



<b>Policy Name:</b>	Grant Submission and Acceptance Policy		
<b>Associated Form(s):</b>	Pre-Proposal Development Review Form in Mercy Connect	<b>Policy Number:</b>	2019-2
<b>Reviewed:</b>	Non-Academic Policy Committee	<b>Approved:</b>	May 1, 2019
<b>Approval Authority:</b>	President <i>Timothy L. Hall</i>	<b>Adopted:</b>	July 24, 2019
<b>Responsible Executive(s):</b>	Provost	<b>Revised:</b>	N/A
<b>Responsible Office(s):</b>	1) Office of Sponsored Programs 2) Office of the Provost	<b>Contact(s):</b>	Director, Office of Sponsored Programs

## **I. General Policy**

This Policy outlines the Mercy University 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 University as Mercy's Authorized Organizational Representative (AOR).

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

The process at Mercy University 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 faculty member or other member of the University community proposing the grant, herein referred to as the Principal Investigator/Project Director (PI/PD), must first discuss his or her project concept with his/her Dean, Department Chair, or supervisor. If approved by the Dean/Department Chair/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 name the grant funding agency or project partner and the name of the specific grant or other project program, and must indicate the proposed duration of the grant and the due date. The PI/PD must also provide information related to the grant budget, including whether the granting agency requires the University to provide matching funds or a grant cost share, whether the proposer is requesting release time to implement the project, whether the grant project will involve the participation of other Mercy University personnel and whether the grant project involves a partnership with another institution, school, community-based organization or business and, if so, whether Mercy will serve as the lead institution in the partnership. Additional information is also required to help the PI/PD develop the grant budget, such as the number of persons involved, travel, equipment, supplies, major construction, minor facilities renovation, library acquisitions, project publicity, external consultants, and indirect costs. The PI/PD must also indicate the maximum amount that can be budgeted for the grant as cited in the application guidance or RFP provided by the funding agency. 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 University, 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 Associate Provost for Research, Grants, & Academic Initiatives for review and approval. Upon approval, OSP then forwards the *Pre-Proposal Development Review Form* completed by the PI/PD to the following University administrators for review and approval: (i) the Provost & Vice President for Academic Affairs, (ii) the PI/PD's School Dean, and (iii) the Vice President for Finance & Chief Financial and Planning Officer. (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 University administrators consider whether the project concept provides benefits to or furthers one or more of the following: the University-wide community, students, the University and external partners, and/or initiatives cited in the University'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 to the grant or other project application under consideration, whether the University will provide matching contributions (in-kind) or a cost share. OSP requests the University administrators' approval (or denial) via email within two 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 Associate Provost for Research, Grants, & Academic Initiatives for additional review and edits before submission. The final narrative draft and the proposed budget are then submitted to the Provost & Vice President for Academic Affairs and the Vice President for Finance & Chief Financial and Planning Officer with a request for their final approval.
- (2) Once final approval has been granted by the Provost & Vice President for Academic Affairs and the Vice President for Finance & Chief Financial and Planning Officer, the Director of the OSP, acting in the capacity as the Mercy University Authorized Organizational Representative (AOR), submits the grant proposal.

### 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 & Vice President for Academic Affairs for signature. OSP then returns the signed grant documents to the funding organization for final signatures. Once the grant documents are fully executed, the University 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 University's Finance Office.