

STOCKTON UNIVERSITY



PROCEDURE

Institutional Grant Application and Management

Procedure Administrator: Director of Grants Development

Authority:

Effective Date: June 1, 1982; January 10, 1990; August 25, 2010

Index Cross-References: Policy I-98: Grant Applications and Management

Procedure File Number: 1090

Approved By: Dr. Herman J. Saatkamp, Jr., President

I. PURPOSE:

To establish the basic ground rules concerning all grant applications.

II. POLICY: In accordance with Policy 1-98,

- A. All Final Applications to external funding sources (whether governmental agencies, endowments, private or corporate foundations) requesting financial assistance in the form of grants, or contracted support, require Advance written approval from the Office of the President.
- B. All Preliminary Applications to external funding sources, though not requiring formal advance approval from the Office of the President, must, nevertheless, be fully coordinated in advance through the University's Grants Office.

III. PROCEDURE:

- A. Initial Consultation at the Budget Unit Level. At the outset of the proposal planning process, prospective project directors should consult with and obtain preliminary informal approval for the proposed grant or contract project from their respective budget unit supervisor (e.g. Chairperson, Dean, Director).
- B. Preliminary Planning. Upon obtaining informal budget unit authorization to develop the project, prospective project directors should consult and gain, assistance in the preparation of grant application materials from the Grants Office.
- C. Internal Approval Form and Formal Application
 - 1. All formal (final) applications require advance approval from the President prior to their submission to external funding sources.

- a. To ensure full internal coordination of the proposed project, prospective project directors must submit the following: (1) a completed copy of the University's Transmittal and Approval form, (2) a Summary or Abstract of the proposed project, and (3) a final budget. Along with these documents, include a complete copy of the application/funding guidelines established by the external funding source. Copies of the internal Transmittal and Approval form can be obtained from the Grants Office.
- b. These materials must be reviewed and approved by the respective budget unit supervisor (Dean, Director), the Grants Office Director and Financial Analyst, the Associate Vice President of Academic Affairs/Budget, the grants financial analyst in Administration and Finance, the Vice President for Administration and Finance and the Provost.

Each staff member reviews the proposal and/or budget based on the responsibilities and perspectives represented by their respective office.

A completely signed application packet must be filed with the University's Grants Office prior to the application deadline for the project.

When a grant application requires a match from the institution, every effort should be made to identify the source of funding for the match prior to submission of the proposal. However, if the funding of the match cannot be quickly and easily determined, the proposal may be sent to the funding agency with the match - question left unresolved. It should be understood, however, that the University reserves the right to decline acceptance of any grant award if matching funds are not allocated by the University to meet grant matching fund requirements.

- c. Upon review by the Grants Office, the materials will be forwarded for approval to the Vice President for Administration and Finance.
- d. Following authorization of the internal Transmittal and Approval form and signing of the project application, all project materials will be returned to the Grants Office for copying and transmittal to the external funding source. The Grants Office will provide copies of these materials to the project director, when necessary.

- e. If an award is made, the Grants Office must be notified so that the terms and conditions of the award can be reviewed. If acceptable to the project director and the budget unit manager, especially when dedicating matching funds, the appropriate signatures are requested by the Grants Office. An award must be accepted by an Authorizing Official of the University before the grant funds can become accessible.
- f. Once the award documents are fully executed, the Grants Office initiates the set-up of the budget and monitoring systems for whatever compliance issues are involved. The project director fulfills the obligations of the award requirements, under the guidance of the budget unit manager, the Grants Office and Administration and Finance.

D. Project Award and Reports

Administration support, including required financial reports, will be provided by the Office of Administration and Finance, to ensure that project funds are expended effectively and reported spent for their designated purpose. All project funds, irrespective of source, are subject to the same explicit fiscal and administrative policies and procedures.

E. Interim Reports and final Project Evaluations:

Interim reports and final evaluations concerning the grant project are the responsibility of project directors and their unit supervisor and should be filed with the Grants Office. These will be used to ensure that institutional obligations are being met and assist in determining whether continuing institutional support for future projects should be provided.

Approval History:

	Date
President	8/25/10