Professional Development:
External Grants Application Policy

Policy/Procedure

This policy applies to institutionally-sponsored grant proposals as well as individual fellowship grant applications.

Normal procedures

Preparation

Consult with the Director of Corporate and Foundation Relations (C&FR Office in Development) regarding possible funding sources, and Dickinson’s current active grants or proposal activity with that source. The College reserves the right to delay your proposal if it might conflict with other institutional proposals or projects in preparation or under review by the funding source.

Approvals

A completed draft and/or abstract of your proposal and budget must be submitted, reviewed, and approved by the appropriate persons or groups indicated below. The “External Grants Notification/Clearance Form” and more information on the approval process are available through the Director of Corporate and Foundation Relations, and on the Corporate and Foundation Relations web site.

In the case of institutionally-sponsored proposals, any of those officers listed below may veto College support for the proposal or approve it with specific caveats. In such cases every effort will be made to work with you to remove the obstacles to College approval.

In the case of individual fellowship applications to external sources, senior officers of the College need to be notified of the faculty’s scholarly work and research and have an opportunity to learn of its depth and breadth. This information is highly useful for pre-tenure and tenure reviews, promotions, salary increases, awards, and conferral of named chairs, and assists in the preparation of College and community-wide publicity.

- **President**: Any grant proposal involving over $50,000 of Dickinson matching money; any grant having an all-College purpose.
- **Provost and Dean of the College, in consultation with the Academic Program and Standards Committee**: Any grant proposal for curricular purposes, for individual academic research or study, or for individual fellowships.
- **Vice President and Treasurer, in consultation with the Planning and Budget Committee**: Any grant proposal other than one seeking only salary income for the applicant.
- **Vice President for Development**: Any grant proposal to a foundation, corporate or
business entity, or governmental funding source.

- **Vice President for Campus Operations**: Proposals involving construction, renovation or removal of campus facilities.
- **Vice President for Enrollment, Student Life and College Relations**: Grant proposals involving admissions, recruiting, student life, or public relations issues.

**Documentation**

A copy of all grant proposals and award documents must be forwarded to the Corporate and Foundation Relations Office so they may become part of the College’s permanent records. Such documents include (but are not limited to):

- a copy of the signed “External Grants Notification/Clearance Form”
- a complete copy of the final proposal (including narrative, budget, appendices and all other submitted materials)
- copies of any additional documents, e.g., award letters, sub award and/or contract documents, cooperative agreements, project implementation or budgetary amendments, pertinent correspondence with foundation or government program officers
- copies of annual and/or final narrative reports, including budget reports.

**Normal arrangements**

**Principal Investigator/Project Director**

Someone is the PI/PD for the grant. Where the length or complexity of the grant warrants it, the PI/PD should receive released time. This can vary from a single course to 2/3s time for the duration of the grant. Be sure the grant seeks money for the released time, both salary and (if permitted) fringe benefits at prorated amounts. The full-time salaries and fringe for two summer months should also be sought where the grant period permits. All PI/PD salary figures are to be based on that person’s regular Dickinson salary.

**Project Manager**

Larger grants may require additional help in the form of an assistant who handles details created by the existence of the grant. This could range from typing to planning meetings to involvement in the substance of the project, and might even involve helping apply for further grants. Thus the position, if needed, could range from a lower-level clerical position to a lower-level professional position. Be realistic about such needs and then be sure to include them in the grant, both salary and fringe benefits. All PM salary figures are to be based on the salary ranges at Dickinson for comparable responsibilities. If the grant is funded, appointment letters for such persons must come from a senior administrative officer.

**Indirect Cost Recovery**

The College’s Strategic Plan requires that all grant proposals include maximum feasible provision for the financial relief of existing operations. Many private foundations do not allow the College to bill their grants for (or recover) indirect costs; some external funding sources
(governmental) specify the figure or the mode of its determination. Unless such restrictions are indicated, Dickinson has a negotiated overhead formula (“indirect cost recovery rate”) that must be used in any application to a federal governmental source. Funds garnered through indirect cost recovery go towards College income as appropriate compensation for the general institutional costs of supporting grant projects. Information on Dickinson’s negotiated indirect rate is available from the Director of Corporate and Foundation Relations, Financial Operations, or the Corporate and Foundation Relations web site.

Matching/Cost Sharing

Some grants require matching funds from Dickinson. In other cases, it may be thought that the grant can only be implemented if the College provides additional support (this might be thought of as an informal matching requirement). There must be a written agreement by the College guaranteeing the match should the grant be received. For individual academic grants and for curricular ones, a special Grants Matching Fund has been created. Matching requests compete for this finite resource, except where a request for more significant matching money has been made well in advance and has been approved by the College. All grants involving matching/cost sharing must be discussed and approved by the Provost and Dean.

Subawards/“Subcontracts”

The scope of work in some grant projects may require that the Dickinson PI/PD retain non-Dickinson personnel, consultants, vendors, or institutions (those sponsoring a colleague) to participate in and/or complete portions of the project. The PI/PD must acquire from the proposed subcontractor prior to submission of the grant proposal an “Intention to Enter into a Subaward/Subcontract Agreement” document, signed by an authorized institutional representative. When the grant is awarded and before any work may proceed, a “Subaward/Subcontract Agreement” must be negotiated and signed by institutional representatives of both Dickinson (awardee) and the contractor (subawardee). These documents shall be prepared by College representatives in Corporate and Foundation Relations, and Financial Operations, with input from the College’s legal counsel.

Responsibilities and coordination

A number of campus offices/officials are involved in the grant pre- and post-award process.

- The Provost and Dean serves as the College’s official organizational representative authorized to submit institutionally-sponsored proposals. The Provost and Dean’s signature binds the College to the proposed scope of work and budget, and verifies official information and certifications about institutional policies and practices.
- The Office of Corporate and Foundation Relations functions as the College’s sponsored research office and may be authorized on a case-by-case basis by the Provost and Dean to submit institutionally-sponsored proposals on his/her behalf.
- The Financial Operations office provides information on cost rates, reviews and approves budgets prior to submission, and coordinates financial reports. Financial Operations holds authority to sign grant contracts, subcontracts and cooperative agreements on behalf of the College.
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- The Principal Investigator/Project Director is responsible for implementation and oversight of all aspects of the project (unless otherwise directed by the Provost and Dean), including the preparation and timely submission of reports as may be required by the funding source.

**Variances**

**Partial Funding**

A grant proposal may be accepted but on the condition that the budget be reduced. Before this reduced grant is accepted, the revised budget and any revisions in personnel, overhead, and matching/cost sharing must be approved by the College.

**Supplemental Funding**

It is possible to ask for additional funds during the implementation period of the grant. Original budgets may prove inadequate or unanticipated changes in the situation may require or invite further funds. These should be applied for by a request to the Provost and Dean, and Vice President and Treasurer, detailing and justifying the additional needs. If funds are available and the request persuasive, support will be provided from the Grants Matching Fund. There is no guarantee that support will be forthcoming; sometimes this may mean that the grant must be terminated.

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**Related Information**

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**History/Revision Information**

**Responsible Office/Division:**

**Effective Date:**

**Last Amended Date:**

**Next Review Date:**

**Also Found In:** RDC Web Site (www.dickinson.edu/departments/rdc/)