

PROCEDURE TITLE:	GRANTS APPLICATION, APPROVAL & MANAGEMENT
PROCEDURE NO.:	5.13:1
RELATED POLICY:	5.13REV
PAGE NO.:	1 OF 4
RESPONSIBLE PARTY:	DIRECTOR, GRANTS & SPONSORED PROGRAMS
EFFECTIVE DATE:	11/13/2024
NEXT REVIEW DATE:	11/2029
APPROVED BY:	PRESIDENT

1.0 NOTIFICATION AND APPROVAL OF INTENT TO APPLY FOR GRANT

To begin the grant proposal process, the Principal Investigator must complete and submit a written summary of the grant proposal to the Office of Grants and Sponsored Programs indicating their intent to apply. Members of the campus community will use intranet resources to complete the Notice of Intent to Apply.

- 1.1 The Notice of Intent to Apply must indicate the proposed Principal Investigator, funding agency, opportunity deadline, award period, proposed scope of work, and a preliminary budget that includes indirect costs. This information will be submitted by the Office of Grants and Sponsored Programs to the appropriate offices for review (i.e., supervisor, dean, vice president, grants accountant, etc.).
- 1.2 When the Notice of Intent to Apply has been reviewed and approved by all appropriate University officials, the Office of Grants and Sponsored Programs will coordinate the preparation of the full grant application with the Principal Investigator.

2.0 SUBMISSION OF GRANT PROPOSAL

- 2.1 Prior to submission of a full grant proposal to a funding agency, the Principal Investigator's supervisor(s), Senior Executive, and the President or designee must indicate their approval of the final application, including all proposed sources of cash and in-kind matching funds.
 - 2.1.1 "Senior Executive" means the Vice President for Academic & Student Affairs, Chief Financial Officer, Chief Operating Officer, Chief Enrollment Officer, Chief Advancement Officer, Chief of Staff, and any other Vice President or Chief level positions created hereafter.
- 2.2 All grant proposals require review by the Office of Grants and Sponsored Programs of the specific funding agency requirements, proposal summary, proposed budget and budget narrative before submission to a granting agency. Under no circumstances should an application be submitted to a granting agency without the review and approval of the Office of Grants and Sponsored Programs.

3.0 ACCEPTANCE

- 3.1 Upon notification of award, the Principal Investigator must notify the Office of Grants and Sponsored Programs, who in turn will prepare a statement for the appropriate University officials and, when requested by the President, submitted as an informational item to the Board of Trustees.
- 3.2 Acceptance of a grant is required by the President or designee.
- 3.3 Grant award(s) may be accepted by the University as outlined in this policy, provided the terms of the grant have not been substantially altered since the grant's original submission. If the terms of the grant have been substantially altered since its original submission, acceptance of the grant requires approval as set forth in 1.0 above.
 - 3.3.1 "Substantially altered" includes, but is not limited to, an increase/decrease in grant amounts of 10% or more, an increase/decrease of time frames to complete the terms of the grant in excess of 20% of the original grant, change(s) in the source of grant funds not listed in the original grant, changes(s) in Principal(s)/Chief Investigator(s) and/or such other changes as determined by the President or designee.
- 3.4 Any grant or contract accepted by the University must meet all the guidelines in this policy, must contain all required signatures, and must be administered according to the University's standard accounting practices for grant and contract funds.

4.0 POST AWARD ADMINISTRATION

- 4.1 Upon receipt of a fully executed award agreement, the Principal Investigator is responsible for completing the necessary forms and processes with the Office of Finance and Administration to create the appropriate restricted general ledger accounts to track the funding, including project codes for tracking of cash and in-kind matching funds.
- 4.2 Upon the award of new funding, the Office of Grants and Sponsored Programs will schedule a kickoff meeting with project personnel to discuss the project scope of work, deliverables, timelines, and related procedures. Additional meetings will be held on a monthly basis or more frequently as needed to discuss project progress, budget and expenditures, and other topics as appropriate.
- 4.3 Principal Investigators are responsible for developing a monthly forecast of grant revenue and expenditures and monitoring financial transactions related to the grant in conjunction with the Office of Grants and Sponsored Programs. The forecast should be updated on not less than a monthly basis throughout the life of the award.

- 4.4 Principal Investigators are responsible for execution of project activities and monitoring progress toward completion of the project scope of work and any related performance measures. Any concerns that arise related to the ability to complete the project scope of work or achieve required performance measures within the award period should be discussed with the Office of Grants and Sponsored Programs and the appropriate University administrators immediately.
- 4.5 Principal Investigators will provide to the Office of Finance and Administration or the Office of Grants and Sponsored Programs, as appropriate, all requested documentation to support the allowability of expenditures under the award and the proper allocation of cash or in-kind matching funds. All direct expenditures or allocation of matching funds must conform to grantor requirements, the Uniform Guidance (2 CFR Part 200), University policy, and other guidelines as applicable.
- 4.6 The Office of Finance and Administration or the Office of Grants and Sponsored Programs, as appropriate, will prepare all drawdown or disbursement requests for submission to the granting agency as required.
- 4.7 The Principal Investigator and the Office of Grants and Sponsored Programs, in cooperation with the Office of Finance and Administration, are jointly responsible for submission of all required reporting under the award. The Principal Investigator must provide all required performance metrics and narratives to the Office of Grants and Sponsored Programs well in advance of the reporting deadlines for inclusion in the required submission.
- 4.8 For grants covering multiple program years, the Principal Investigator is responsible for preparation of the budget and budget narrative for each program year and submission to the appropriate supervisor and the Office of Grants and Sponsored Programs for review. Upon approval by the appropriate supervisor and the Office of Grants and Sponsored Programs, the budget and budget narrative may be submitted to the granting agency.
- 4.9 Any revisions to the program budget or scope of work requiring an amendment to the original award agreement must be jointly prepared and reviewed by the Principal Investigator, the appropriate supervisor, and the Office of Grants and Sponsored Programs prior to submission to the granting agency.

5.0 PROJECT CLOSEOUT

- 5.1 The Principal Investigator will work with the Office of Grants and Sponsored Programs to ensure that the scope of work is completed, performance measures are met, all grant funds are expended, and all matching requirements are met by the award end date.
- 5.2 The Principal Investigator will work with the Office of Grants and Sponsored Programs, along with the Office of Finance and Administration, to ensure that all

grant expenditures taking place near the end of the award period are properly accounted for and posted into the correct accounting period, and that cumulative expenditures remain within the most recently approved grant budget.

- 5.3 The Principal Investigator will work with the Office of Grants and Sponsored Programs to ensure that all required closeout reporting is completed by the deadline and that all grant records are retained in accordance with grantor requirements and University policy.

6.0 SPONSORED PROGRAMS

Procedures for implementation and management of Sponsored Programs will follow the same general procedures for grant awards, with adjustments to the procedures as needed based on specific terms of related contracts or memorandums of understanding (MOUs).

History

Effective: 11/18/2022

Revised: 11/13/2024