

EXTERNAL GRANT PREPARATION
AND ADMINISTRATION MANUAL

NORTHWEST MISSOURI STATE UNIVERSITY
OFFICE OF THE VICE PRESIDENT FOR
FINANCE AND SUPPORT SERVICES

800 University Drive
Maryville, MO 64468-6001

Controller

E-Mail: Edmonds@NWMissouri.edu
(660) 562-1599

Grants/Risk Management Analyst

E-Mail: NancyBx@NWMissouri.edu
(660) 562-1440

First Printing December 1991
Second Printing August 1996
Third Printing November 1998
Web Posting Spring 2008

PREFACE

Since March 1985, grant activities initiated by faculty, staff members and administrators have steadily increased. Proposal preparation and grants administration procedures have evolved with this increased activity. The purpose of this manual is to summarize these administrative procedures to provide guidance to both the proposal writer and the grant administrator.

The procedures detailed in this manual are intended for use in the submission of proposals for external funding only. Internal proposals (Faculty Research and Applied Research and Projects funded through the Office of the Dean of the Graduate School and Vice President for Finance and Support Services respectively awarded by the Faculty Research Committee, and Culture of Quality funded through the Office of the Provost) are handled according to the particular office's criteria. It is hoped that the practical information in this manual will help both the new and the veteran grant proposal writer to develop fundable proposals. The section on grants administration was developed to help grant principal investigators/project directors to administer their grants in a manner that will accomplish the objectives of the grant and will show the funding agency that the principal investigator/project director and the institution are good stewards of the funds.

The role of external funding to support the University is increasing in importance. Grant funds allow the University to conduct programs instrumental to its constituents which might not otherwise be possible. Faculty, staff and administrators who engage in grantsmanship and research activities bring credibility to the University while deriving personal and professional benefit from the experience. We hope you will find this manual helpful in obtaining and administering grants.

Raymond J. Courter
Vice President for Finance
and Support Services

Dan Edmonds
Controller

Nancy S. Baxter
Grants/Risk Management Analyst

ROLE OF THE FINANCE OFFICE

The Office of the Vice President for Finance and Support Services provides administrative support to faculty, staff and administrators in their grant pursuits. Grant activities allow for professional development for University colleagues providing opportunities for research and/or public service. In turn these activities augment the instructional and service processes of the University.

The Finance Office serves as a central location through which all grants written on behalf of the University are channeled. Three types of service are provided: technical assistance, information management, and skill/knowledge development. Technical assistance is given in the proposal preparation phase, the proposal submission phase, and the project administration phase. Information management includes searching for or identifying potential funding sources, monitoring external events, and communicating that information to the University community. The development of skills and knowledge related to the process of grantsmanship takes place in one-on-one sessions with interested parties, formal events such as workshops, and linkages with individuals whose talents, pooled with the proposal author's, might enhance the proposal's chances of acceptance.

SPECIFIC SERVICES

Technical assistance provided by the Finance Office is outlined below:

- 1. Give assistance in acquiring local funds to match with outside sources.**
- 2. Assist in grant proposal budget preparation.**
- 3. Make certain that University guidelines are adhered to.**
- 4. Assist with acquisition of campus approval signatures prior to submission.**
- 5. Photocopy and mail proposals or assist with electronic submission.**
- 6. Monitor review by funding agencies.**

Guidance in the proper management of successfully funded grants is also provided by the Finance Office as follows:

- 1. Coordinate budget and program negotiations with funding agency.**
- 2. Meet with project director and Controller to discuss funds management.**
- 3. Establish University account(s) from which grant / match funds are spent.**
- 4. Assist project director with funding agency required project reports.**

Information management includes lending assistance in locating possible funding sources as well as monitoring important regulatory and legislative events which may have a significant impact upon both grant-seekers and funding agencies.

The Office of the Vice President for Finance and Support Services also offers assistance in helping faculty, staff and administrators develop their skills and knowledge of grantsmanship. Periodically, the Finance Office sponsors grant writing workshops featuring knowledgeable individuals from the fields of government, business, and philanthropy. In the Finance Office's library of resource materials is a ten part videotape series featuring David Bauer, a nationally known specialist in grant seeking and grant writing, which can be checked out for personal and group viewing by University colleagues. Finally, the Grants/Risk Management Analyst is available for personal consultation on topics related to grant activity.

ROLE OF THE GRANT WRITER

The Grant Writer who reports to the Office of the Provost also provides grant-seeking technical assistance to faculty and staff members as follows:

- 1. Discuss project ideas and help determine their fundability.**
- 2. Assist in locating potential outside funding source(s).**
- 3. Acquire proposal guidelines and discuss proposal preparation.**
- 4. Assist with the writing process.**
- 5. In some cases write institutional proposals.**
- 6. Serve as an internal reviewer providing editing and other insights.**
- 7. Assist in the electronic submission process.**

UNIVERSITY POLICIES AND GUIDELINES

ADMINISTRATIVE REVIEW PROCEDURE

A copy of the "Application for Institutional Approval to Submit Proposal to Off-Campus Agency for Support" form can be found on page 22 of this manual. This form is used to track/monitor the grants submitted to outside agencies. An electronic copy of the form can be obtained from Nancy Baxter. The form provides information about the grant, the agency to which it is being sent, the funding requested, the duration of the grant, type of grant, and anticipated notification date. An applicant must complete this form and obtain the signatures of their department chairperson (or supervisor), college dean (or next level administrator), vocational education authorizing official (if applicable), graduate dean (if applicable), and Provost prior to being reviewed by the Office of the Vice President for Finance and Support Services before the proposal is submitted to an external funding source.

IT IS IMPERATIVE THAT THE APPLICATION (ACCOMPANIED BY A FINISHED COPY OF THE PROPOSAL BUDGET) BE GIVEN TO THE OFFICE OF THE VICE PRESIDENT FOR FINANCE AND SUPPORT SERVICES NO LATER THAN THREE WORKING DAYS BEFORE THE PROPOSAL IS TO BE DELIVERED OR MAILED TO THE FUNDING AGENCY. Meeting the funding agency's deadline is crucial since the proposal will either not be accepted or held for

review at a later date if not received as required. Three working days will give the Finance Office sufficient time to review the proposal and secure the remaining signature on the internal application form.

This requirement has been established because grants are made to the institution, not the individual applicant. Following this procedure will ensure that the appropriate institution officials are made aware of the proposal, and the appropriate authorizing official for the institution will sign the document sent to the funding agency. Also, if matching institutional funds are required, this process will allow for the identification of the source of those funds.

The Finance Office will package and mail the proposal once the review process is completed, if requested.



COMPLIANCE ISSUES

Federal regulations stipulate that institutions applying for federal funds assure the appropriate federal agency that certain conditions and policies are in place at the applicant institution. Federal funding is at risk institution-wide if individuals do not comply with these assurances. Questions regarding the assurance process may be addressed to the Finance Office.

PATENTS AND COPYRIGHTS

Please refer to the Faculty Handbook for an outline of the University policy regarding patents and copyrights. It is extremely important for the grant writer to be mindful of the fact that grant-funded projects may not become personal property.

HUMAN SUBJECTS

The use of human subjects is regulated by legislative mandate (as interpreted by governmental agencies) and University policy. See the Faculty Handbook for an explanation of that policy. The grant writer should confer with the University's Institutional Review Board (IRB) when a grant involves human individuals in its activities. Notation of review by the Institutional Review Board must be completed before the proposal is submitted to the funding agency.

ANIMAL SUBJECTS

Research on animal subjects has become a highly controversial issue in recent years as animal rights activists push to ban animal research all together. Guidelines regarding animal welfare have been developed by the U.S. Public Health Service and the Department of Agriculture. As with human subjects, a research

protocol using vertebrate animals should be reviewed. The appropriate Academic Dean should be consulted and a notation of review completed before the proposal is submitted to the funding agency.

HAZARDOUS WASTE MATERIAL

The University follows Federal Environmental Protection Agency and State Department of Natural Resources guidelines regarding the disposal of hazardous/toxic waste materials. Specific questions regarding the disposal of hazardous/toxic waste materials should be addressed to the Health and Safety Manager who is an informed contact person on this subject.

DRUG FREE WORKPLACE

The Federal government requires all institutions applying for and receiving federal funds to assure that the institution has implemented a policy for a drug free workplace. Such a policy has been established by the Northwest Board of Regents. The University's Office of Human Resources and/or the CARE Committee can be consulted for explanation of that policy.

SCIENTIFIC MISCONDUCT

Any institution that has faculty members applying for research funds, especially through NIH and NSF, must have in place and enforce a policy on scientific misconduct. Contact the Office of the Provost for further information.

EQUAL EMPLOYMENT OPPORTUNITY

Northwest Missouri State University does not discriminate on the basis of race, color, national origin, sex, age, religion, or handicap in admission or access to, or treatment or employment, in its programs and activities. The University has an established Affirmative Action Plan that must be followed by every employee involved in the admitting and/or hiring process. You may obtain a copy of the Affirmative Action Plan from the Office of Human Resources.

UNIVERSITY CONTRIBUTION

University matching fund contributions are decided by the appropriate officials, not the Finance Office. However, the Finance Office acts as a liaison with those officials when necessary. The best place to start is with your department chairperson (or immediate supervisor).

Do not overlook the possibility of securing matching funds from currently established campus sources such as the Culture of Quality, Faculty Research and Applied Research and Project funds. Of course, the goals and objectives of your

project must meet their particular guidelines to qualify for an award from any of these sources.

PROPOSAL DEVELOPMENT



TYPES OF FUNDING

Externally sponsored projects usually fall into one of the three categories listed below.

Contracts: An agreement between the University and a funding agency. Under this agreement, the University agrees to perform specified services (research, instruction or service), following sponsor-specified protocols, carried out on a schedule determined by the sponsoring agency. As a general rule, researcher salaries and expenses have been predetermined before the contract is awarded.

Grants: Funding support given to carry out a project in which the researcher and the funding agency have a common interest. These projects may include applied research, basic research, the development of methodologies that can be replicated elsewhere, demonstration projects, in-service training programs, or support of the arts and humanities. Project duration is usually one to three years.

Fellowships: A sum awarded to support a faculty member while undertaking a highly specific project that lies within the interests of the agency or foundation. The term of the fellowship is typically one summer to one academic year.

PROPOSAL PLANNING AND PREPARATION

As detailed in the section entitled "Role of the Grants Function Within the Finance Office," the Office offers a variety of specific services to assist University colleagues. The Grant Writer is responsible for helping as well. We encourage colleagues seeking assistance to contact the Grant Writer and Finance Office in the early stages of proposal development so that our services can be used effectively in helping to make the proposal more competitive.

IDENTIFYING A FUNDING SOURCE

The Finance Office houses a library of directories and other resources that identify a variety of potential funding sources. (See Appendix for a list of these resource materials.) Resource guides are available in Owens Library. On-line resources are identified in the Appendix along with the list of resource materials. The Finance Office and the Grant Writer welcome the opportunity to assist

colleagues in obtaining proposal guidelines published by the funding agency and will gladly discuss those guidelines with colleagues.

PRELIMINARY CONTACT

Regardless of the agency and the project involved, the investigator must be aware that competition for sponsored research funding is intense. It is essential that proposals be responsive and concise, as well as comprehensive and financially sound.

Once a funding source has been identified, the researcher is encouraged to contact the funding agency to discuss his/her idea with the agency official. Indeed, many agencies are not only encouraging this preliminary contact, but are beginning to require a preliminary proposal. This preliminary contact is important for three reasons:

- 1. It lets the funding agency know who the researcher is and that the researcher is interested in developing a proposal.**
- 2. The officials at the funding agency will be able to determine if an idea is fundable within the agency's guidelines.**
- 3. While agency officials cannot guarantee funding of a proposal, many of them can critique the proposal and suggest improvements.**

The best contact with agency officials is to meet with them to discuss ideas. However, getting to Washington, D.C., from Maryville, Missouri, is expensive and time consuming, unless a researcher happens to be going to Washington. The next best thing is to contact agency officials by telephone. They may not be able to see the person, but they will know that someone actually exists. The least effective alternative is to write to the officials, because the letter writer is not a "real person," just a name, and it is very easy to set letters aside. Use of E-mail is often very effective as a follow-up to a telephone call.

Internal peer review of a draft is strongly recommended and will likely result in a more highly developed proposal. Colleagues who look at your proposal with "fresh eyes" can help you identify areas that might need further clarification. The normal University routing process does not provide the full critical evaluation necessary to "harden" a proposal.

COMPONENTS OF A PROPOSAL

Once the funding source has been identified and a preliminary contact made, the next step is to develop a proposal. Most Federal agencies have specific guidelines in terms of components and page limitations. Be sure to read those

guidelines carefully. However, all proposals have some elements that are the same. The following is a brief outline and description of a general proposal.

Title Page

The title page of a proposal should include:

- * Program Title - description of the primary objects of the program
- * Name and address of institution submitting the proposal
- * Name of potential funding source and/or program number
- * Beginning and ending dates of the program proposed
- * Total budget requested
- * Name, address and signature of authorized personnel approving submission of the proposal

Program Summary/Abstract

This component should clearly, concisely, succinctly and specifically summarize the proposed program, its objectives, program procedures and a brief description of the proposed evaluation methodology. It is the first part of the proposal that is read, but it should be written last.

Table of Contents

The Table of Contents should contain all major headings with page numbers for easy reference. Appendices should be listed individually, but with no page numbers. Be sure that the Table of Contents follows the organizational requirements of the guidelines.

Introduction

In this part of the proposal the writer briefly says something about the institution, a little about its history and past experience relevant to its ability to carry out the program. Some of the things to include in the introduction are:

- How the institution began*
- How long it has been in existence*
- Uniqueness of the organization*
- Significant accomplishments*
- Organizational goals*
- Philanthropic and other support*

Many people use their capability statement or credibility file to develop this component of a proposal. The Finance Office has several examples of introductory

material about the University that can be used in a proposal. Please contact the Finance Office or Grant Writer for further information.

Statement of Problem/Need

In this section, identify what needs to be done and why. Make a logical connection between the organization's background and the problems and needs with which the Project Director proposes to work. Support the existence of the problem by evidence (documentation/statistics as relevant). Define clearly the problems to be addressed. Make sure that activities and resources are reasonable.

Program Objectives

This component outlines the proposed outcomes of the program. Objectives must be clearly stated, in precise measurable terms, and they must be capable of being measured. Make sure that activities are included in the statement of objectives. (Evaluations are predicated on progress toward and accomplishment of the stated objectives.)

Methods/Procedures

This section describes how the objectives will be achieved. The following may be included:

Statement of approach (list activities)

Group activities according to phases, components, or objectives

Identify staff responsibilities

Identify population to be served, their selection and role of program participants/beneficiaries

Include statement of administration, organizational chart and inter/intra-departmental and agency relationship

Evaluation

This component describes the process used to demonstrate whether or not the program meets its objectives. Identify the following:

Information to be maintained and collected for evaluation

Criteria to be utilized in the evaluation

How the information will be utilized

Budget

This component is a line itemization and total cost of the program. Specific aspects of the budget are described under Budget Development below.

Future Funding (Optional)

This is the last major component of the proposal. Funding agencies are interested in knowing what an applicant plans to do when their program grant/contract has ended. It is advisable to present a plan that assures the funding source, to the extent feasible, that the organization will be able to maintain the program after their funds have been utilized. The best plan for future funding is a plan that does not require outside grant/contract support.

Appendix (Optional)

This section should be included as a part of the proposal at the writer's discretion or as allowed under the funding guidelines. It may include any of the following: maps, pictures, tables, charts, letters of support/commitment, copy of tax exempt status, resumes of key personnel, brochures, pamphlets and other background information about the organization.



BUDGET DEVELOPMENT

Most foundations and government agencies require detailed budget information. Often forms with instructions on how to complete them are provided by the agency. It is recommended that budget preparation be completed after the main body of the application is finished. Each item in the budget must be directly linked to the program proposed because reviewers will critique the budget as it realistically relates to the specific aims and procedures to be achieved by the proposed program. All items should be justified on the basis of the approach taken, the methodology employed, and the means of data analysis. The first type of costs to be considered are direct costs, i.e., those costs directly incurred by the grant's activities. These usually fall within distinct categories such as personnel, supplies, equipment, travel, etc. (See sample budget in the Appendix)

Personnel

Salaries and wages should be commensurate with the scale at the institution for individuals of equivalent training, experience and position. Although salaries and wages listed will normally be that which the individual currently receives, it is best to check with the Finance Office to determine whether increases in salary and wage

scales during the next 12-36 months are anticipated. Keep in mind that nearly a year will pass from the time the grant application is submitted until the project start date. In preparing the budget the researcher is expected to build in the amount needed to cover anticipated salary and wage increases.

Fringe Benefits

After salaries and wages have been listed, fringe benefits should be added. Fringe benefits are based upon a percentage of payroll. A letter from the Director of Human Resources describing the breakdown of benefits included in the percentage identified may be required by the funding agency. Among the typical fringe benefits often required are Social Security (FICA), retirement, health insurance, workers' compensation, and unemployment insurance. **Contact the Human Resources for the fringe benefits rate.**

Equipment

Most grant agencies allow for lease or rental, as well as purchase of equipment. Each piece of equipment required should be itemized with a complete description. If leasing the equipment, the lease rate must be provided. Some agencies require a justification for purchasing equipment as opposed to leasing it. This can be done by stating in narrative or columnar form the savings over the period of the grant from purchasing the equipment. Again, the Finance Office will assist you with this aspect of your budget preparation.

Supplies

Items of consumable supplies (those materials to be used and expended in the project) must be itemized by category. These costs must be apparent to the reviewer and directly linked to the need for them in carrying out the program.

Travel

The number of trips involved, the destination, the number of individuals for whom support is requested, and the purpose of the travel should be listed. It is required that the approved per mileage rate be used. Exact costs, if known, for meals, lodging, air/rail/bus transportation and miscellaneous items should be included as a travel expense. Otherwise, estimates based on current information should be used. In some cases, funding agencies will require adherence to specific guidelines for travel expenses.

Other Expenses

This category includes miscellaneous items required by the project but not attributable to other categories. Typically included are such items as reproduction,

illustration, page and reprint costs of publication, computer time, postage, books, etc.

Most granting sources allow for a number of other costs such as those associated with lease of office or laboratory space, third-party or contractual costs, and consulting fees. These costs are also considered direct costs and they require detailed justification. Usually strict guidelines governing claim for these expenses are outlined.

Indirect Cost

The U.S. Department of Health and Human Services defines indirect cost as those costs which are not readily identifiable with a particular project or activity, but nevertheless are burdens of the institution and are necessary to the general operation of the institution and the conduct of its activities. Types of expenses usually considered as indirect costs include those incurred in operation and maintenance of buildings, grounds, and equipment; administrative salaries and expenses; and library costs.

Although not all foundations compensate indirect costs, many do. Those that provide indirect costs usually follow a set rate established by policy of the foundation.

If the granting source is an agency of the Federal government, Northwest has probably already established an indirect cost formula agreed upon through negotiation. However, the U.S. Office of Management and Budget has made final a first set of changes in its research grant cost policy for universities, imposing a 26 percent cap on reimbursement of some administrative costs and clarifying unallowable charges in determining the indirect cost rate. Check with the Finance Office for the indirect cost rate.

INSTITUTIONAL COMMITMENT

Many agencies require evidence of institutional commitment in the form of facilities use, equipment use and/or departmental release time. Institutional commitment is somewhat different from "matching funds" that is sometimes required on equipment grants. "Matching funds" refers to real dollars that the University agrees to expend if an award is made. While evidence of institutional commitment and/or matching funds may be required and the importance of the commitment certainly cannot be underestimated, offers of cost sharing beyond the level required by the agency do not aid in winning an award.

ADDITIONAL SPACE AND FACILITY ALTERATION

If a proposed project will require space or special facilities beyond that available within the existing departmental structure, it is essential that these facts be presented by the researcher and resolved **before the proposal is submitted**. It is recommended that this begin with discussions at the department level and proceed through appropriate supervisors.

WHEN A PROPOSAL FAILS TO RECEIVE FUNDING

Not every proposal is successful the first time. If a proposal is rejected, request a copy of the reviewers' comments and examine them carefully. However, the four major reasons for rejection of proposals have been shown to be:

1. The proposed approach or methodology is unsuited to the stated objective;
2. The problem is seen as trivial, of local interest only, or is unlikely to produce any new or useful information;
3. The investigator does not have - or has not demonstrated - adequate experience and/or training to conduct this research; and
4. The description of the approach is too nebulous, diffuse, and lacking in clarity to permit adequate evaluation.

Obviously, many worthwhile proposals are rejected either because of budget limitations or because they were graded eleventh or twelfth and only ten were funded. Some agencies now have an "approved but not funded" category. The reviewers' comments requested by the researcher will aid in understanding what aspects of the proposal need greater attention for resubmission at a later date. Above all, do not be discouraged. Try again and keep trying. Many grantmaking agencies invite unsuccessful applicants to contact relevant program officials to find out more about why their proposals did not succeed and what they can do to make them better.

PROPOSALS TO PRIVATE FOUNDATIONS

The Finance Office and the Office of University Advancement work together in approaching private foundations for funding of proposals. This is done to assure that a single funding source does not receive multiple proposals from the University that might cause possible confusion on the part of the potential funding source. **Any University colleague wishing to apply to a foundation must contact the Finance Office before attempting to make a contact.**

In researching private foundations, you must determine the funding interests of the foundation. If they fund performing arts programs only and you propose a program of another emphasis, your proposal will not only be turned down but also the impression made by you and the University will be a negative one.

A proposal submitted to a private foundation is usually much shorter in length than one submitted to a public agency. The following is a suggested format for a proposal letter to foundations. As in the case of proposals written and sent to public agencies, it is important to follow the guidelines established by the funding source.

Introduction Paragraph

Introduce yourself. State your reasons for writing. Concentrate on the funding source and their interest or relationship to the need or problem. Use your knowledge of the foundation here.

Why This Funding Source

Include your research on why they should be interested. Do your research better than the competition and show it. Analyze your research and extrapolate from it.

Needs Paragraph

What is the need? Tailor your presentation of the need to the funding source's biases, viewpoint, and values concerning their geographic perspective. The use of one or two well-chosen statistics from your needs assessment or research that hit the funder with impact will help. Be careful, however, too many numbers will only confuse the funding source.

Solutions Paragraph

In three sentences or less, describe your approach to the problem. How will you solve the problem you have outlined in the needs paragraph? How will you close the gap you created? You are concerned with methods, while the funder is more concerned with the results. What will be improved and how much?

Uniqueness Paragraph

Once you have shown the need and outlined your proposed solution, tell the funding source why you are the best choice for "doing the job." State how you are uniquely suited to meet the needs of the clients (or to do research, etc.).

Request for Funds Paragraph

Many grant seekers state the total amount of the proposal, but forget to ask the funding source for the money. They expect the funder to figure out how much they want to give. Ask! Include other donors who have granted you funds for this project or other sources you are approaching. This is especially good if you have divided the grant into small, more fundable parts that you plan to take to several funding sources.

Closing Paragraph

The standard closing refers to your desire to meet with them and/or have them visit you. You may want to use this paragraph to refer informational requests to you, the grant writer, instead of the person signing the letter.

Signature

Generally speaking proposals to private foundations require a different approach. The signature of the University's chief executive officer, the President, is instrumental in persuading the funding source that the proposal comes from the University and is supported by the administration.

Attachments (if allowable)

You may want to include your project plan, time line, pictures, graphs, charts, studies, etc. The attachments will generally be fewer than with public funding sources. Include your tax exemption designation and your IRS number.

The proposal letter should be as short as possible and still tell your story. A goal should be two pages. If the funding source has a suggested format outline, follow it precisely.

PROJECT MANAGEMENT

After a waiting period of six to nine months, you are informed that your grant application has been approved. Now what? The following is a discussion of policies and procedures that a Principal Investigator/Project Director (PI/PD) must follow to ensure successful administration of the grant.

GRANT NEGOTIATION

The first indication that an award is to be made is usually an award letter and/or negotiating call from the grants office of the agency to which the proposal was submitted. The call will be made to the office of the authorizing official (Vice President for Finance and Support Services) or the PI/PD, depending on the agency

involved. When the call is received by the Finance Office, the PI/PD will be informed and included in negotiations. Calls usually involve negotiating the budget. Very often, proposals are not funded at the full amount requested.

When the PI/PD receives the negotiation call, she/he must contact the Finance Office. The Grants/Risk Management Analyst will review the negotiation elements with the PI/PD to determine if:

1. The goals and objectives of the project can be met with the negotiated budget; and
2. There is additional University impact and/or commitment.

The Grants/Risk Management Analyst will also review with the PI/PD the required documentation to be sent back to the agency.

Once the review has been completed, the PI/PD will complete the revised budget and any other documents required by the funding agency. **These revised documents must be reviewed by the Finance Office which will prepare them for mailing, if requested.**

NOTIFICATION OF AWARD

Once the PI/PD has been officially notified of a grant award, he/she must notify the Finance Office immediately. No work on the grant can be done until an account number is assigned and obtained through the Finance Office.

The PI/PD should bring copies of the grant award and all documentation to the Finance Office. A Grants Procedures/Compliance Checklist (see Appendix) will be reviewed with the PI/PD, Controller and Grants/Risk Management Analyst; by dating and initialing each item on the Checklist, evidence that all procedures have been accomplished will be appropriately documented. When an account number is assigned, the Finance Office will notify the PI/PD, Department Chair (or immediate supervisor), and Dean that the award acceptance process is complete.



STARTING UP THE PROJECT

In order to ensure the successful administration of a grant, there are some important steps that must be implemented by the PI/PD as soon as she/he receives an account number.

1. Personnel - If new personnel are to be hired through the grant, or if the PI/PD is to be paid a portion of her/his academic year salary or summer salary from the

grant, then the PI/PD must request initiation of the proper personnel transaction forms through the Department Chair (or immediate supervisor). Do not assume that once an account number has been assigned personnel will automatically be transferred to the grant. Payroll cannot initiate any changes in pay until the proper paperwork has been submitted and approved. The Grants/Risk Management Analyst in the Finance Office welcomes the opportunity to assist with the completion of a Personnel Action Form (PAF).

2. Student Labor - many grants allow student labor. If the PI/PD is hiring a student, she/he must check with the Student Employment Office within Human Resources to see if that student is on workstudy or regular work. Workstudy students cannot be hired to work on Federally-funded grant projects while they are on workstudy. The exception to this rule applies if the student's wages are paid from matching University funds pledged to the grant. Each student labor position must have a job description, be posted for a minimum of three days, and a Student Personnel Action Form (SPAF) completed for each selected student to be hired. Consult with the Coordinator of Student Employment in the Office of Human Resources.
3. Copy Services - If the activities in the grant project include photocopying, the PI/PD should call the Copy Center to discuss initiation of billing on his/her grant account.
4. Postage - If the activities in the grant project include frequent mailings, the PI/PD should call the Associate Budget Officer in the Finance Office to establish a postage line item in her/his account and receive a mail slip template.
5. Telephone Services - If a new telephone is to be installed, or if an installed telephone is to be charged to the grant, then the PI/PD must inform the Telecommunications Office.
6. Computer Network Services – If a new computer is to be installed where there is not data line outlet, the PI/PD must contact the Telecommunications Office for assistance.

EXPENDING FUNDS

The Principal Investigator/Project Director is responsible for ensuring that the expenditure of funds are in accordance with grant guidelines, University regulations, and State laws. Failure to follow rules and regulations could result in the termination of the grant by the funding agency. Below are some general guidelines on travel, purchases and equipment.

1. Travel - travel must be done in accordance with the terms of the grant and with University travel policy. Most Federal grants require a definitive list of travel to be charged to the grant. If the PI/PD wishes to change travel plans, he/she usually

must obtain prior approval from the funding agency. A Faculty Absence Report must be submitted through the Department Chair before the trip is taken. A Monthly Expense Report is filled out and submitted to the Accounting Office for reimbursement after the trip is taken. The Faculty Absence Report form and the Monthly Expense Report form can be obtained from your Department chair.

2. All goods and services other than personnel must be requested on a "purchase requisition" form which is submitted to the Accounting Office. Specific items are then forwarded on to the Purchasing Office for further processing. Most departments have this form on hand; additional copies are available in the Accounting Office. This form also serves as a "petty cash, cash advance, direct expense voucher, and interdepartmental voucher." The Accounting Office or your department secretary will gladly assist you in the preparation of the requisition.

Account custodians have the authority to make purchases under \$3,000 without competitive bids. For information regarding the appropriate procedure for making such purchases, contact the Purchasing Office.

Purchases for printing of any kind must be submitted through the Office of Publications for guidance on following proper specifications and approval of the Director of Publications.

Purchases \$3,000 and above must be pre-encumbered with bidding procedures executed by the Purchasing Office.

3. Equipment - Any item with a value of \$1,000 or greater, life expectancy of a minimum of one year, and is tangible will be assigned a property control number, affixed with a tag, and entered on the property control computer file. This procedure is the responsibility of the Purchasing Office.

Computer hardware and software purchases shall be submitted through the Office of Information Systems for guidance and approval of the Vice President for Information Systems.

4. In-Kind University Resources - These represent University resources to be used in support of the grant which are identified in the grant budget with dollar value. The PI/PD must maintain a record of resources utilized and must provide a report of these uses to the Controller's Office 15 days before the end of the annual budget period in order that these values can be entered into the accounting records of the University. (See example in the Appendix).
5. Indirect Cost – A manual transaction is required to charge the indirect cost to grants in which an allowable rate has been established and funded. The Controller performs this task in cooperation with the PI/PD. In a multi-year grant this should be completed in the month following the end of each 12-month period.

It is the responsibility of the PI/PD to contact the Controller and accomplish this task yearly.

KEEPING RECORDS

The PI/PD should establish a record keeping system for the grant project, and it should be maintained by the PI/PD or Project Secretary. All transactions should be recorded in some manner so that the PI/PD can reconcile her/his records with the monthly budget computer printouts sent out by the Finance Office. If you need help in understanding the budget printouts, call the Associate Budget Officer in the Finance Office for assistance.

MODIFICATION OF GRANT

Sometimes it is necessary to modify a grant either in terms of what is being done or in terms of the budget. Modifications or amendments require prior approval from the funding agency. Each agency varies in what is required so the PI/PD should read the grant award notification and any attached documents carefully for these requirements. Certain types of budget changes may not require prior approval, but changes in key personnel, scope or approach of the project always require prior approval from the funding agency. Proposed changes must be submitted through the Finance Office, and changes should be made no later than 45 days before the end of the grant.

The PI/PD must bring to the attention of the Department and the College any circumstances that may delay satisfactory and timely completion of the project. In addition, it may be helpful to keep the Finance Office conversant with any potential problems.

CLOSE OUT OF GRANT

The PI/PD's responsibility for the administration of his/her grant does not end with the completion of grant activities. All grants will require some type of report to the funding agency at the end of the grant period. The Federal government usually requires end of grant reports within 90 days of the end of the grant. However, the PI/PD should read the award notification carefully for reporting requirements. The PI/PD should especially check to see if there are any interim report requirements.

Two types of reports are generally required: technical and financial. Technical reports are the responsibility of the PI/PD. The report usually requires a summary of the accomplishments, an evaluation of the project, and any problems that have hindered the progress of the project. This report must be written within the time frame stated in the award document. The required number of copies should be sent to the funding agency by the PI/PD. One copy of the technical report should be sent to the Finance Office. If the technical report and financial report are to be

submitted together, the PI/PD must contact the Finance Office to coordinate the reports. Reimbursement checks received from a funding agency should be directed to the Finance Office.

The financial report is the responsibility of the PI/PD but for sizeable grants should be reviewed by the Controller. The PI/PD should keep in mind that it takes approximately one month for internal charges to be entered in the computer, and she/he should make plans accordingly. The PI/PD should **plan to end all expenditures**, except those necessary for ending the **grant at least one month before the end of the grant**. If expenditures must be made within the last 30 days of the grant, the PI/PD must let the Accounting Office know that the purchases must be encumbered before the last day of the grant. **Otherwise these purchases will be disallowed by the University, and the PI/PD could be liable for any expenditures made after the closing date of the grant.**

Once the grant has been closed out and all reports sent in, records must be kept from three to five years, depending on the funding agency. This means that these records must be available to the funding agency if that agency decides to audit the grant. Records will be kept by the PI/PD, the Accounting Office, and the Finance Office.

**NORTHWEST MISSOURI STATE UNIVERSITY
Maryville, MO 64468-6001**

**APPLICATION FOR INSTITUTIONAL APPROVAL TO SUBMIT
PROPOSAL TO OFF-CAMPUS AGENCY FOR SUPPORT**

PROJECT TITLE:

SYNOPSIS:

FUNDING AGENCY:

FUNDING AGENCY ADDRESS:

FEDERAL OR STATE ACT & TITLE:

FUNDS REQUESTED (Attach Budget): Beginning Date _____ & Ending Date _____

| | | | |
|--------------------|-------------------------|---|-----------------|
| Federal: \$ _____ | <i>Explanation of</i> | Project Type: { } Research | { } Traineeship |
| State: \$ _____ | <i>Northwest Match</i> | { } Workshop | { } Equipment |
| Other: \$ _____ | <i>In-Kind</i> \$ _____ | Other _____ | |
| NW Match: \$ _____ | <i>Cash</i> \$ _____ | Requesting Funds for: { } Salaries { } Supplies { } | |
| Travel | | | |
| Total: \$ _____ | <i>Acct. No.</i> _____ | Other _____ | |

Explanation/Comments:

APPLICATION DEADLINE DATE _____ AWARD NOTIFICATION DATE _____

DATE SIGNED

Applicant

Department Chairperson/Administrative Director

Academic Dean/Next Level Supervisor

Graduate Dean (Authorize Graduate Assistantships)

Provost

Vice President for Finance

AR - 7/05

Grant Resource Information

On-Line Services

The National Science Foundation's electronic news service – **MyNSF** (formerly NSF Custom News Service) – is updated daily. It provides announcements of grant opportunities and NSF program news. It is free. To subscribe: go to www.nsf.gov, scroll down to the bottom of the page and enter your e-mail address in the block on the left hand side under MyNSF. E-mail messages are sent on a daily basis weekdays.

Grants.gov allows individuals/organizations to electronically find and apply for competitive grant opportunities from all Federal grant-making agencies. Grants.gov is THE single access point for over 900 grant programs offered by the 26 Federal grant-making agencies. To subscribe: go to www.grants.gov, scroll down to about the middle of the page and enter your e-mail address in the block on the right hand side. This service allows you to customize the announcements you receive by identifying which agencies and what type of grants you are interested in. E-mail message are sent on a daily basis weekdays conforming to your customized selection of agencies and programs.

GPO Access contains recent Federal bills and laws, US Code, Congressional Record, congressional reports, Federal Register, GAO Reports, Economic Indicators and Congressional Directory. The Federal Register lists all grant announcements of Federal agencies. Go to www.gpoaccess.gov. Locate Executive Resources in the center of the page and click on the Federal Register. (Note: generally the announcements are made no more than 45 days before the due date deadline.)

General information about the U.S. Department of Education grants can be received by subscribing to **EDInfo**. To subscribe: send an e-mail message to listserv@listserv.ed.gov. Then write EDInfo in the subject line and SUBSCRIBE EDINFO YOURFIRSTNAME YOURLASTNAME in the message area, (if you have a signature block, turn it off) and then send the message.

eSchool News is a website focused on K-12 education announcements, resources and funding opportunities. For faculty who involved in teacher education, this is a valuable resource. To subscribe: go to eschoolnews.com and click on the Register section in the upper left hand corner of the web page.

Many academic disciplines are affiliated with national organizations that have listservs and/or websites where funding opportunities might be presented in various fields of study and research. Individual faculty should explore such possibilities with these associations.

Hard Copy Resources

Owens Library has in its Resources section hard copies of several directories listing private funding sources. The Foundation Center's Foundation Directory is in this collection and can be found by going to the following web address:

<http://www.google.com/u/Owens?hq=inurl%3Awww.nwmissouri.edu%2Flibrary%2F&hl=en&lr=&ie=ISO-8859-1&q=Foundation+Directory&btnG=Search>.

Directories and Other Grant Resources Located in the Finance Office

The V.P. for Finance and Support Services Office has a number of directories in its collection. These can be checked out for a two-week period by contacting Nancy Baxter in the Administration Building Room 117, extension 1440. Below is a list of the resources contained in this collection:

CURRENT RESOURCES:

750 Web Sites for Grant Seekers – 1st Edition 2005 (2 copies)
Annual Register of Grant Support – 33rd Edition 2000
Catalog of Federal Domestic Assistance – 2001
Directory of Building and Equipment Grants – 2004
Directory of Missouri Grantmakers – 6th Edition 2004
Directory of Missouri Grantmakers – 5th Edition 2003
Directory of Operating Grants – 6th Edition 2001
Director of Program Grants – 2nd Edition 2002 (2 copies)
The Foundation Directory – 27th Edition 2005
The Foundation Directory 2005 Edition Supplement
The Foundation Directory Part II – 2005
The Foundation Grants Index - 29th Edition 2001
National Directory of Corporate Giving – 10th Edition 2004
NSF Grant Policy Manual – on-line
NSF Guide to Programs – on-line

OTHER RESOURCES:

Corporate Foundation Profiles – 8th Edition 1994
Corporate Funders Operating in Missouri – 3rd Edition 1996
Directory of Computer & High Technology Grants – 1996 (2 copies)
The Directory of Greater Kansas City Foundations – 1986
Directory of Japanese Giving – 1991
Directory of Missouri Foundations – 1st Edition 1985
Environmental Grantmaking Foundations – 1998
The Federal Educational & Scholarship Funding Guide
Federal Grants Management Handbook – Volume 1 & 2
Foundation Fundamentals – 1986
Grants for School Technology – 2nd Edition 1998
Grantsmanship Training Program Manual
The Grantseeker's Answerbook – 1999
Guide to Federal Funding for Education – Vol. 1 1987
Guide to Federal Funding for Education – Vol. 2 1987
Guide to Funding for International & Foreign Programs – 1992

Handicapped Funding Directory – 7th Edition – 1990
The “How To” Grants Manual by David Bauer – 5th Edition 1988 and 4th Edition 1984
How to Write Successful Foundation Presentations – 1984
Making the Grant Process Work
Models for Success: A Look at Grant-Winning Proposals
Money for International Exchange in the Arts – 1992
National Data Book – 10th Edition – 1986
National Data Book Index – 10th Edition – 1986
The National Directory of Internships – 1994-95
National Guide to Foundation Funding in Higher Education
Writing Winning Proposals – CASE Publication – 1987

VIDEOTAPES:

Foundation: The People and the Money
Winning Grants Videotape Series by David Bauer (10 Tapes)

Grant Writing Assistance

Nancy Baxter assists faculty and staff grant writers with budget development, grant management and compliance issues. She also serves as the administrator for verification of electronic grant submissions.

Raymond Courter is the authorized representative of the University in the submission of grants to outside agencies. All grants requiring a signature of a University executive are signed by Mr. Courter.

GRANTS PROCEDURES/COMPLIANCE CHECKLIST

Project Title _____

Principal Investigator/Project Director _____

Duration of Program _____

University Account Number _____ Amount of Award \$ _____

Below are the procedures to be followed for every new grant award acquired by Northwest colleagues. For each item, please initial and fill in the date completed.

DATE/INITIALS

PROCEDURE COMPLETED

- ____/____ Sent copy of grant proposal to Finance Office.
- ____/____ Obtained signature of authorizing official (VP for Finance & Support Services) on approval form or acceptance document and sent copy to Finance Office.
- ____/____ Gave a copy of the award notice to the Finance Office.
- ____/____ Met with Controller and Grants/Risk Management Analyst to discuss grant award, including: (1) budget negotiation with agency (if applicable); (2) process for obtaining reimbursements; (3) in-kind or matching funds identification and documentation; and (4) space allocation approval.
- ____/____ Forwarded a copy of the program budget to the Finance Office.
- ____/____ As Project Director, I certify my understanding of the following compliance issues:
- Budget established in compliance with funding agency guidelines.
 - Adherence to the University's Affirmative Action Policy.
 - Requirement to inform the campus Human Subjects and Animal Welfare Committees of procedures being followed when working with people and animals in the course of the project.
 - Compliance with Drug-Free Workplace Policy.
 - Prohibition on lobbying using federal funds.

COMPLETE FORM – SEND A COPY TO THE FINANCE OFFICE

SAMPLE BUDGET

| | | Year 1 | Year 2 | Total |
|--|--------------------------|---------|--------|---------|
| A. Senior Personnel | | | | |
| 1. John Jones, Principal Investigator | 2 sum mo+1 mo. AY (Yr 1) | 13,954 | 10,868 | 24,822 |
| 2. Robert Smith, Co-PI | 2 sum mo+1 mo ay (Yr 1) | 14,376 | 11,298 | 25,674 |
| 3. William Mitchell, Co-PI | 1 mo. academic year | | 3,300 | 3,300 |
| 4. James Thomas, Co-PI | 1 mo. academic year | | 3,300 | 3,300 |
| Sub-total | | 28,330 | 28,766 | 57,096 |
| B. Other Personnel | | | | |
| 1. Undergraduate Researchers (2) @ \$6.15/hr | 2 summer months | 3,936 | 3,936 | 7,872 |
| C. Fringe Benefits | | | | |
| 1. Adjunct Replacing Senior Personnel AY @ 7.65% | | 505 | 505 | 1,010 |
| 2. Senior Personnel Sum. @ 22% | | 5,650 | 5,763 | 11,413 |
| 3. Undergraduate Researchers @ 7.65% | | 301 | 301 | 602 |
| Sub-total | | 6,456 | 6,569 | 13,025 |
| Total Personnel & Fringe Benefits | | 38,722 | 39,271 | 77,993 |
| 1. Microscope | | 60,000 | 0 | 60,000 |
| 2. Lamp for photolysis | | 7,300 | 0 | 7,300 |
| 3. Sonicator | | 5,200 | 0 | 5,200 |
| Sub-total | | 72,500 | 0 | 72,500 |
| E. Travel | | | | |
| 1. Travel for invited speakers | | 4,000 | 4,000 | 8,000 |
| 2. Travel to conduct outreach education | | 500 | 500 | 1,000 |
| Sub-total | | 4,500 | 4,500 | 9,000 |
| F. Participant Support | | 0 | 0 | 0 |
| G. Other Direct Costs | | | | |
| 1. Materials and Supplies | | 29,700 | 5,000 | 34,700 |
| 2. Publication Costs/Documentation/Distribution | | 0 | 0 | 0 |
| 3. Consultant Services | | 3,000 | 3,000 | 6,000 |
| 4. Computer Services | | 0 | 0 | 0 |
| 5. Subcontracts | | 0 | 0 | 0 |
| 6. Other | | 0 | 0 | 0 |
| Sub-total | | 32,700 | 8,000 | 40,700 |
| H. Total Direct Costs | | 148,422 | 51,771 | 200,193 |
| I. Indirect Costs (negotiated rate 49%) | | 72,727 | 25,368 | 98,095 |
| GRAND TOTAL | | 221,148 | 77,139 | 298,288 |

SAMPLE IN-KIND RESOURCES REPORT

XYZ PROJECT
IN-KIND COSTS
JULY 1, 2007 THROUGH JUNE 30, 2008

Advisory Committee Meeting – Fourth quarterly meeting held at Northwest Missouri State University on Monday, June 23, 2008

In-Kind Contribution of Stipend for 5 members @ \$100 per day = \$500.00

Space Provided In-Kind for July 1, 2007 through June 30, 2008

500 sq.ft. @ \$15 per sq.ft. = \$7,500

Copying Provided In-Kind

October 1, 2007 – 300 copies @ \$.03/page = \$9.00

January 7, 2008 – 300 copies @ \$.03/page = \$9.00

April 7, 2008 – 300 copies @ \$.03/page = \$9.00

June 30, 2008 – 600 copies @ \$.03/page = \$18.00

Total = \$45.00

Telephone Service In-Kind

Ext. 1440 unit cost @ \$24.38/month x 12 months = \$292.56

Grand Total In-Kind \$8,337.56