POLICY:

All grant proposals, pre-proposals, applications, and letters of intent are subject to Utica College approval and endorsement before they are submitted to government, corporate, and foundation funding sources as detailed in Procedure, below, and as outlined in the Comprehensive Grants Manual. Faculty and staff members must consult with a grant officer well in advance of due dates to ensure thorough and on-time grant applications. Proposals for external funding must be reviewed and approved by the department chair, school dean, or head of administrative division, as appropriate, provost or his/her designee, the Office of Financial Affairs, Integrated Information Technology Services, Legal Affairs, and the Office of Government, Corporate, and Foundation Relations before submission.

SCOPE:

This policy applies to members of the Utica College community, including faculty and staff members, who seek external funding in the form of grants or fellowships, who have been awarded external funding, or who work on grant or fellowship awards and agreements from government sources, corporate sources, and private foundations to support research, educational programs, and projects that advance the College’s mission and priorities.

This policy applies to activities that occur at Utica College both before a proposal is submitted and after a grant or fellowship award is received. Pre-award activities include, but are not limited to: proposal planning, development, budgeting, internal approvals, and application submission to the funding agency for consideration. If a grant is awarded, this policy serves as a guide for the responsible conduct of the funded activity and the proper use of the award.

REASON FOR POLICY:

Utica College recognizes the importance of grants to support initiatives that advance the College’s mission and educational priorities while maintaining the balance of teaching and scholarship of faculty dedicated to excellent teaching, dialogue with students, and pursuit of scholarly, scientific, and artistic endeavors. A major focus of the Division of Advancement, through the Office of Government, Corporate, and Foundation Relationships (hereafter referred to as the “Grants Office”), is to support faculty and staff members who seek external funding for research, educational programs, and special projects. Faculty and staff members are encouraged to seek such support, but are required, minimally,
to notify the office of their intent to submit and to complete and submit the **Utica College Grant Proposal Approval Form**.

This policy and related procedures help ensure that grant proposals are well planned, are consistent with the College’s educational mission, reflect a high standard of quality in representing Utica College to granting agencies, comply with grantor guidelines, comply with Utica College policies, and are competitive.

This policy also helps ensure that projects sponsored through external grants achieve the outcomes outlined in the proposal, are conducted in compliance with funder requirements and applicable federal and state regulations, manage and account for funds according to the approved budget, and report project outcomes accurately and on time.

**DEFINITIONS:**

Grant/Fellowship Proposal or Application – A formal proposal submitted to a government or private entity that outlines a proposed project, shows budgetary requirements, and requests monetary assistance in the form of a grant or fellowship award.

Pre-award – All activities that take place prior to an award being made, including identification of funding sources, interpretation of guidelines, proposal preparation and drafting, budget preparation, editing, interaction with online grants submission systems, proposal updates or changes, and submission.

Principal Investigator – The holder of an independent grant administered by the College and the lead researcher for the grant project.

Post-award – All activities that take place after an award is officially made, including award acceptance, account establishment, depositing checks or drawing down of funds, financial management of awards, programmatic or financial reporting, no cost extensions or other changes in scope to the project, time and effort reporting, and equipment inventory.

**PROCEDURE:**

The **Comprehensive Grants Manual** provides a thorough description of the steps that must be followed to apply for grants and steward grant awards. A brief overview is as follows:

**Pre-Award Processes**

1. The Office of Advancement, with the Office of the Provost and Senior Vice President for Academic Affairs, Office of Financial Affairs, and other offices as appropriate, directs and oversees the preparation of grant proposals. Grant officers in the grants office within the Division of Advancement work to secure major grants to support institutional priorities. Grant officers cultivate and maintain relationships with foundation, corporate, and governmental sources of support. They provide all pre-award support, including assistance with proposal development, review, and submission.

2. The project director/principal investigator for the proposed project discusses proposal plans with his/her department head, school dean/head of administrative division, as appropriate, and grant officers in the grants office well in advance of the proposal deadline. The discussion should include the project’s compatibility with departmental/school priorities and plans, course releases, and program cost-sharing/matching requirements, if any.

3. Once consensus has been reached on the idea, the project director/principal investigator contacts the grant officer to begin a search for potential sources of funding. If one or more sources have already been identified, the project director/principal investigator should discuss those with the grant officer to avoid submission of proposals that conflict with College efforts already underway.
4. The project director/principal investigator drafts the proposal narrative, budget, and other sections of the proposal as appropriate. See the Comprehensive Grants Manual for assistance with the drafting process. The grant officers can assist with editorial and budget support and with required supplementary materials.

5. After a draft has been developed:
   a. Once a draft of the narrative and budget have been written and can provide sufficient details for review, the project director/principal investigator completes the Utica College Grant Proposal Approval Form and the Financial Disclosure Form.
   b. The project director/principal investigator obtains the signatures of the Office of Financial Affairs, the department chair, the school dean/head of administrative division (as appropriate), the vice president for legal affairs and general counsel, the vice president for integrated information technology services, and the provost or his/her designee, in that order. Project directors/principal investigators should allow 7-10 days for processing these signatures. The project director gives the fully signed form to the grant officer at least five business days before the due date of the grant application. If the grants officer is unavailable, the vice president for advancement may sign in his/her stead. If the project includes research and/or testing on human or animal subjects, the project director/principal investigator must contact the College’s Institutional Review Board (IRB) for additional review and approval before submission.
   c. Requirements for matching funds or cost sharing, including in-kind contributions, must be approved in advance and noted on the Utica College Grant Proposal Approval Form by the Office of Financial Affairs, department chair, the school dean/head of administrative division, as appropriate; and the provost or his/her designee before the proposal is submitted.

6. The narrative, budget, and other materials as may be required (CVs, timelines, position descriptions, other) must be sent to the grant officer at least five business days before the due date for the grant application. The grant officer will review the narrative, budget and other information for clarity and completeness, and to ensure consistency with the grant maker’s proposal submission guidelines.

7. Once the grant officer has received the completed Utica College Grant Proposal Approval Form and reviewed all materials, the grant officer will submit the proposal. Proposals will NOT be submitted without a completed approval form. Utica College grant officers are the only individuals authorized to submit grant proposals and grant applications on behalf of the College.

8. To ensure accurate reporting and stewardship of grant awards, Granting Letters and Notices of Award should be forwarded to the grant officer.

_Post-Award Process_

1. Awards documentation:
   The original Granting Letter or Notice of Award should be sent to the grants office. The grants office will forward a copy to the Office of Financial Affairs. Additional copies will be sent to the Office of Academic Affairs or the Office of the President, as applicable. This ensures that the award is acknowledged properly and is assigned an account number, and that the project budget is established in the College’s accounting system. The Division of Advancement retains all awards documentation indefinitely. The Division of Advancement is also responsible for acknowledging all grant awards.

   The provost and senior vice president for academic affairs or the president of the College is the signer for award acceptance when that documentation accompanies a grant award. The vice president for financial affairs and treasurer is the primary signer for a contractual agreement when that accompanies a grant award.
2. Grant funds:

The Office of Financial Affairs establishes a fund for the award in the College’s accounting system. Before the project start date, the project director/principle investigator consults with Financial Affairs to review the project budget and the reporting schedule. The project director/principle investigator draws upon funds from the project account, as needed, to conduct the project.

All costs charged to a grant must be reasonable, must support the project, and be allowable under the terms and conditions of the award, federal cost guidelines, agency-specific policies, and College policies.

a. Allowable expenditures. For government grants, cost standards are established by the Office of Management and Budget. See Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards; Final Rule (2 CFR Chapter I, Chapter II, Part 200, et al.) for guidance. Further guidance can be found in the Comprehensive Grants Manual.

b. Purchasing. Follow the same College policies that apply to any other purchased item or service at the College. Competitive bids or price quotations must be obtained if the cost of goods or services exceeds $5,000. Refer to the College policies on Purchasing and Accounts Payable and Bidding, or contact the Office of Purchasing and Accounts Payable for guidance.

c. Travel related to the grant award. Follow the College policy that applies to Business Travel and Entertainment. Note that if the terms of the grant award differ from the College’s policy, the grant terms and conditions govern. Refer to the policy or consult the Uniform Administrative Requirements, Cost Principles, and Audit Requirements, 2 CFR Part 200 for guidance.

d. Hiring personnel. Follow the policies and guidelines from the Office of Human Resources.

3. Changes to project scope and budget:

The project director/principle investigator may seek changes to the project scope and budget to support the successful implementation of the project. The project director/principle investigator will work with the grants office to contact the granting agency regarding requests for post-award grant alterations. The Project Director/Principle Investigator will retain all documents from the granting agency regarding approval of all variances to the original terms of the award and send a copy to the grants office. The project director/principle investigator will review all changes with the Office of Financial Affairs. Any changes in the project budget affecting the terms of matching or cost-sharing amounts must have the approval of the vice president for financial affairs and treasurer.

4. Reporting requirements:

The Project Director/Principle Investigator prepares and submits timely interim and final project reports to the granting agency according to the terms of the grant award. The Office of Financial Affairs submits timely interim and final financial reports on the project according to the terms of the grant award. Copies of all reports are provided to the grants office. The project director/principle investigator should retain all documentation to support the interim and final reports.

5. Closing out the grant/final reporting:

In advance of the project completion date, the project director/principle investigator will consult with the Office of Financial Affairs to confirm that the terms of the grant award have been/will be met, that all funds have been/will be allocated and spent, and that all documentation related to the project has been/will be completed according to the terms of the award. The project director/principle investigator submits the final project report to the sponsoring agency by the due
date. The Office of Financial Affairs consults with the project director/principle investigator and submits the final financial report to the sponsoring agency by the due date. All final project reports and documentation from the granting agency confirming the close of the project should be forwarded to the grants office. All post-award documentation is retained for a period of at least seven years.

RESPONSIBILITY:

Faculty or staff members/project directors who initiate grant requests are responsible for consulting with their department head, school dean/head of administrative division, as appropriate, and the grants office well in advance of the proposal deadline, and must ensure that the Utica College Grant Proposal Approval Form is completed with all required signatures in advance of the proposal due date.

Department heads, school deans/head of administrative division, as appropriate, and the provost or his/her designee review and discuss proposed applications and associated budget considerations to ensure that the proposal is in accord with academic objectives and College priorities.

The Office of Academic Affairs also oversees the conduct and administration of externally sponsored projects concerning academic activities, such as research or curriculum development, or other projects that may concern an academic program.

The Office of Financial Affairs oversees the accounting for all grant awards. The vice president for financial affairs and treasurer follows standard accounting practices, college policies, and federal regulations when those may apply. He/she approves contracts that may result from grant awards.

Utica College project directors agree to comply with all relevant federal requirements and all terms and conditions of grant awards. As the official recipient of a grant or contract, Utica College is ultimately accountable to the grant maker. The project director is expected to exercise all proper and ethical fiscal management in the conduct of the project.

The Division of Advancement, through the grants office provides assistance with research for funding opportunities and oversees the proposal and budget preparation and grant submission processes for faculty and staff members who seek external funding for their scholarly and professional work. Grant officers also assist the Offices of Financial Affairs and Academic Affairs in monitoring program or project progress and with interim and final project reporting to help ensure that these are completed in a timely way and in keeping with grant maker requirements.

ENFORCEMENT:

Enforcement of Utica College policies is the responsibility of the office or offices listed in the “Resources/Questions” section of each policy. The responsible office will contact the appropriate authority regarding faculty or staff members, students, vendors, or visitors who violate policies.

Utica College acknowledges that College policies may not anticipate every possible issue that may arise. The College therefore reserves the right to make reasonable and relevant decisions regarding the enforcement of this policy. All such decisions must be approved by an officer of the college (i.e. president, provost and senior vice president for academic affairs, vice president for financial affairs, senior vice president for student life and enrollment management, or vice president for legal affairs and general counsel).

RESOURCES/QUESTIONS:

For any questions or additional information, contact the grant officers in the grants office, the Provost or his/her designee, or the Office of Academic Affairs.
Please note that other Utica College policies may apply or be related to this policy. To search for related policies, use the Keyword Search function of the online policy manual.

Laura Casamento, President

Effective Date:
Promulgated:

Last Revised:
Promulgated: