Title: Administration of Grants and Contracts in Support of Sponsored Projects and Research Policy

Policy Abstract: This document overviews the responsibilities for preparation and submission of grants and contracts proposals to sponsoring agencies and the post-award administration of sponsored agreements.

Responsible Offices: Academic Affairs, Institutional Advancement, and Finance

Officials: Provost, Vice President for Institutional Advancement, Vice President for Finance/CFO

Contact(s): David Byrd, 226-4632, dbyrd@bsc.edu
Bambi Ingram, 226-4770, bingham@bsc.edu
John Sweeney, 226-4910, jsweeney@bsc.edu

Applies to: Faculty and Staff

Effective Date: November 6, 2013

Revision Dates:

Introduction/Background
Research and other extramural funding from outside organizations is an important financial resource to the College. In order to maintain and grow this type of funding, the College must administer grants and contracts in an appropriate manner consistent with federal regulations and the terms and conditions of the agreements.

Purpose
This policy establishes the requirements and parameters for the College’s administration of grants and contracts, application procedures, and responsibilities of component offices.

Applicable Regulations
SACS-COC Standard 3.10.4
OMB Circular A-133

Policy Statement
Effective grants and contracts administration requires collaboration between the faculty and staff members submitting the application and the support service areas responsible for oversight of the agreement once it is awarded to the College.
Details

Responsibility
The Grants Specialist (GS) and Corporate/Foundation Gift Officer (CFGO) provide the following support services:

- Seek out potential grantors and their areas of interest,
- Serve as a management liaison with granting agencies,
- Provide guidelines and application forms,
- Assist in making initial contact with potential grantors,
- Draft and/or edit applications and proposals,
- Submit the proposal in a timely manner,
- Notify relevant faculty and staff of the receipt of grantor’s award or denial and receipt of payment,
- Inform appropriate faculty and staff of all pertinent policies and regulations of the college and the Grantor, and ensure compliance with them,
- Assist with budget implementation, contract interpretation, and resolution of discrepancies,
- Prepare reports and provide stewardship as necessary.

The Office of Finance provides the following report services:
- Prepare (with relevant staff and faculty) project budgets,
- Oversee cost-sharing requirements,
- Oversee billing requirements,
- Monitor project expenditures.

Procedures for Application

- The faculty or staff member or department seeking funding, with approval from the department chair or director, will submit the request to the Provost for approval. Approval criteria include compatibility with:
  - Department staffing,
  - Department programs,
  - Institutional support commitments.
- The Provost will direct the approved request to the GS or CFGO.
- The Principal Investigator (PI) will work directly with the Office of Finance to establish and approve an appropriate budget for the project or program.
- The GS or CFGO will work with appropriate parties to research, prepare, and submit the application in accordance with the Grantor’s requirements.
- The GS or CFGO will inform relevant parties, including College leadership, of the Grantor’s response to the application and of receipt of payment.
Recipients of grants submitted by the GS will:

- Ensure that the research or project commitments are accomplished in accordance with the project schedule,
- Maintain accurate and detailed expenditure records,
- Work with the Office of Finance to maintain up-to-date records of financial obligations and expenditures,
- Maintain records of equipment purchased with the grant or contract funds,
- Provide detailed reports of activities, outcomes, and expenditures to the GS in a timely manner,
- Submit to the Provost for review and approval any substantive amendments to a contract or grant that affect budget, nature of activities, personnel, and/or deliverables.

Recipients of grants submitted by the CFGO will:

- Work with the Office of Finance and college leadership to ensure that grant funding is expended in accordance with the grant award or contract,
- Maintain accurate and detailed expenditure records,
- Work with the Office of Finance to maintain up-to-date records of financial expenditures,
- Maintain records of equipment purchased with the grant or contract funds,
- Provide detailed reports of activities, outcomes, and expenditures to the CFGO in a timely manner,
- Submit to the Vice President for Institutional Advancement for review and approval any substantive amendments to a grant that affect budget, nature of activities, personnel, and/or deliverables.

The GS will provide the Office of Finance, the PI, and College leaders as appropriate:

- A copy of the grant agreement,
- A copy of any amendments,
- Student and employee payroll contracts and information,
- A copy of the line item budget.

**Human Resources**

- If a grant has payroll components, the PI as appropriate will initiate and submit contracts to Human Resources (HR) for processing. Faculty members or staff will be paid only their BSC salary during the academic year. Faculty may receive compensation funded by the grant or contract during June, July, and August.
- In compliance with BSC conflict of interest policies and the requirements of the law, faculty and staff involved in a sponsored project must complete and sign appropriate disclosure documents provided by the GS or CFGO.
- On notice of resignation or incapacitation of a PI, the GS or CFGO and/or the Provost will confer with the Grantor and select an appropriate replacement.
Academic Affairs

- The Provost provides oversight of the conduct of research and ensures progress toward fulfillment of the contract or grant requirements.
- Faculty and staff working on a grant or contract funded scientific project must comply with standards established in BSC’s Policy for Scientific Misconduct (appendix).
- Faculty and staff conducting research involving human subjects must, before research commences, submit a request to BSC’s Institutional Review Board (IRB) for approval, in accordance with the IRB Rules and Procedures (appendix).
- Treatment of work product resulting from a grant or contract must comply with BSC’s Policy on Intellectual Property, Appendix J of the Faculty Handbook (appendix).
- Faculty and staff working on a grant or contract funded through a private, public, or government source must comply with the college’s Policy on Nepotism (appendix).

Fiscal Administration

The Office of Finance is responsible for the fiscal management of sponsored programs regardless of their restriction – unrestricted, temporarily restricted, or permanently restricted. Finance is also responsible for the adherence of fiscal controls assuring compliance with federal, state, local, and institutional policies and procedures governing grants and contracts.

The Office of Finance will:
- Establish the fiscal classification of awarded grants and contracts,
- Validate grants and contracts’ budgets, budget changes and closeout of the awarded,
- Ensure that all fiscal reports and billings are prepared and submitted in a timely basis in accordance with external agencies’ guidelines,
- Ensure that Facilities and Administrative cost recovery expenditures are appropriate, accurate, and calculated based on BSC’s federally negotiated rate agreement,
- Monitor salary distributions assuring that charges are accurately recorded,
- Ensure that subcontracts are in compliance with the federal guidelines governing suspense and debarment,
- Monitor account expenditures and provide assistance with maintaining budget controls,
- Ensure that cost sharing and matching requirements are appropriately documented and reported,
- Maintain up to date records of cash receipts and expenditures in accordance with OMB Circular A-133 standards adhering to annual audit requirements.
Definitions

- **Grant** means a financial contribution to a recipient to carry out an approved project or activity. Sponsors/Grantors usually request an accounting of the use of funds and of results of the project or activity.
  - Grant proposals prepared by the Corporate/Foundation Gift Officer (CFGO) in the Office of Institutional Advancement generally focus on projects that align with broad academic or institutional support. Most of its grant proposals are directed to corporations, corporate foundations and independent foundations.
  - Grant proposals prepared by the Grants Specialist (GS) generally focus on individual academic initiatives, government grants and contracts, and research activities with federal agencies.

- **Contract** means an agreement between a recipient and sponsor to provide an economic benefit, generally in the form of services, for compensation. The agreement is binding and creates a *quid pro quo* relationship between the parties.

- **Gift** means a voluntary and irrevocable transfer of money, services, or property from an external donor for either unrestricted or restricted use by the College, with no commitment of resources or services other than, possibly, the commitment to use the gift as the donor specifies.

- **Sponsored projects and research** means all work performed under grants or contracts funded by non-Birmingham-Southern funding sources.

- **Principal Investigator** (PI) refers to the individual (referred to as principal investigator, project director or similar title) designated in the grant or contract to be responsible for ensuring compliance with the academic, technical, financial, and administrative aspects, as well as the day-to-day management of the sponsored project.

- **SACS-COC** refers to the Southern Association of Colleges and Schools – Commission on Colleges.

References

None