

## **CP 1.4.1**

### **Externally-Funded Grants and Contracts**

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#### ***Related Board of Trustee Policy: BP 1.4***

<b>Responsible Official</b>	President
<b>Approvals</b>	05/11/00
<b>Revision</b>	10/26/07

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### **Externally-Funded Grants and Contracts Procedure**

#### **A. Approval Process**

1. Initial proposal: An employee who is designated to prepare a grant or contract application in connection with externally-funded grant or contract must consult with his/her immediate supervisor and present a brief overview to the member of the President's Council of the unit to be involved with the grant or contract, to the Vice-President of Finance and Administration, and other divisional administrators or College personnel concerned with the grant or contract. The designated employee will seek appropriate approval using the *Request for Permission to Seek a Grant* form, 2017-01 (copy attached).
2. Proposed budget: In preparing the grant or contract application, the employee must develop the budget proposed for an externally-funded grant or contract in cooperation with the College's Business Office, which will furnish figures on utility costs, supplies, salaries and related fringe benefits, and indirect cost rates as needed. In developing the budget for an application, all costs should be reasonable and in accordance with established College standards and should be recorded in accordance with the College's accounting system. The budget should conform to College fiscal policies, identify all needed resources, and verify that a proposed project can be administrated in accordance with the project plan.
3. In the event that the College employs someone whose job responsibilities include coordination externally-funded grants and contracts, that individual is responsible for developing the initial proposal and proposed budget or in assisting with these processes.
4. Review process: All proposed projects that require funding through an external grant or contract and that are developed and entered into by the College require thorough review by the President's Council and the President. The purpose of this review is to help ensure that grant proposals and contracts will help further the mission of the College and the goals of the specific department or unit involved, and that they are in balance with the instructional and other operations of that department or unit. The senior administrator over the project's area of impact and/or the grants coordinator will present the proposal and budget to the members of the President's Council.

Upon review and approval of a proposal, the President will sign the application and any related forms and submit the proposal to the appropriate external funding source.

#### **B. Grant or contract acceptance and management:**

1. The President, who has final responsibility for coordinating and controlling efforts to secure external funding for the College, is responsible for making the final decision to accept or refuse the terms and conditions of each externally funded grant or contract that

is proposed and awarded. No expenditures or obligations of external grant or contract funds may be made until written notification of the award has been received from the grantor and the award has been accepted by the President. Once a grant or contract has been accepted, a project director will be designated. Existing College operating, personnel, and fiscal policies and procedures will apply to all grant and contract activities (for example, project personnel will be restricted to the travel and per diem allowances established by the College).

C. Coordinating with other responsibilities:

1. In all instances, balance must be maintained between external professional activities and the responsibility of a faculty or staff member to fulfill his/her employment obligations to the College. The needs of students must take precedence in regard to the scheduling of classes and the providing of services. Therefore, externally-funded grants, contracts, or other external professional activities must not diminish or detract from an employee's primary responsibilities or interfere with the employee's scheduled work periods, except to the extent that the President of the College may authorize the employee to be relieved or partially relieved of his/her regular duties to participate in a project for which a grant or contract has been awarded. In this event, a replacement or substitute for the employee may be retained by the College to perform the duties from which the employee has been relieved.
2. Fiscal responsibilities for externally-funded grants and contracts rest with the College's Business Office. However, it is the responsibility of the designated project director to monitor and code all budget transactions to ensure that all program activities requiring expenditures of external grant or contract funds are in accordance with the external funding source's requirements and the terms of the applicable grant or contract. The project director also is responsible for all reimbursement requests, progress reports, fiscal documents, and project evaluations.
3. Purchase requisitions must first be signed by the designated project director and then must follow the usual approval guidelines and procedures of the College. The project director's signature is to verify that funds for the item(s) or services are being spent as stipulated under the terms of the applicable grant or contract.
4. The project director is responsible for reconciling accounts with records in the Business Office and for resolving any discrepancies with the appropriate accounting technician.

D. Continued funding:

1. The procedures to be followed for submitting proposals for managing continued funding are the same as the procedures established for submitting new proposals.

E. Individual Research:

1. Voluntary participation: Because the College is a teaching institution and not a research institution, faculty and staff who elect to engage in a research grant do so on a voluntary basis. These activities must be in accordance with the College's various faculty workload policies.
2. Conditions of acceptance and participation: Externally-funded grants and contracts may be accepted, and an employee's participation in externally-funded grants, contracts or other external professional activities for which he/she is compensated may be undertaken, only if the following requirements are met:

- The employee's participation does not create a conflict of interest with the primary obligation of the employee to perform his/her duties in a timely and effective manner;
- The employee's participation does not involve any inappropriate use or exploitation of College personnel, students, facilities, equipment, or other resources;
- The name of the College is not involved for any purpose other than to identify the employee's own professional association; and
- No responsibility of the College for the conduct or outcome of any activities performed in connection with the employee's participation in a project is claimed or implied by the employee or anyone else associated with the project.

**McDowell Technical Community College  
Request for Permission to Seek a Grant (2017-10)**

To: (in turn) Vice President for Finance and Administration  
Vice President for Learning and Student Services

From: \_\_\_\_\_  
Signature (person wishing to seek grant/contract)

Subject: Request for Permission to See a Grant/Contract

Date: \_\_\_\_\_

Briefly describe the purpose of the grant and attach any pertinent information.

Amount available \$

Name and address of possible funding source:

Financial commitment required of the College:

Name of person who will write the grant application: \_\_\_\_\_

Name of person proposed as grant administrator: \_\_\_\_\_

Action taken:

- ☐ Request is denied at this time.
- ☐ Additional information needed. Please make appointment to see: \_\_\_\_\_
- ☐ MTCC is able to meet the financial requirements of the proposed grant application.
- Instructions in the *Employee Procedures Manual* are to be followed.

\_\_\_\_\_  
Signature of Vice President for Finance and Administration Date

(Vice President for Finance and Administration will forward form to the Vice President for Learning and Student Services)

- ☐ Request is denied at this time.
- ☐ Additional information needed. Please make appointment to see: \_\_\_\_\_
- ☐ The scope of the grant falls within the mission of MTCC and appropriate human resources are available to seek the funding.
- Instructions in the *Employee Procedures Manual* are to be followed.

\_\_\_\_\_  
Signature of Vice President for Learning and Student Services Date

(Vice President for Learning and Student Services will present to President's Council)