

# **Operational Policy and Procedures for the Office of Grants and Sponsored Projects**

## **Purpose**

The Office of Grants and Sponsored Projects (the Grants Office) is responsible for implementing university policy and regarding grants, contracts and other sponsored projects. Faculty and staff contact this office for information and assistance on applying for grants and administering the resulting programs.

The Grants Office is also responsible for ensuring institutional compliance with government regulations required of all universities receiving state and federal funding.

## **1. Services and Resources**

The Grants Office provides the following services and resources to faculty and staff:

- a. Identifying and circulating grant opportunities that are compiled into departmental Grants Bulletins. Providing the guidelines and application forms to faculty for all state, federal and county-funded grant opportunities.
- b. Preparing and processing of proposals, including the budget, to be submitted to external agencies.
- c. Obtaining the appropriate signatures to approve proposals prior to submission from the department chair, dean and provost.
- d. Obtaining institutional prior approval for proposal submission from the appropriate department chair, director, dean and the provost.
- e. Authorizing and submitting all proposals. All proposals submitted online are uploaded and authorized by the Grants Office.
- f. Providing information on direct costs, indirect costs, fringe benefits and cost-sharing.
- g. Compiling institutional statistics required to meet agency guidelines.
- h. Circulating information on university and federal policies regarding procurement and distribution of equipment; b) protection of human subjects; and c) federal cost principles.
- i. Negotiating of awards and acceptance of grants, contracts and agreements.
- j. Administration and management of grants, contracts and other sponsored agreements.
- k. Providing orientation to faculty and staff when grants or contracts are awarded to explain the terms and conditions of the award and how funds can be expended and disbursed.
- l. Approving all expenditures of grant funds or the transfer of funds to or from grant accounts.
- m. Circulating quarterly financial reports to faculty for review.

- n. Assisting faculty with submission of required reports to funding agencies.
- o. Approving and submitting requests for rebudgeting or reallocation of grant or contract funds.
- p. Receiving and forwarding all proposals that require review to the IRB Chair; providing reports on the status of these proposals to the Committee quarterly; and advising the committee of new OHRP requirements as necessary.

## **2. Proposal Preparation and Submission**

**Proposal Preparation** A proposal is an offer initiated by the University to conduct a program under the direction of the faculty member who is the designated Principal Investigator (PI). In implementing the project, the PI uses the personnel, facilities and equipment of the University.

Proposals are prepared by faculty or staff members in accordance with the agency guidelines. The Grants Office staff prepares the budget for the proposal and ensures that it is adequate for the scope of work, that the proposed costs are allowable, and that the University's fringe benefits and indirect cost rate are calculated appropriately.

Proposals must be consistent with the policies and mission of the University and of the school, department or college in which the project will be implemented. One or more faculty members and/or professional staff may be responsible for the project; they can be from the same unit or from several units within the University.

**Eligibility to Apply** Only a faculty member or a staff member in a full time position may initiate a proposal and accept responsibility for the resulting grant. This person is designated as the Principal Investigator.

**Review and Approval** Faculty seeking external support for sponsored projects coordinate the development and submission of their proposals through the Grants Office.

The Grants Office obtains the appropriate approvals and signatures of the department chair or head, dean and Provost, on the completed proposal. Faculty requesting faculty release time, cost-sharing, in-kind contributions or any other institutional support for the project, must have the approval of his or her department chair, head or dean, before the proposal is submitted.

Review of the proposal by the Institutional Review Board may be required if the project involves the use of human subjects. Either the faculty member or the Grants Office submits the proposal for review. A letter from the IRB Chair approving the proposal is required before the proposal will be submitted.

**Submission** Faculty are required to submit completed proposals to the Grants Office at least **7 working days prior** to the agency deadline. This ensures that there is sufficient time to obtain signatures, upload the proposal electronically and receive confirmation before the deadline.

Proposals are submitted by the Grants Office after the proposal has been approved. If submitted online, the confirmation of receipt is forwarded to the Principal Investigator. Submitted proposals are sent by email to the PI, Co-PIs and all administrators who approved by the proposal.

**Awards of Grants or Contracts** When a proposal is selected for an award, the agency may request additional budgetary or technical information. All additional information provided to the agency is provided through the Grants Office.

Negotiations with funding agencies are conducted by the University Director of Grants and Sponsored Projects with recommendations from the University Provost, Counsel, the Chief Financial Officer and other University administrators.

Contracts, agreements and grants require the signatures of appropriate authorizing officials; these are obtained by the Grants Office. Awards from state, federal and local agencies are made to the University and not to the individual faculty member.

### **3. Managing Awards**

**PI Responsibilities** The PI is responsible for attending the orientation at the Grants Office when the grant or contract is awarded. He or she is required to administer the project in accordance with the terms and conditions of the award; expend funds as directed by the budget; submit payment requests in a timely manner; review monthly financial reports; and manage the activities of all Co-PIs, staff, students, and consultants receiving salary from the grant.

**Establishing Grant Accounts** A restricted account is established for each sponsored project and a grant number will be assigned. The account is used for all financial transactions related to the grant.

**Monitoring and Approval of Expenditures** The Grants Office monitors and approves all expenditures of grant funds for salaries, equipment, consultant fees or any other costs. Purchase orders, expense reports, and personnel forms are submitted to the Grants Office for approval before being signed by the department chair or dean. The request to transfer funds to or from a grant account is approved by the Grants Office. This process prevents the over-expenditure or misallocation of grant funds.

**Managing Subawards** The Grants Office prepares subawards for all partners, including other universities and organizations, that perform services funded by FDU-held grants. The Grants Office is responsible for reviewing and monitoring payments to the subawardees during the grant period.

**Reallocation of Funds** The Grants Office will help faculty if they need to reallocate or rebudget grant funds. For multi-year grants, the Grants Office may prepare budgets for subsequent years of funding.

**Extension of Grants** If an extension in the duration of the award is required, the PI notifies the Grants Office. The Grants Office helps the PI to prepare a request for extension and submits it to the funding agency. The same process applies to any change in the scope of work from the activities described in the proposal.

**Receipt of Agency Funds** Requests for electronic transmittal of funds from the agency are initiated by the Grants Office, reviewed by the PI, and submitted to the Finance Office. Alternatively, invoices to the funding agency are prepared by the Grants Office, approved by Finance and submitted directly to the agency.

**Required Reports** Technical or narrative reports required by the funding agency are prepared by the PI, sent to the Grants Office and forwarded to the funding agency. Financial reports are prepared by the Grants Office with information from and approval of the Finance Office.

**Close Out of Awards** The Grants Office has a three-step process for close-out of awards. The PI is notified of the funds remaining in the grant account and the outstanding reports that are due to the funding agency.

A final accounting of all expenditures is provided by the Finance Office, reviewed and approved by the PI, and submitted by the Grants Office. The Grants Office then closes the grant with the funding agency.

#### **4. Management of the IRB Review Process**

The Grants Office is responsible for supporting the IRB Chair by managing the IRB process.

This responsibility includes updating the webpage and IRB application forms; convening meetings at least quarterly (or more often as necessary for full board review); logging and assigning applications for review and tracking the status of the applications. The Grants Office generates the correspondence to the Principal Investigator from the IRB Chair.

Complete records are maintained for applications received for initial review; Project Directors are notified when continuing IRB review is required for their grants.

The Grants Office also prepares the appointment letters for the IRB committee and IRB Chair on behalf of the Provost.