1. **POLICY STATEMENT**

This policy addresses the pre- and post-award management of grants and establishes appropriate controls and guidelines for: (1) solicitation of grants; (2) development and approval of grant project ideas; (3) development and review of grant proposals prior to submission; (4) submission of grant proposals/applications; and (5) management of grant awards.

2. **GRANT POLICY SUMMARY**

Grants are an integral part of improving the strength and quality of Pfeiffer University by funding projects that allow the University to meet its mission through innovative programming in support of institutional, faculty and community needs. A grant is a legal contract for an approved project and, as such, the University is ultimately responsible for proper stewardship of grant funds, meeting grant project deliverables and timelines, and fulfilling all funding agency requirements, therefore requiring appropriate controls and guidelines. As well, the University's accrediting body, Southern Association of Colleges and Schools Commission on Colleges **(**SACSCOC), and external auditors require that grants processes and controls are in place to assure proper stewardship of grant funds.

Grants policy, supported by defined procedures, will help the University to maintain an accurate record of all submitted, pending, declined, and awarded applications/proposals. This will create a record of granting history and also allow the University to pursue grants from a variety of grant-making entities while avoiding mishaps such as multiple applications submitted to the same funding source or submitting a proposal that does not support the University's mission and/or Enterprise Strategy. It is the University's goal to ensure that a collaborative and supportive grants culture is developed and maintained, which encourages grantsmanship through a proactive, team-based approach.

As such, the objectives of this grants policy are to:

- Align all grant seeking with Pfeiffer University's mission, strategic plan, departmental operational plans, and other identified priorities of the institution;
- Establish processes that support a healthy and collaborative grants culture;
- Identify roles and responsibilities of faculty, administrators, staff, and the Office of Institutional Advancement in the grants process;
- Ensure that institutional and departmental needs are integrated into the overall grant-seeking efforts of faculty and staff;
- Safeguard that institutional capacity and infrastructure can support identified projects, including commitment of in-kind or cash match funds;
- Provide quality resources, services, support, and training to faculty and staff interested in engaging in granting activity;
- Comply with applicable state and federal laws as well as specific regulations, guidelines and requirements of grant-making entities.

3. **APPLICABILITY OF THE POLICY**

This policy applies to all full- and part-time employees of Pfeiffer University and its branch campuses.

4. DEFINITION OF A GRANT

A grant is a sum of money awarded by a grant-making entity (foundation, corporation, government) to the University for a specific purpose (research, program, capital, endowment) based on approved and documented deliverables to be completed and reported on within a specified period of time. A grant award typically involves an award letter and/or an executed contract or agreement.

Grants are non-repayable, typically short-term (1-5 years) sources of funds that support projects that are often, but not always, sustained by the institution after grant funds end. Grants typically do not fund shortfall or single need in personnel (I need an assistant), equipment (I need a microscope), or supplies (I need resources for my class) but more often support: (1) new or expanded projects that meet an identified and documented need in the community at-large (low graduation rates, lack of curriculum/training to address a workforce shortage issue, low literacy skills, lack of volunteers, etc.) or (2) specific research interests of faculty across the institution.

Grant funds awarded for a specific project or program are referred to as restricted funds whereas grant funds awarded for use at the University's discretion are unrestricted funds.

5. GRANTS AT PFEIFFER UNIVERSITY

There are myriad reasons why grants are pursued in higher education. To simplify the process, Pfeiffer University delineates two general categories of grant projects: (1) research grants and (2) non-research grants. All grant projects, both research and non-research, must comply with applicable University policies and procedures (please refer to Page 8 of this policy for a schematic of the grants development and management pathway at Pfeiffer University).

Faculty often have research and scholarly interests that extend beyond the scope of the institution's mission and strategic plan. As a teaching university, Pfeiffer supports faculty in the pursuit of scholarship that informs teaching excellence and is open to conversation on blending individual interests with institutional mission. Scholarly and/or creative activity is an indicator of the intellectual vitality and activity of faculty which contributes to a contemporary and dynamic academic program and, ultimately, should lead to an improved academic community. All faculty members at Pfeiffer are involved in some level of scholarly or creative activity; the university is re-examining what portion of faculty evaluation may be aligned with these activities. Some activities may directly involve students, enhancing their educational experience, as well as stimulating the intellectual lives of faculty members and students alike. The University encourages faculty to seek external funding in support of their specific and unique academic interests as it informs teaching excellence.

6. OFFICE OF INSTITUTIONAL ADVANCEMENT

The Office of Institutional Advancement, in close collaboration with the Provost, seeks to facilitate and aid in management of the grants process at Pfeiffer University. Its overarching role is to provide assistance and support to faculty and staff in securing external funding from a variety of funding sources.

Using a team-based approach, the Office of Institutional Advancement and Project Directors/Principal Investigators are encouraged to work together from pre-award to post-award, assuring the University submits competitive proposals for both research and non-research grant projects that are, upon award, properly stewarded through project completion.

When developing a project idea, writing a proposal or implementing a grant-funded project, often questions arise about processes, procedures, best-practices, and/or how to locate institutional information needed to prepare a proposal, budget or report. All pre- and post-award questions can be directed to the Grant Writer in the Office of Institutional Advancement.

7. IDENTIFICATION OF GRANT PROJECTS

Planned grant-seeking often contributes to the development of more competitive grant proposals that may yield a higher rate of funding. Therefore, the University will engage in a planned grant-seeking process to guide its granting activity and aspire to produce the best possible results.

Identification of non-research grant projects is driven by the University's mission and strategic planning process and is informed by goals outlined in the Enterprise Strategy, key initiatives of departmental operational plans, other formal assessments completed outside of the strategic planning process, as well as individual and group interests or expertise of faculty and staff. It is the responsibility of the Office of Institutional Advancement to seek funding opportunities for non-research grant projects with support of Project Directors. To assure alignment of granting activity with strategic priorities, the University will maintain a multi-disciplinary Prospect Management Team, which includes the Office of Institutional Advancement, Athletics, and other faculty and staff as deemed appropriate.

Identification of research grant projects is driven by individual faculty research interests. It is the responsibility of faculty to seek funding opportunities for research grant projects with support of the Office of Institutional Advancement, as needed. The Provost will inform the Prospect Management Team of faculty interests and pursuit of grant opportunities in support of research.

8. ROLES & RESPONSIBILITIES

A. Prospect Management Team

- Foster a proactive, planned approach through collaborative grant seeking and proposal development.
- Collaborate across disciplines and departments to encourage, assess and prioritize granting needs.
- Facilitate reciprocal communication and coordination between the Grants Committee and departments on current, pending and future granting activity of the institution.
- Assure that cultivation of relationships with funders and proposals submissions are well-coordinated and not duplicative.
- Maintain and share an annual grants calendar for the institution, which identifies grants to be pursued.
- Advise on policies and matters related to faculty participation in grants development and administration as an activity or extended role of job responsibilities.
- Suggest composition of Project Development Teams from an institutional perspective.

B. Office of Institutional Advancement

- Pre-Award Phase: Provide assistance with grant seeking, interpreting Requests for Proposals (RFPs), cultivating relationships with external grant-making entities, developing project ideas, planning and designing projects, building community partnerships, proposal development and review, budget development and review, and proposal submissions; Prepare and/or facilitate securing the President's signature on all Letters of Support, Letters of Intent, cover letters, and grant proposals.

- Post-Award Phase: Provide assistance with contract negotiations, securing reviewer comments, facilitating site visits, grant and project management, budget amendments, no-cost extensions and other contractual changes, compliance, and progress/financial reporting.
- Document all pre- and post-award granting activity (foundation & corporate only) in The Raiser's Edge, the University's customer relationship management (CRM) software; maintain a log of federal and state granting activity.
- Plan and/or conduct training and provide resources on pre- and post-award functions.
- Plan to maintain a grants webpage to provide resources, forms, templates, links to grant-making entities, training materials, and highlights of grant-funded projects.

Note: It is important that the Office of Institutional Advancement and Project Directors/Principal Investigators work together to maintain a current record of granting activity as a key part of the planned grant-seeking process. The Raiser's Edge is utilized by the University to document and track granting activity and to generate accurate, up-to-date reports.

C. **Project Directors/Principal Investigators**

- Pre-Award Phase: Develop and submit project ideas for review and approval; assist with grant seeking, project planning, proposal/budget development, building community partnerships, and communicating all granting activity to the Office of Institutional Advancement.
- Post-Award Phase: Submit grant notices and other documentation to the Office of Institutional Advancement; comply with funder requirements as stated in the contract, agreement or award letter; collect and track data in support of project evaluation and reporting; inform the Office of Institutional Advancement of changes in scope of work, staff, evaluation or budget; track grant expenditures in compliance with the institution's procedures for receiving grants/gifts; help build and maintain positive relationships with grant-making entities; ensure proper, ethical protocols for human and animal subjects research, including assurances, mechanisms of consent, and other relevant documentation stated and approved by the University's Internal Review Board (IRB).

D. **Other Supporting Departments & Offices**

Developing competitive proposals and proper stewardship of grant awards require the knowledge and expertise of a variety of personnel within the University. As such, during the pre-award and post-award phases of grants development and management, it is imperative that the team-based approach extends across campus. Developing or managing a grant project often involves the assistance of the Business Office, Institutional Research, Facilities, Human Resources, Information Technology, Communications, and more. The Office of Institutional Advancement, Project Directors/Principal Investigators and supporting offices are required to collaborate, as needed, to assure proper stewardship of all grant funds.

9. **PROCESSES AND PROCEDURES**

Please refer to Page 8 of this policy for a schematic of the grants development and management pathway at Pfeiffer University.

A. **Proposal Approval Process**

Non-research grant project ideas must go through an approval process. Project ideas must be approved by at least one Executive Level leader, depending on the nature of the project. The Provost must approve all

matters related to academic programs and/or curricula. To start the process, project ideas are submitted to the appropriate department head on the University's Grant Interest e-Form located on the grants webpage. Upon approval, the project idea is shared with the Grants Committee and added to the University's annual grants calendar. In coordination with the Office of Institutional Advancement, faculty and staff may then proceed with the development of a grant proposal. A Project Development Team may be recommended in an effort to share expertise and ideas across programs or disciplines to enhance the proposal development process.

NOTE: The approval process applies to any grant request of $750 or more; grant requests under $750 to funders other than foundations or corporations (for example, NC Campus Compact) can be submitted without approval but must be reported to the Office of Institutional Advancement upon submission.

If more than one project idea is presented and suitable for a given grant-making entity but the funder will only accept a single application or a limited number of applications per institution in a given funding cycle, the project idea(s) most closely aligned with the University's priorities and time table will be approved for development and submission. Approval will take place in consultation with the University President, as needed. If appropriate, it may be recommended that two competing project ideas are merged into one proposal for submission to a funder.

It is recognized that other unplanned grant opportunities outside of the annual grants calendar can arise and should be considered as part of the planned grant-seeking process. Funding opportunities or project ideas that are in alignment with strategic priorities and are not identified on the University's grants calendar for a given year can be submitted on the Grant Interest e-Form to the appropriate department head.

Research grant project ideas must go through a notification process. Faculty interested in engaging in grant-funded research are required to inform the Provost before the proposal development and submission process begin to assure that no aspect of the project idea requires approval of the Provost or President (for example, a project that is expected to be sustained by the University beyond the grant period, creation of a new center or institute, etc.). Upon agreement to pursue external funding, faculty must inform the Office of Institutional Advancement so that a current and accurate grant listing is maintained and information is entered into The Raiser's Edge or other databases.

B. **Proposal Development Process**

While working in close collaboration with the appropriate department head and/or Provost, the Project Managers/Principal Investigators for non-research grant projects will collaborate with the Office of Institutional Advancement to develop approved grant proposals. The synergy of content expertise and grants expertise will help to assure the development of strong, successful proposals. If needed, the Grants Committee will recommend faculty/staff to serve on a Project Development Team.

Faculty developing research grant projects are encouraged to work with the Office of Institutional Advancement as deemed appropriate.

C. **Proposal Submission Process**

For non-research grant projects, once a formal proposal has been prepared, the completed written application or a copy of an online proposal, including the project budget and all required supporting

documentation, will be provided by the Project Manager/Principal Investigator to the Office of Institutional Advancement for obtainment of authorizations and signatures of the University President or designated representative. The Grant Writer will coordinate the proposal submission with the Project Manager/Principal Investigator, Special Assistant to the President, Provost and/or appropriate department head, as deemed appropriate.

The Office of Institutional Advancement is the designated institutional representative for all electronic/Internet-based proposal submissions. The Grant Writer is the University's designated Authorized Organization Representative (AOR) for grants.gov and NSF FastLane and, as such, is the official authorized to submit federal grants on behalf of the institution (in coordination with the PI).
Faculty submitting research grants will check with the Office of Institutional Advancement prior to the submission deadline to determine how the submission will take place. A final copy of the proposal and budget must be shared with the Office of Institutional Advancement upon submission.

D. Communications with Grant-Making Entities

While the application is under review for funding, the Office of Institutional Advancement will coordinate communications with the grant-making entity. Upon receipt of a grant award (or award declination) any notifications and/or documents sent directly to a Project Manager/Principal Investigator must be transmitted to the Office of Institutional Advancement for processing based on institutional procedures.

E. In-Kind/Cash Match Funds and Indirect Costs

The University President, designated representative and/or Proposal Development Team must approve all institutional commitments of in-kind and/or cash match funds dedicated to a grant-funded project (research or non-research). Approval for institutional match funds must occur prior to submission of a proposal and will be facilitated through the Office of Institutional Advancement and the Provost's Office.

Pfeiffer University does not currently have a federally-negotiated indirect cost rate and is exploring the best approach to resourcing this need. Project Managers/Principal Investigators will coordinate with the Office of Institutional Advancement on any grant opportunity that allows indirect costs to determine the best approach for securing these funds.

F. Grant Contracts and Expenditures

Upon notification of a grant award, Project Managers/Principal Investigators for both research and non-research grant projects must work with the Office of Institutional Advancement and the Business Office to negotiate a grant award. Due to the inherent risks associated with any contract or agreement and its potential impact on the institution, only the University President or designated representative are authorized to sign a grant contract or agreement with an external funder.

Proper stewardship of grant funds, as per the agreement with the grant-funding entity, is critical to project success and the receipt of future awards from current or prospective funders. Upon receipt of a grant award, a check for the new restricted grant is received and will be processed in compliance with institutional procedures. The Business Office will establish all required budget codes and authorizations.

Budget amendments must be reported to the Office of Institutional Advancement for processing and approval by the funder <u>prior</u> to making unauthorized expenditures (doing so could result in a non-allowable expenditure that becomes the University's fiscal responsibility).

To meet funder requirements, the Business Office can produce financial reports as requested by the Project Manager/Principal Investigator or the Office of Institutional Advancement.

G. <u>Grant Project Reporting</u>

Proper stewardship of funds also includes timely and complete submission of all interim and final progress and financial reports as required by the grant-funding entity and based on approved project deliverables. Reporting requirements are typically outlined in the contract or agreement between the funder and awardee. Completing and submitting reports in compliance with the funding agency guidelines and deadlines are the responsibility of the Project Managers/Principal Investigators unless expressly noted otherwise in the contract. To assure that required project data/information is collected from the onset of the project and is available by report deadlines, Project Managers/Principal Investigators must be cognizant of reporting requirements <u>prior</u> to commencement of the grant project. The Office of Institutional Advancement can assist with: (1) report preparation as needed and requested by the Project Managers/Principal Investigators and (2) inquiries concerning progress on project deliverables as requested by the funding agency or applicable advisory boards, including the University Board of Trustees.

Although strongly discouraged, any report that will be delayed to the funder or that will not meet funder requirements in some capacity must be reported to the Office of Institutional Advancement <u>prior</u> to the report deadline. The Office of Institutional Advancement will serve as the liaison to the grant-funding entity to communicate concerns with meeting report deadlines or project deliverables.

GRANTS DEVELOPMENT & MANAGEMENT PATHWAY
Planned Grant Seeking • Targeted Proposal Development • Proper Grant Stewardship

NON-RESEARCH GRANTS

Faculty & staff Project Directors work with Institutional Advancement, Dean & Provost

- Project idea development & approval
- Project planning & design; grant seeking
- Proposal development & review/edits

GRANTS CALENDAR

PROJECT DEVELOPMENT TEAM

RESEARCH GRANTS

Faculty PIs work with Provost and communicate with Institutional Advancement

- Project idea development & notification
- Project planning & design; response to RFP
- Proposal development (review if requested)

Proposal authorization, signatures & submission

Grant not funded: reviewer comments, reconsiderations, possible revision & resubmission

Grant funded: award notice & required contract execution/negotiation → Coordinated by Institutional Advancement with authorization of President

Grants management: award record, budget codes, authorizations, etc. → Coordinated by Business Office & Institutional Advancement with Project Director/PI

Project management: implementation, evaluation, expenditures & interim/progress reports → Coordinated by Project Director/PI with applicable departments as needed

Grant close-out: spend down, final project report & year-end fiscal report → Coordinated by Project Director/PI with Institutional Advancement & Business Office

PRE-AWARD PHASE

POST-AWARD PHASE