

ALL-COLLEGE COMMITTEE  
2011-2012  
Westfield State University

To: President Evan Dobbelle  
From: Vanessa Holford Diana, Chair, for the All-College Committee 2011-2012  
Re: ACC #09-170 Grants Policy


9 May 2012

President Dobbelle:

At its May 2, 2012 meeting, the All-College Committee approved the attached Grants Policy (ACC#09-170), which has been vetted by the Academic Policies Committee.

We respectfully submit the attached policy to you for approval.

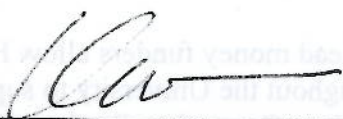
Thank you.



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Signature, University President

5.16.12  
Date



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Signature, All-College Committee Chair

5/10/12  
Date

**GRANTS POLICY**  
**Fall 2011**

**PURPOSE**

To establish policies and procedures for the successful development and submission of proposals for internally and externally funded grants submitted by faculty/librarians and staff; for responsible fiscal management of grant awards; and for the effective administration of grant-funded projects.

**DEFINITIONS**

1. **Principal Investigator (PI):** the primary individual in charge of developing a proposal, developing internal and external budgets, directing the funded grant project, and preparing reports to the funding agency during the grant period (interim) and after (final), the outcomes and financial status of money received.
2. **Funder:** a source of money or resources provided in response to a proposal.
  - a. Public sources: city, state or federal government agencies distributing tax dollars.
  - b. Private sources: foundations established by individuals or corporate donors as tax-exempt charitable entities whose duty it is to provide grants according to clearly defined guidelines.
3. **Proposal:** a request for internal or external funding, and the resulting document, such as a letter or application, and all supporting materials and attachments.
  - a. **Proposal Summary (PROSUM):** an internal document that provides various offices and individuals involved in the grant with information regarding the funding opportunity.
  - b. **Internal Budget:** an internal document that provides financial details of how the grant funds will be spent during the life of award.
  - c. **Conflict of Interest (COI):** a federal form that must be completed with each funding request that insures the PI has no financial gain when receiving money from federal or private funders.
  - d. **Matching Funds:** a form that summarizes the University's cost share or match portion of a proposal (if applicable, usually federal grants only).
4. **External Grant:** funding established by a funding source outside the University that provides opportunities to secure resources through proposals.
5. **Grant Project:** the activities funded by an award.
6. **Indirect Cost (or "Indirects"):** administrative overhead money funders allow PI's to include in their grant budget. These monies are distributed throughout the University to support additional sponsored research and other initiatives at the University. Currently, all private funders will be charged at least 10% indirects on the overall grant amount and public grants will be charged the negotiated federal rate.
7. **Award:** grant funding; the money given by a funder in response to a proposal.
8. **Internal Grant:** a program established by Westfield State University to allocate University resources in support of special projects.



## Office of Grants and Sponsored Programs

### POLICY

1. All grant-seeking activity by faculty, librarians or staff that may have an impact on the business, programs, or reputation of Westfield State University will be conducted within the guidelines established by the Office of Grants and Sponsored Programs (OGSP).
2. The University annually will appoint a Grants Advisory Committee (GAC) composed of four (4) members of the Westfield State University full-time faculty/librarians representing different academic areas, two (2) staff, and one (1) student.
3. The Dean of Faculty and Director of Grants and Sponsored Programs will serve as ex-officio, non-voting members of the GAC.
4. The OGSP will provide information and assistance to all University faculty and staff throughout the grant-seeking and project administration process.
5. Faculty, librarians and staff developing and submitting proposals will provide timely information to the OGSP for the purpose of maintaining, on behalf of the University, accurate records and an archive of submitted proposals and grant awards received.
6. All grant expenditures must comply in every respect with Westfield State University, Commonwealth of Massachusetts, and federal policies, regulations, and laws.
7. Indirect costs will be handled as follows:
  - a. When indirect costs are incorporated as part of a total grant award, they will be distributed as follows:
    - i.  $\frac{1}{4}$  to the PI's Department
    - ii.  $\frac{1}{4}$  to the Overseeing Division or Unit (i.e. Academic Affairs, Student Affairs, President's Office, DGCE, Administration and Finance, or Enrollment Management) this money is to be used for grant related expenses
    - iii.  $\frac{1}{4}$  to Administration and Finance (except when overseeing Division or Unit is already paying equivalent institutional overhead)
    - iv.  $\frac{1}{4}$  to the Office of Grants and Sponsored Programs
  - b. No grant that is written for student financial support, tuition remission, athletic sponsorship and/or capital improvements will be subject to ANY indirect policy.
  - c. Private grants will have a 10 % indirect rate charged to the overall grant budget. However, in cases where private funder allows for higher/lower indirect rates the university will adjust the overall grant budget.

### ROLES

1. Faculty, librarians and staff
  - a. Develop and prepare proposals, internal and external budgets, gather all attachments needed to support the project.
  - b. Secure department authorizations on PROSUM and COI.
  - c. As necessary, seek and establish agreements with project partners that are non-Westfield State University entities (i.e., schools, community agencies, higher education institutions).
  - d. Implement the grant project as Principal Investigator (PI).
  - e. Collaborate with the OGSP to ensure compliance with University policy, terms of the award, and state and federal laws.
  - f. Document grant project outcomes and financials.
  - g. Prepare interim, final, and financial reports to be sent to the funder. OGSP will review and submit for the PI.
  - h. Assist the OGSP in maintaining accurate records of grant-related activities.



## Office of Grants and Sponsored Programs

### 2. Grants Advisory Committee (GAC)

- a. Provides stewardship for those Internal Grant opportunities that are under the auspices of the Office of Grants and Sponsored Programs.
  - i. Members of the GAC are **not** eligible to apply for Internal Grants.
  - ii. Members of the GAC will recuse themselves from the evaluation of applications from members of their academic departments.
- b. Collaborates with Academic Affairs administrators in the development of grant-related policies and procedures.
  - i. Collaborates with grant project oversight committees.
    1. Institutional Review Board (IRB)
    2. Institutional Animal Care and Use Committee (IACUC)
- c. Represents faculty, librarian and staff interests to the OGSP.

### 3. Director of Grants and Sponsored Programs

- a. Provides support to all Faculty, Librarians and Staff in the grant submittal process.
- b. Provides pre- and post-management support for all internal and external grants obtained by Faculty, Librarians and Staff of the University.
- c. Processes all financial requests to finance that have to do with the management of all internal and external grants.
- d. Submits all financial and private narrative (interim and final) reports to external funding sources.
- e. Adheres to all compliance and federal regulations as set up by internal and external funding sources.
- f. Obtains University Authorized Signatures on all grants for submittal.

## PROCEDURES

1. Faculty, librarians and staff initiating a proposal for an externally funded grant will:
  - a. In the *conceptual phase* of grant proposal development, review the potential proposal with the department chair or supervisor and secure proposal sign-off from chair or supervisor.
  - b. In the *initial phase* of grant proposal development, notify the Office of Grants and Sponsored Programs.
  - c. Complete the University's "Grant Application PROSUM, Internal Budget, and Conflict of Interest" form(s). [Attachment A-C]
  - d. Prior to submission of the proposal, confer with all relevant departments regarding aspects of the proposal that may affect operations (i.e., Facilities and Operations, Marketing, Student Affairs).
  - e. Work with the OGSP to ensure, through appropriate clearance with relevant divisions, that the University can provide adequate institutional support for the project including but not limited to the following areas:
    - i. Academic Affairs: instructional release time; instructional media beyond desktop or classroom use; coordination with corresponding initiatives; review by the IRB and IACUC as necessary.
    - ii. Administration and Finance: alterations to facilities or space utilization; hiring of additional personnel; determining indirect costs; financial reporting.
    - iii. Advancement and University Relations: coordination with corresponding initiatives; funder recognition; project publicity.

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- iv. Human Resources: all compensation issues.
  - f. Submit a draft project proposal, including internal and external budget, to the OGSP within a timeframe allowing for adequate consultation prior to the grant proposal deadline.
  - g. Provide a copy of the submitted proposal to the OGSP.
  - h. During administration of a grant project, the office of OGSP will submit all interim reports to the funder in accordance with federal, state mandates, and corporate/private foundations awards and/or the terms of the award.
2. Award letter, award cash or checks and a detailed budget must be submitted to the Office of Grants and Sponsored Programs.
  3. The GAC will meet at least once each semester of every academic year.

### **REVIEW**

This policy will be reviewed annually by the Director of Grants and Sponsored Programs; the Grants Advisory Committee; and the Vice President, Academic Affairs.

