I. POLICY

It is the policy of Adams State University (ASU) to support institutional operations and growth, and academic pursuits that advance the university, through grants from public or private sources. The Vice President of Finance and Governmental Relations/CFO, or designee, shall develop and maintain a manual(s) or website(s) that includes the policies, procedures, rules, and regulations that govern grant-seeking and grant implementation at ASU that is accessible to all employees and the public.

ASU shall ensure that new or revised policies and procedures concerning grant-seeking or grant implementation are made available to designated staff, the public, volunteers, and students prior to implementation.

II. PURPOSE

The purpose of this policy is to provide guidelines for the pursuit of funding through grants, whether from public or private entities, and their implementation.

III. DEFINITIONS

A. Academic Department Chair: The person responsible for the daily operations of an academic department, and the delivery of its academic program(s).

B. Administrative Head: The person responsible for the daily operational activities for an academic department, center, division, office, or unit within the ASU organization.

C. Cabinet: The Cabinet is comprised of a diverse group of campus constituents that represent a cross section of all academic and operational units across campus. Cabinet meets every two weeks to advise the president on broad university policy/planning and to discuss budget issues of university-wide significance.

D. Chief Financial Officer (CFO): The Vice President of Finance and Governmental Relations will act as the Chief Financial Officer and will be the person responsible for all daily operational activities related to finance and government-related programs at ASU, including the supervision of the Office of Sponsored Programs.

E. Cabinet Consent Agenda: The consent agenda consists of non-controversial Cabinet action items that are organized apart from the rest of the agenda and approved as a group. This includes all of the business items that require formal Cabinet approval. Because they are not controversial, there is no need for discussion before taking a vote. Items may be on a consent agenda only if all Cabinet members agree; if even one member considers a specific item to need discussion, it will be removed and placed on the regular agenda for Cabinet action.

F. Executive Council: The Executive Council is comprised of the administrative heads of principal units of Adams State University, including Academic Affairs, Athletics, Enrollment Management/Program Development, Finance and Governmental Relations, Human Resources, Student Affairs, and the Extended Campus, and other ex-officio campus office Representatives. The Executive Council meets twice each month to advise the President regarding confidential legal and personnel matters and Trustee, Foundation, governmental and community relations.
G. Grant: A grant is a pledge of support by a governmental agency or private philanthropic entity to a project or program. Grants generally require a defined scope of work, a detailed statement of fiscal accountability, and specific deliverables.

H. Intent to Apply (pre-proposal): A completed form summarizing essential information about the grant proposal including funding agency, deadline, grant period, amount (request/match, cash/in-kind), title, and abstract. (See Attachment 1.)

I. Office of Primary Responsibility: Designated operational unit of ASU assigned the task of developing, writing, reviewing, formatting, and revising academic and/or institutional policies.

J. Office of Sponsored Programs (OSP): The OSP is housed in ASU’s Department of Finance and Governmental Relations and is assigned the task of assisting with grant-writing, reviewing fulfillment of grant requirements and reporting, and tracking the disbursement of grant funds.

K. Principal Investigator (PI): The PI has primary responsibility for achieving the technical success of the project, while also complying with the financial and administrative policies and regulations associated with the award.

IV. PROCEDURES

A. General:

1. All faculty and staff shall adhere to the grant management procedures outlined in the Adams State University Financial Management Guide, Chapter 14, Sponsored Programs.

2. The PI shall verify the institutional eligibility status by thoroughly reviewing the funder’s grant requirements. This includes reviewing the OSP grant online database to check that the grant timing does not conflict with existing grants at ASU or current Intents to Apply to the same funding source. The PI should seek assistance from OSP staff if necessary.

3. The Cabinet will review Intents to Apply for grants based on suitability and compliance with the institutional mission and the institutional strategic plan. (ASU’s Strategic Plan)

B. Review Process:

In an effort to track, coordinate, and broaden awareness of grants being pursued by ASU academic and administrative departments, this policy establishes a review process for Intents to Apply for a grant, with a signature required at each stage. Every effort will be made to expedite the review process. Once the Intent to Apply has been fully reviewed and approved, the PI may pursue the grant further.

1. When considering grant application all faculty or staff acting as the PI, are required to file an Intent to Apply (Attachment 1) with their Administrative Head. The Administrative Head will verify that the application will not conflict with existing applications or grants. The PI must identify which strategy in ASU’s Strategic Plan this grant will address.

2. Once the Administrative Head approves the Intent to Apply, the PI shall submit a draft preliminary budget to the Controller of Sponsored Programs with the Intent to Apply for review and approval.

3. After Controller of Sponsored Programs’ approval, the Intent to Apply will be forwarded to the PI’s Executive Council Representative for final approval. Prior to approval by the Executive Council Representative, the Intent to Apply will be routed to the Administrative Heads whose departments will be involved in project design and/or implementation for review and comment. If the Executive Council Representative approves the Intent to Apply, the PI has the authority to move forward with the development of the full grant application and submittal.

4. Cabinet Review: The Executive Council Representative will place the approved Intent to Apply on the Cabinet consent agenda for Cabinet approval. The intent is to communicate summary level information about the grant application to the broader campus community so that any potential issues associated with the application or with the eventual grant award can be identified before application submittal. Because grant deadlines may require a brief turn-around time, questions or concerns pertaining to the scope or implementation of the grant shall be raised in a timely manner.

5. Upon review and approval by Cabinet, a message will be relayed by the OSP to relevant faculty and staff informing them of approval. OSP tracking lists/websites will be updated.

C. Requests for Assistance:
1. Intents to Apply that include a request for grant-writing assistance from the Office of Sponsored Programs will be forwarded to the OSP post-approval by the Cabinet. The OSP will determine what assistance they can offer based on previous and current requests and institutional priorities. Applicants are requested to complete a departmental survey form to request assistance with grant-writing. Since advance notice of a minimum of 6-8 weeks before the grant deadline is desirable, requests for assistance may be submitted to the OSP prior to pre-proposal approval by Cabinet. (See Attachment 2.)

D. Retraction of pre-proposals:

1. An approved pre-proposal for a grant may be retracted at any time if the proposed applicant or the Executive Council Representative determines a proposal is not viable due to circumstances that arise post-approval.

2. If a grant pre-proposal is retracted, it will be noted as such in the OSP tracking list.

E. Incentives:

1. Faculty or staff who author a successful grant will receive an incentive award. The Administrative Head will submit a request for payment of the incentive to the OSP after formal grant approval is received. If more than one author is involved, the incentive will be divided based on the percentage of work devoted to the final proposal, to be determined by the Administrative Head in consultation with the grant authors. A schedule of incentive awards for successful grant proposals is attached to this policy. The award schedule may be revised by vote of the Executive Council. (See Attachment 3.)

V. RESPONSIBILITY

A. The Cabinet is responsible to review for approval Intents to Apply submitted by an Executive Council Representative and to ensure that grant pre-proposals and subsequent grant applications are consistent with the mission, purpose, and goals of the institution.

B. Executive Council Representatives, relevant department heads and others shall be responsible for ensuring appropriate technical and managerial expertise and assistance in the development and review of grant pre-proposals. The Executive Council Representative shall give timely notice to faculty/staff author(s) of the status of the Intent to Apply: whether or when it will proceed to Cabinet for approval.

C. Each administrative head/academic department chair shall be responsible to:

1. Review Intents to Apply to ensure that the grants are consistent with departmental goals and to maintain an overview of past, current, and proposed grants coming out of the department or division.

2. Ensure all faculty and staff under their supervision are aware of the present policy and Chapter 14, Sponsored Programs, in the ASU Financial Management Guide.

3. Verify through the online database that the application will not conflict with existing applications or grants.

4. Review departmental grant-seeking goals with faculty annually.

D. To facilitate grant tracking and coordination, the Principal Investigator is required to notify the OSP when a grant application has been submitted and when notice of award or denial has been received.

E. The Office of Sponsored Programs and the Vice President of Finance and Governmental Relations are responsible to:

1. Respond to applicants in a manner consistent with Executive Council Representative and Cabinet decisions.

2. Coordinate and monitor grant applications, grant award disbursement and implementation in accordance with the Adams State University Financial Management Guide, Chapter 14, Sponsored Programs.

3. Maintain the ASU grants management website.

4. In consultation with the Executive Council, the Office of Sponsored Programs shall be responsible for the annual review and updating of procedures relevant to their operations and processing of grants, including opportunity for faculty/staff input.
VI. **AUTHORITY**

ASU Trustee Policy Manual: Section 4.1: Financial Authority
CRS 23-51-103 Board of Trustees for Adams State University Fund – Creation – Control - Use

VII. **HISTORY**

4/05/11
Amended 5/10/12

VIII. **ATTACHMENTS**

Attachment 1: Notice of Intent to Apply (ASU form)

Attachment 2: Departmental Survey/Request for Grant-Writing Assistance

Attachment 3: Schedule of Incentive Awards (based on grantor approved award amount)
Attachment 1

Intent to Apply Form

Project Director/Investigator: Name: 
Position/Dept: 

Co-Project Director/ 
Investigator(s): Name(s): 
Position(s)/Dept: 

Recipient Department: 

Due Date of Proposal (MM/DD/YYYY): 
Funding Agency: New Renewal 
Agency Division/Program: 

Type of Grant: Federal State Private/Corp 
If Federal, please provide CFDA number N/A N/A 
Proposal Title: 

ASC Strategic Plan that the grant addresses: 
Brief abstract (100 word or less): 

Position (or other cost) to be institutionalized FTE %/year absorbed Year(s) (list) Cost/year to ASC (sal/benefits, etc.) 

Rev 05/2012
Attachment 2

Intent to Apply Form, cont.

Project Period
From (MM/DD/YYYY): To (MM/DD/YYYY):

Amount Requested
(attach budget spreadsheet)

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<th>Funding Agency</th>
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<tr>
<td>2—Cash Funds</td>
<td></td>
<td></td>
</tr>
<tr>
<td>3—In-Kind Contributions</td>
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Direct Costs $ $ $ $
Indirect Rate $ $ $ $
Training Stipends $ $ $ $
Total $ $ $ $

Note: Include all cash match and/or institutionalization costs.

Required Signatures:

Project Director/Investigator (print and sign) Date

Department Chair/Administrative Head (print and sign) Date

Controller of Sponsored Programs (print and sign) Date

Vice President, Finance & Governmental Relations (print and sign) Date

Executive Council Representative (print and sign) Date

Cabinet Approval: [ ] Yes [ ] No Date ____________
Office of Sponsored Programs
Departmental Survey/Request for Grant-Writing Assistance

Name of ASC Department: __________________________

Dept. Contact Name, email, phone: __________________________

Please feel free to use a separate sheet to fully address these questions.

1. What are your departmental/program needs for grants or other funding? (please list). Please indicate the urgency of need for each (low, medium, high).

2. Do you have donor or grant prospects? (please list)

3. Do you have specific grants identified that are well-suited to your program need? (please list, with deadlines) Please also note whether these are grants that come up annually for application or renewal.

4. What is your Department's history of receiving grants? Please list name of funder and grant opportunity, title, amount, and year of grant awarded, author. You may mention prior significant awards that you deem important to potential future funding opportunities.

   1) What grants has your department applied for over the past 3 years?

   2) What grants has your department received over the past 3 years?

Would you or someone in your department plan to attend an ASC grant writing workshop (circle)?

☐ Yes  ☐ No

Please also describe your greatest need in grant writing skills or support:

For information on ASC's grants process and grant-related policies, go to www.adams.edu/grants. To receive grant-writing assistance the pre-proposal must be approved through the Intent to Apply process. Please submit basic info. about your grant (funder, title, amount, grant period, deadlines, etc.) on-line through an Intent to Apply at least 6-8 weeks prior to the grant deadline.

Basic information on existing grants, grant applications and Intents to Apply will be available in an online database spreadsheet. This information is publicly available in the interest of broader awareness and coordination of grant-seeking efforts.
Grant-Writing Incentives

Revision to current schedule (2004 Memo) of incentive awards for successful grant proposals:

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