



<b>Policy Name:</b>	Grant Submission and Acceptance Policy		
<b>Associated Form(s):</b>	Pre-Proposal Development Review Form	<b>Policy Number:</b>	2019-2
<b>Reviewed:</b>	Non-Academic Policy Review Advisory Council	<b>Approved:</b>	May 1, 2019
<b>Approval Authority:</b>	President <i>Tim Hall</i>	<b>Adopted:</b>	<i>7/24/19</i>
<b>Responsible Executive(s):</b>	Provost	<b>Revised:</b>	N/A
<b>Responsible Office(s):</b>	Office of Sponsored Programs Office of the Provost	<b>Contact(s):</b>	Director, Office of Sponsored Programs

## I. General Policy

This policy outlines the Mercy College grant submission and acceptance procedures and delegates authority to the Director of the Office of Sponsored Programs to submit federal research and other types of grant applications and, in some cases, to accept grant awards, on behalf of the College as Mercy's Authorized Organizational Representative (AOR).

### A. Grant Pre-Proposal Development Review and Approval Process

The process at Mercy College for applying for federal research and other types of grants and for participation in related projects, such as cooperative research across institutions, is as follows:

- (1) The grant proposer (Principal Investigator/Project Director (PI/PD)) first discusses the project concept with his/her supervisor. If approved by the supervisor, the PI/PD then contacts the Office of Sponsored Programs (OSP) to review the concept and to obtain the *Pre-Proposal Development Review Form*.
- (2) In completing the *Pre-Proposal Development Review Form*, the PI/PD must complete the requested fields of information. The PI/PD must also attach a one-page Project Description which briefly describes the proposed project, the population to be served by the project, how the project will benefit students or Mercy College, the responsible persons implementing the project and how the project will be implemented, highlighting key strategies or activities, and how the project will be evaluated and expected significant outcomes. The *Pre-Proposal Development Review Form* must be completed and returned to OSP as soon as possible.
- (3) The Director of the OSP reviews and edits the completed *Pre-Proposal Development Review Form* and forwards it electronically to the academic administrator responsible for grants for review and approval. If there are concerns, the PI/PD must address them before moving the application forward. Upon approval, OSP then forwards the completed *Pre-Proposal Development Review Form* to the following College administrators for review and approval: (i) the Provost, (ii) the PI/PD's School Dean, and (iii) the Vice President for Finance. (For expedited review of proposals with no funding implications, approvals only from the Provost and School Dean are required.) In reviewing the pre-proposal, the OSP's *Pre-Proposal Development Review Form* requests that the College administrators consider whether the project concept provides benefits to or furthers one or more of the following: the College-wide community, students, the College and external partners, and/or initiatives cited in the College's Strategic Plan; whether the requests for personnel and the items cited in the estimated budget (where applicable) are reasonable and will support the development of the project proposed; and, if applicable, whether the College will provide matching contributions (in-kind) or a cost share. OSP requests the College administrators' approval (or denial) via email within five business days due to the typically short turnaround time (usually six weeks or less) for submitting full grant applications.

## B. Grant Submission Process

- (1) If approved, OSP notifies the PI/PD and schedules an in-person appointment to review any grant guidance or specific application requirements as may be requested by the funding agency or research partners. If denied, OSP notifies the PI/PD and may suggest other venues, resources, or opportunities. OSP also assists the PI/PD with necessary edits to the proposal prior to submission. OSP then forwards the proposal to the academic administrator responsible for grants for additional review and edits before submission. The final narrative draft and the proposed budget are then submitted to the Provost and the Vice President for Finance with a request for their final approval; the grant accountants are also copied. If there is no request for funding in the proposal, the Vice President for Finance does not need to review the narrative.
- (2) Once final approval has been granted, the Director of the OSP, acting in the capacity as the Mercy College Authorized Organizational Representative (AOR), submits the grant proposal. In an emergency, the Associate Director of the OSP will act in this capacity.

## C. Acceptance of Grant Awards

In some cases, such as federal research grants funded by the National Science Foundation and United States Department of Education, OSP will receive a Grant Award Notification (GAN). No additional physical or electronic signatures are required for grant acceptance in such cases; the grant is considered signed by the AOR at the time the proposal was submitted and is considered accepted when the Mercy PI/PD spends the grant funds. Specific grant regulations are incorporated into the GAN.

In other cases, grant awards do require additional Mercy signatures before funds are released. With these grants, OSP will forward the grant award documents to the Office of the General Counsel for legal review and will then forward to the Provost for signature. OSP then returns the signed grant documents to the funding organization for final signatures. Once the grant documents are fully executed, the College then receives an annual allocation or all of the grant funds, depending on the federal or state agency awarding funds. The PI/PD administers the grant, working in close conjunction with the grant accountants in the College's Finance Office.

**MERCY COLLEGE  
OFFICE OF SPONSORED PROGRAMS  
PRE-PROPOSAL DEVELOPMENT REVIEW FORM  
FOR GRANTS AND RELATED PROJECTS  
2018-2019**

**Instructions**

*The following outlines Mercy College's process for applying for grants and participation in related projects (such as cooperative research across institutions). All project proposers in these two categories are required to follow the four steps below.*

1. **The Faculty member (or other member of the College community) discusses his or her project concept with his/her supervisor as the first step.** If the supervisor approves the project concept, the proposer contacts the Office of Sponsored Programs (OSP) to review the concept and to obtain a copy of the *Pre-Proposal Development Review Form* to complete.
2. The grant project proposer completes the *Pre-Proposal Development Review Form* and returns it to OSP electronically within **three or fewer business days**.
3. OSP sends the completed *form* electronically to select administrators for review and approval.
4. The administrators review the *form* and notify OSP via e-mail in **five or fewer business days** if they approve (or do not approve) moving forward with the project proposal.

**Review Outcomes**

1. If the Mercy administrators approve, OSP notifies the faculty member or other proposer that he or she can proceed with the grant or related project proposal and schedules an in-person appointment with that person to review any grant guidance or specific application requirements as may be requested by the funding agency (USED, NIH, HRSA, NEH, NSF, NYSED, etc.) or research partners.
2. If all Mercy administrators do not give their approval to proceed, the grant application will not be submitted for funding. OSP informs the faculty member or other proposer of this decision and may suggest other venues, resources, or opportunities.

**MERCY COLLEGE  
PRE-PROPOSAL DEVELOPMENT REVIEW FORM  
FOR GRANTS AND RELATED PROJECTS**

**TO BE COMPLETED BY PRINCIPAL INVESTIGATOR OR PROJECT DIRECTOR**

**Part 1. General Information**

Principal Investigator/Project Director: \_\_\_\_\_

Position/Title: \_\_\_\_\_

Mercy College School: \_\_\_\_\_ Phone Extension: \_\_\_\_\_

Name of Grant Funding Agency or Project Partner: \_\_\_\_\_

Website: \_\_\_\_\_

Name of Specific Grant or Other Project Program: \_\_\_\_\_

How Many Years is the Grant or Other Project For: \_\_\_\_\_

Grant or Other Project Proposal Application Due Date: \_\_\_\_\_

**Part 1 A. If the project does not have funding implications, check here  
and complete Part 3 only.**

**Part 2 A. Grant Budget-Related Questions**

1) Does the granting agency require the College to provide matching funds or a grant cost share?

Yes: \_\_\_\_\_ No: \_\_\_\_\_

2) Will the Principal Investigator/Project Director request release time to implement the project?

Yes: \_\_\_\_\_ No: \_\_\_\_\_

If Yes, when is the release time requested? Please check all the times that apply.

Fall semester: \_\_\_\_\_ Spring semester: \_\_\_\_\_ Summer: \_\_\_\_\_

3) Will the grant project involve the participation of other Mercy College personnel?

Yes: \_\_\_\_\_ No: \_\_\_\_\_

4) Does the grant project involve a partnership with another institution, school(s), community-based organization, or business?

Yes: \_\_\_\_\_ No: \_\_\_\_\_

If Yes, please indicate partners: \_\_\_\_\_

5) If the grant project involves a partnership, will Mercy College serve as the lead institution in the partnership?

Yes: \_\_\_\_\_

No: \_\_\_\_\_

If No, please name the institution, school, organization, or business who will serve as the lead:

\_\_\_\_\_

## Part 2 B. Information to Help Develop the Grant Budget

*Please cite actual dollar amounts (if known) or estimates for each of the categories listed below. These categories will enable you to think about what resources are needed to implement your project and also will help OSP assist you in developing the actual budget for your project at a later time, if administrative approvals to proceed with the grant application are received.*

**Total Number of Persons Involved including the PI or PD** \_\_\_\_\_

Please include the names and titles of the PI or PD and any other Mercy College personnel involved in the project in the space below:

**Travel** Does the project require taking trips to regional meetings, schools, partner institutions, regional and/or national conferences?

Local/regional: Yes: \_\_\_\_\_ No: \_\_\_\_\_

Out of State/National: Yes: \_\_\_\_\_ No: \_\_\_\_\_

Please cite the places, if known in the space below:

**Equipment** Does the project entail purchasing any equipment?

(Equipment is defined as an item that is permanent and has a single per item cost of \$5,000 or above.)

Yes: \_\_\_\_\_ No: \_\_\_\_\_

Please indicate the type or name of the equipment requested in the space below. Please cite the cost, if known:

**Supplies** Does the project require purchasing any supplies?

(Supplies are defined as being expendable or having a single per item cost of \$4,999 or below.)

Yes: \_\_\_\_\_ No: \_\_\_\_\_

Please provide a short list of what supplies are needed specific to the project. Please cite the cost, if known. Please **do not** list general office supplies as individual items:

**Major Construction** Does the project entail any major construction? (e.g. new building, all new laboratory, expansion of an existing building, extension)

Yes: \_\_\_\_\_ No: \_\_\_\_\_

Please describe the facility or major construction and its campus location(s) in the space below:

**Minor Facilities Renovation** Does the grant entail remodeling or renovating any existing campus facilities? (e.g. laboratory renovation, office remodeling, classroom remodeling)

Yes: \_\_\_\_\_ No: \_\_\_\_\_

Please describe the minor facilities remodeling or renovation and the campus location(s) in the space below:

**Library Acquisitions** Does the project entail purchasing any materials for the library? (e.g. new books, subscriptions to academic data bases, software, etc.)

Yes: \_\_\_\_\_ No: \_\_\_\_\_

Please list what new library acquisitions are needed in the space below. Please include the cost, if known:

**Project Publicity** Will the project require any publicity to inform potential partners and participants about the project proposed? (e.g. project brochures, flyers, etc.)

Yes: \_\_\_\_\_ No: \_\_\_\_\_

Please provide a short list what types of publicity are required in the space below:

**External Consultants** Does the project require hiring any external consultants? (e.g. project evaluator, lecturer, guest speaker, instructional designer, etc.)

Yes: \_\_\_\_\_ No: \_\_\_\_\_

Please name the types of consultants needed to help implement the project in the space below:

**Indirect Cost** Does the Grant Guidance or Request for Proposal (RFP) allow for indirect cost in the grant budget? (Indirect costs include costs which are frequently referred to as overhead expenses such as rent and utilities and general and administrative expenses.)

Yes: \_\_\_\_\_ No: \_\_\_\_\_

If Yes, what is the percent of indirect cost permitted? \_\_\_\_\_

**Maximum Amount that can be Budgeted for the Grant as cited in the Application Guidance or RFP provided by the Funding Agency**

Estimated Total Amount Requested for Multiyear Projects: \$ \_\_\_\_\_

Estimated Total Amount Requested per Year: \$ \_\_\_\_\_

Total if the Project is for One Year Only: \$ \_\_\_\_\_

Cost Share (if applicable) \$ \_\_\_\_\_

### **Part 3. Grant or Related Project Description**

***Please attach a one-page Project Description which briefly describes all of the following. If preferred, responses can be put in bullets rather than in a narrative description, where appropriate.***

- Please describe the proposed project briefly. What is the project about; what is it seeking to do or accomplish?
- Who will be served by the project (e.g. students, faculty, external partners, others)?
- How does the project benefit students or Mercy College?
- Who are the persons responsible for implementing the project (PI, PD, faculty, other staff)?
- How will the project be implemented? Please highlight some key strategies or activities.
- How will the project be evaluated? Please indicate some of the most significant expected outcomes (e.g., increases in student enrollment or retention, development of a new or expanded program or curriculum, improved facilities, possible research results, etc.)



**PRE-PROPOSAL DEVELOPMENT REVIEW FORM  
FOR GRANTS AND RELATED PROJECTS**

**ADMINISTRATIVE APPROVALS**

*Each of the administrators named below is asked to read the Pre-Proposal Development Review Form completed by the faculty member (or other member of the Mercy College community) who plans to apply for the grant or related project described. When reviewing the Form, each administrator should consider the following stipulations prior to giving his/her approval to proceed with the grant or related project application.*

- The **project concept provides benefits** to or furthers one or more the following: the College-wide community, students, the College and external partners, initiatives cited in the Strategic Plan.
- The **requests for personnel and the items cited** in the Form's estimated budget sections (where applicable) are **reasonable** and will support the development of the project proposed.
- If applicable to the grant or other project application under consideration, the College will provide **matching contributions (in-kind) or a cost share.**

*Please send an email to the Office of Sponsored Programs (Janet Partenza and Paula Danett) citing if you approve (or do not approve) pursuing the grant or related project described in the Pre-Proposal Development Review Form within **five business days** of receiving the Form. Please note that given the short turnaround time (usually six weeks or less) for submitting full grant applications to funding agencies or project applications to partner institutions, a prompt approval to proceed (or not to proceed) is necessary and requested.*

*For expedited review of proposals with no funding implications, approvals only from the School Dean and Provost are requested.*

Approvers 2018-2019

Provost: José Herrera

School Dean:

V.P. for Finance: Donald Aungst