ILLINOIS WESLEYAN

Grants and Foundation Relations

Departmental Procedures, Processes, and Responsibilities

Approved 2-24-2020

Departmental Procedures, Processes, and Responsibilities

Section 1: General Operations

1A: General Information

The Grants and Foundation Relations office (GFR) is located in Holmes 200. Office Hours are Monday – Friday, 8 am – 4:30 pm (with 4:00 pm ending time for summer hours).

The Grants and Foundation Relations office encourages and facilitates the processes of faculty, staff, and administration seeking external funding and fellowships from governmental agencies and private foundations for scholarship, teaching, professional development, service, and departmental and institutional priorities; and supports the post-award administration of awarded funds.

1B: File Management

Proper management of records is essential to understand relationships with funders, to insure management of awards, and to facilitate reporting and compliance.

Procedure 1B-01: File Nomenclature: All submission projects will be identified using a nomenclature constructed of the submission date, foundation or agency name, program name (for agencies with multiple programs), and principle investigator last name (e.g. "2018-07-02-Mellon-Brodl" indicates a proposal submitted to the Andrew W. Mellon Foundation on July 2, 2018 by Mark Brodl).

Procedure 1B-02: Directory/File Structure for Submissions: Each directory will have the following components: Proposal, Budget, Correspondence, Notice of Award or Notice of Denial, Funds Received, Invitation to Apply, and Proposal Development and Submission Packet subdirectories. Files will be named with the standard File Nomenclature plus the component name (e.g. "2018-07-02-Mellon-Brodl-Budget" indicates a budget document). Note: files inside the Proposal Development and Submission Packet subdirectories will not follow standard nomenclature (Procedure 1B-01), but will retain the names used in development or by the foundation or agency upon submission.

Procedure 1B-03: Paper Files Structure: Paper files will mirror the electronic directories in content. Each section will have a cover page with the section name, and the inside cover of the file will contain the project number, a project overview, and a table of contents.

Procedure 1B-04: Recording Submissions and Awards: GFR staff will maintain an electronic record of submissions and awards organized by fiscal year. The record will include the project identification number, the date of submission, the date of award or denial, the foundation or agency name, project title, principle/project investigator name, total dollar amount requested, indirect dollars requested, total dollars awarded, notes or description.

1C: Business Plan

The Grants and Foundation Relations office will produce a Business Plan each August to govern communications, operations, and financial plans for the coming fiscal year. The plan will be sent to the Provost.

1D: Status Reporting

The Grants and Foundation Relations office will maintain the following reports:

1D-01: Monthly Status Report: a monthly report will be produced that includes the following categories, with data from the month and running fiscal year totals: Number of Submission, Total Dollars Requested, Total Indirects Requested, Number of Awards, Total Dollars Awarded, Total Indirects Awarded, Awarded Dollars by Source (Federal Agencies, State Agencies, City/County Agencies, Corporations, Private Foundations), Funds Received form Active Awards, Number of Submitted Reports, Number of Faculty and Staff Engaged by the GFR, Number of Discovery/Award Meetings, List of Submissions, List of Awards, List of Submitted Reports, List of Funds Received, Distribution of Submissions across Disciplines. This report will be distributed to the President, Provost, and Vice President of Advancement, University Digital Archives, and filed in the GFR office.

1D-02: Board of Trustees Quarterly Report: a report will be produced for Board of Trustees meetings using data from the quarter, including: Number of Submissions, Total Dollars Requested, Total Dollars Requested by Funding Source (Governmental Sources vs Private Foundations),Total Dollars Requested by Purpose (Faculty Scholarship vs Institutional Support), Number of Awards, Total Dollars Awarded, Total Dollars Awarded by Funding Source (Governmental Sources vs Private Foundations),Total Dollars Awarded by Purpose (Faculty Scholarship vs Institutional Support).

1D-03: Annual Report: a report will be produced in August each year detailing activities from the previous fiscal year. The report will use graphs and charts to give context to the accomplishments of the year as related to past trends. The following data will be presented: Number of Submissions and Awards across Fiscal Years, Total Dollars Requested and Awarded across Fiscal Years, Percentage of Governmental vs Private Foundation Submissions across Fiscal Years, Submission Distribution across Academic Divisions, Grantseeking Activities of Submissions and Awards by Funding Source and Purpose, Duration from Submission to Award Notification for Successful Proposals, Location of Funders.

1D-04: 5-Year Academic Impact Report: a report will be maintained with a five year running total of activities funded through external awards, divided into four broad categories: overall support, faculty support, institutional support, student and campus life support. Total Dollars will be displayed for each category. In addition, *Faculty Support* will show: Number of Months of Faculty Scholarship Conducted, Number of Faculty Paid Enhancements for Curriculum Development, Number of Faculty Participating in Funded Professional Development, Number of Faculty whose Travel was Supported; *Institutional Support* will show: Number of Visitor or Adjunct Positions Funded, Number of New Courses Developed, Total Amount of Program Support, Equipment Purchased, Renovations Funded, and Endowment; *Student and Campus Life Support* will show: Number of Student Scholarships Provided, Number of Research Fellowships Funded, Number of Campus/Community Events Supported.

1D-05: Federal Agencies Submissions and Awards Report: a report will be produced annually that isolates federal submissions and awards by agency, and will include: Principle/Project Investigator, Project Title, Total Dollars Requested/Awarded, Total Indirects Requested/Awarded, Date of Submission/Award, Purpose (Departmental or Institutional).

1D-06: Transaction Journal: a journal of all transactions, relevant data, and support materials will be maintained.

1E: Schedule of Activities and Grants Calendar

The Grants and Foundation Relations office will maintain the calendar of known proposal submission and award report deadlines.

1F: Foundation Management

National Foundation Management: The Director of Grants and Foundation Relations will be the prospect manager for all foundations less those assigned to a Major Gift Officer (MGO) in Advancement.

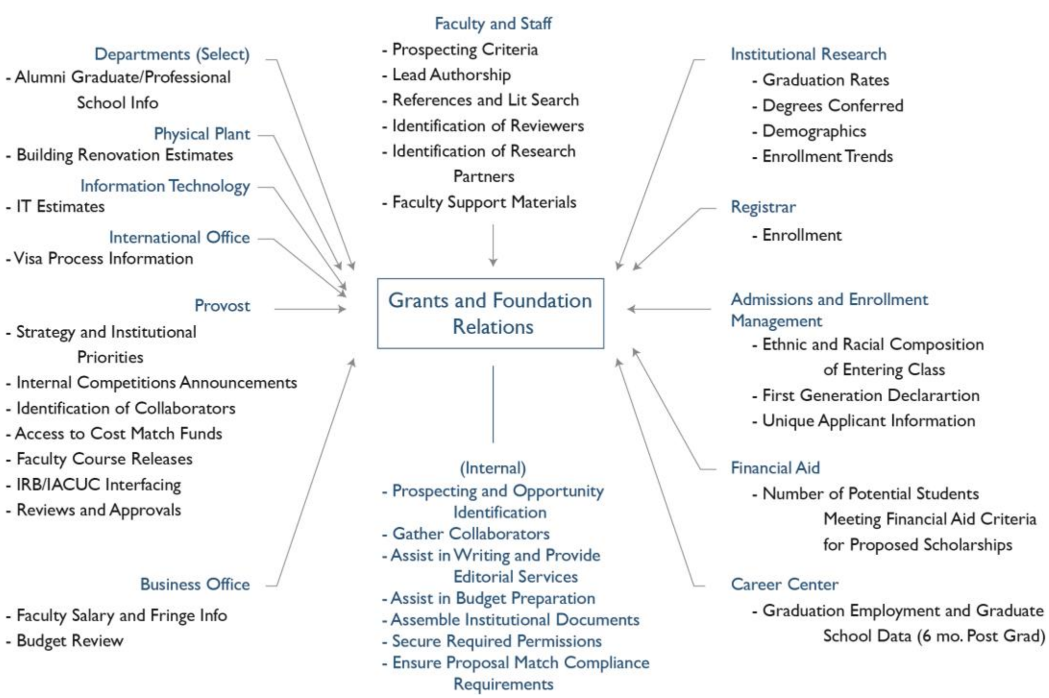
Regional Foundation Assignments: The Director of Grants and Foundation Relations in partnership with the Vice President of Advancement will assign the prospect management of select regional foundations to Major Gift Officers when a core university prospect already assigned to a MGO is influencing and/or intimately involved in the foundation.

Affinity Index: The Grants and Foundation Relations office will score and maintain an Affinity Index for Private Foundations in order to measure the closeness and receptivity of engagement of an organization to the University. The scale ranges from 0.0 to 1.0, with foundations receiving points for attributes and behaviors. The following categories will contribute to the overall points:

- Foundation has awarded to the university within the past 2 years (0.3 pts)
- Foundation has an internal advocate for the university (0.2 pts)
- Foundation has meet with a university representative within the past 2 years (0.2 pts)
- Foundation has invited the university to apply within the past 2 years (0.2 pts)
- Foundation has corresponded with the university in the past 2 years (0.1 pts)
- Foundation is a past funder but not within the past 2 years (0.1 pts)

Section 2: Prospecting and Proposal Development

Diagram 1: Proposal Development Interoffice Collaborations



2A: Opportunity Identification (Prospecting and Process Initiation)

The University seeks funding for institutional priorities and faculty scholarship. Opportunities are identified in multiple ways, and may come directly from faculty and staff members, the administration, or through prospect research and relationships with agencies and professional colleagues. *One goal of the Grants and Foundation Relations office is to identify 50% of the proposed opportunities annually*. The GFR office will engage in regular prospecting on institutional priorities and faculty scholarship support. Staff will use prospecting tools licensed to the office, and the internet to search for opportunities.

Institutional priorities are established by the President, with strategies and parameters defined by the Provost and the Vice President of Advancement. The GRF office will look for funding to support institutional priorities on a regular and on-going basis.

Procedure 2A-01: Institutional Priorities Opportunity Prospecting: a minimum of 3 hours per week will be scheduled to search for opportunities using licensed prospecting tools.

Seeking faculty/staff scholarship funding will be conducted as a "round robin" process, but faculty members who have approached the office for support and those who are scheduled for junior leaves and sabbaticals will be given priority. In order to most effectively search for funding support for faculty members, the following information will be collected:

Procedure 2A-02: Faculty/Staff Opportunity Prospecting: Meet with the faculty or staff member(s) to discuss the scholarship and timeline. Use the Prospecting Request - Form 2A-02 to gather a brief description of the project, discipline-specific key words for searches, overall budget needs, names of researchers working on similar projects, and the faculty/staff curriculum vitae. Next, schedule 3 hours to use office prospecting software (Foundation Search, Foundation Directory Online) to find or rule out opportunities. Create a report for the client using the Prospecting Report Template – Form 2A-03 and schedule a meeting to discuss the outcomes.

If qualified opportunities are identified through the prospecting process, or if the opportunity is identified by faculty or staff members, a proposal development process will be initiated.

2B: Internal Competitions

In situations where the institution can only submit a limited number of proposals (e.g. NSF:MRI, NEH, Faculty Awards) and more faculty members are interested than the limit, the Provost and Dean of Faculty will determine which proposals are submitted. This process will include providing a one-page summary of the proposal to the Provost at least four weeks prior to the deadline, to ensure adequate time for review. In these cases, faculty will be notified via the fac-forum listserv of competition parameters and deadlines.

Procedure 2B-01: Internal Competitions: Prepare an email with relevant information regarding the competition including a timeline and reference to criteria, and send it to the Provost office for distribution.

2C: Proposal Development

The proposal development process will begin by meeting with the Principle Investigator (PI) or with constituents who will be Co-PIs. In the case of faculty scholarship, the PI will be the faculty member.

Procedure 2C-01: Proposal Development: Objectives of the meeting will be:

- To review of submission criteria and/or RFP
- To establish a timeline for developing the proposal
- To identify sources of required information (see diagram 1)
- To create an outline for the proposal
- To draft an initial budget
- To identify university resources and obligations
- To delineate and assign roles for the development of materials
- To create a submission checklist

The following documents will be produced for use in the process:

- Submission checklist with responsibilities
- Proposal Outline
- Budget
- Budget Narrative
- Timeline

Procedure 2C-02: Administrative Review: The Principal Investigator will be required to complete the Administrative Review Form – Form 2C-02 and get the required signatures.

Procedure 2C-03: Certifications: For most grants including federal grants, the Principal Investigator will be required to sign the following documents, when appropriate:

- The Financial Conflict of Interest and Disclosure Policy – Form 2C-03
- Acknowledgement of the Responsible Conduct of Research Policy – Form 2C-05
- Responsible Conduct of Research Training Plan for Student Researchers – Form 2C-06
- Acknowledgement of Summer Research Assistants Policy and Procedure – Form 2C-07
- Summer Research Assistant Authorization – Form 2C-08
- Acknowledgement of the Time and Effort Certification Policy – Form 2C-09
- Time and Effort Certification Report – Form 2C-10

2D: Proposal Submission

Proposals will be submitted by the staff of the Grants and Foundation Relations office in coordination with the Principal Investigator(s). Several days prior to submission, required documents and materials will be gathered; the Provost will be notified of the timeframe in which he will be required to approve the submission. Materials will be uploaded, electronic submission forms will be completed, and/or a submission package will be constructed. Once Provost approval has been received, submission will occur (well in advance of the deadline to safeguard against technical delays).

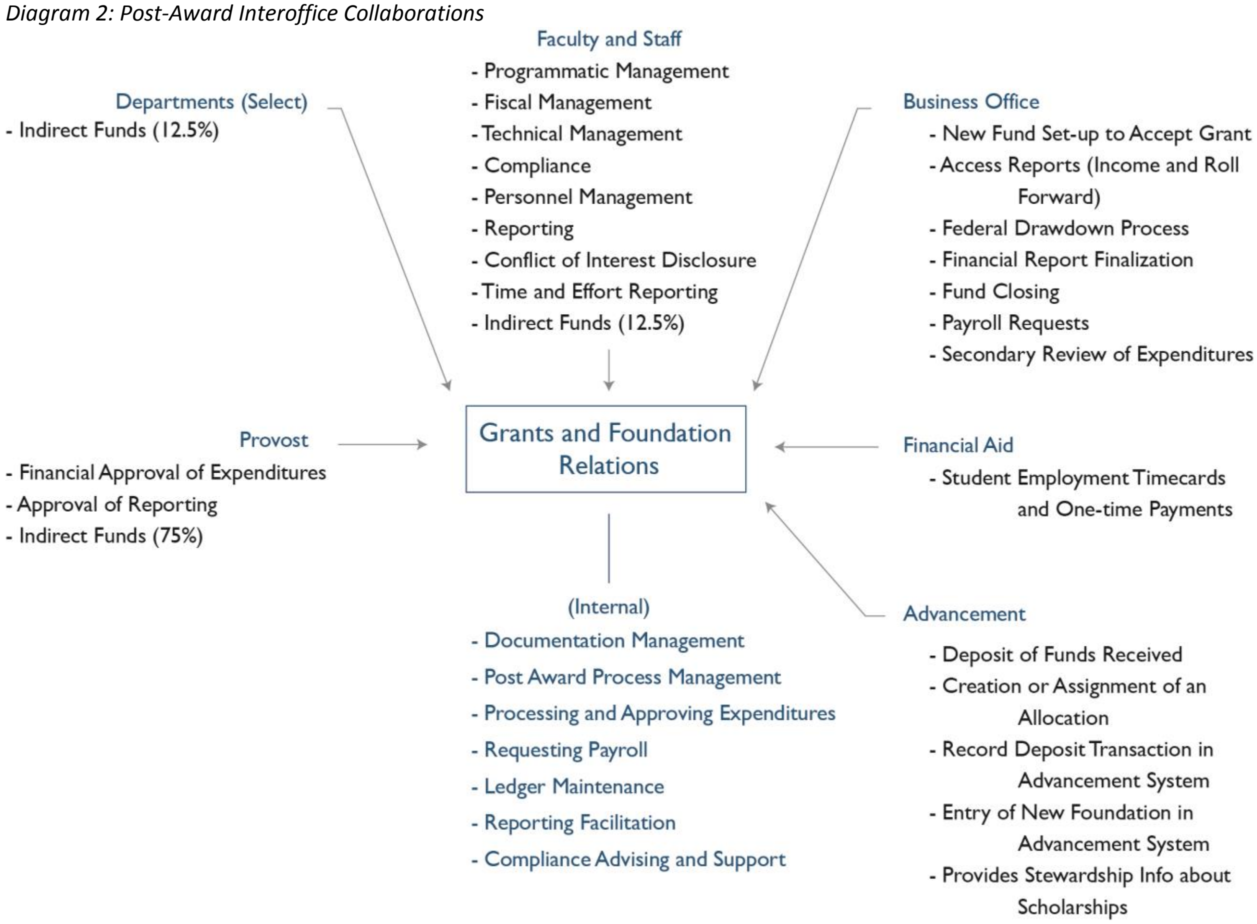
Procedure 2D-01: File management: Submitted materials will be filed under the project name, which follows the nomenclature "YYYY-MM-DD-Foundation/agency name-program name or PI last name". Files are initially kept in a "submitted" area within the file system. Awarded projects are moved to an “awarded” area; denied projects are moved to the “archive area”. File disposal will follow Procedure 2D-02.

Procedure 2D-02: File disposal: Proposals not funded will be kept for 5 years. The date of disposal will be clearly marked on the outside of the folder. Each August, files whose disposal dates have passed will be pulled for a final review before disposal. Sensitive materials will be shredded.

Disposal of awarded proposals will occur 5 years after the closing date of the funding. At the time of award, the project timeframe and the projected disposal date will be calculated. The date of disposal will be clearly marked on the outside of the folder. If an extension is granted to the project, the file disposal date will be updated at that time. Each August, files whose disposal dates have passed will be pulled for a final review before disposal. Sensitive materials will be shredded.

Section 3: Post-Award Management

Diagram 2: Post-Award Interoffice Collaborations



3A: New Award Set-up

The process of Post Award Management begins when a Notice of Award is received. The process may involve several administrative offices, including the Grants and Foundation Relations Office, the Business Office, the Advancement Office, Human Resources, and Financial Aid.

Procedure 3A-01: Recording a Notification of Award: The Grants and Foundation Relations Office will:

- Scan or electronically capture the Notice of Award
- Place a copy of the scan in a Post Award directory within the grant project directory
- Place a paper copy of the scan in the hard copy file labeled as Notice of Award, and update the hard copy file table of contents

When funds are received, the following will occur:

Procedure 3A-02: Depositing of Funds: The Grants and Foundation Relations Office will:

- Determine if the funding source is a recorded "entity" in the Advancement Office system.
- If the funding source "entity" is NOT in the Advancement system, a new fund number will be requested of the Associate Controller in the Business Office. The request will include a Grant Transmittal Form (See Procedure 3A-03: Completing a Grant Transmittal Form), the Notice of Award, and Project Budget. The Business Office will assign, and record in the Banner System, a Fund Number and Org Number to the award.
- When an "entity's" fund number is available, a completed Grants Transmittal Form with the Funding Check is sent to a Gift Information Specialist in the Advancement Office, and copies sent to the Business Office and placed in the GFRO file electronic and paper systems. The Advancement Office will assign an "Allocation" number to the award associated with the fund number assigned from the Business Office.

Procedure 3A-03: Completing a Grant Transmittal Form (GTF): The Grants and Foundation Relations Office will complete the form. The GTF has the following required information:

- Form author and date; Prospect Manager
- Donor Entity Name and ID Number, Project Name, Project Director, Co-Project Directors
- Payment Details such as Expectancy Amount, Installment Amount, Tender Type, etc.
- Distribution of Income with the Allocation Number, Fund Number, Org Number, Account Number, etc.
- Distribution of Expenses with the Fund Number, Org Number, Program Number, and List of Account Numbers with descriptions of expenses
- Who will acknowledge the award, and should it be counted in a campaign

Procedure 3A-04: Acceptance of Awards and Contracts:

- Where required, an acceptance of the award will be sent to the funding source in accordance with their instructions. The grantor may require an acknowledgment from the President, Provost, or the Vice President for Business and Finance. The Grants and Foundation Relations Office will obtain the necessary signatures and ensure that an acknowledgement letter is prepared, sent and saved in Advancement Office system as well as electronic and hard files by the President, Advancement or GFR Office.
- The Grants and Foundation Relations Office will work with the Provost Office and the Vice President of Business and Finance to get contracts executed.

Procedure 3A-05: Internal Communications:

- Notification of the Award will be emailed to the President, Provost, Director of Communications, VP for Business and Finance, Controller, Prospect Manager, Department Chair or School Director, with a 'cc' to the Principle Investigator

Procedure 3A-06: Start-up Meeting:

- A start-up meeting with the PI will occur within a few weeks of receiving the Notice of Award to go over reporting, processing expenditures, and post-grant administration processes. The GFR Office will review the award to make certain there are no unexpected terms and conditions in the award documents. Reporting and other deadlines will be noted on master calendar and discussed with PI.

3B: Post-Award Management

Post Award Management involves financial oversight, reporting facilitation, and compliance monitoring.

Procedure 3B-01: Processing Expenditures: After receiving requests for reimbursements (with receipts), invoices to be processed, travel expense vouchers, and requests for non-invoice payments, the Director of Grants and Foundation Relations ~~Office~~ will:

- Review expense requests against approved budgets, checking for fund availability
- Review expense requests to determine that they are reasonable, allocable, and allowable according to uniform guidance and agency/foundation notifications and agreements
- Review Banner for ongoing expenses
- Check expense requests against compliance documentation
- Verify that supporting expense documentation is complete
- Assign proper fund, organization, account, and program codes to the request
- Confirm appropriateness of the expenditure when an approved budget exists or seek guidance from the Provost for expenditures that are not from an approved budget, have a conflict of interest component, or are extraordinary.
- Once the expense package is authorized by the Director of Grants and Foundation Relations, it is then delivered to the Business Office for processing.

Next Steps:

- The Business Office conducts a secondary review of materials prior to processing, and may return the package for additional verification materials.
- The processing of payroll is the responsibility of the Payroll/Benefits Coordinator with approval from the Controller.
- The processing of accounts payable and accounts receivable is the responsibility of the Associate Controller with approval from the Controller.

Procedure 3B-02: Budget Amendments: Funds assigned to project budget categories may be reassigned, provided the funding agency allows re-budgeting, and following funding agency requirements. In order to have funds reassigned, a request is made in writing (email) by the Principal Investigator/Project Director to the Grants Office. The budget revision request communication will be captured and included in the official project documentation file. The Director of Grants, in partnership with the Provost, may approve the amendment to the budget after careful review of grant agreements, agency notifications, and Uniform Guidance [200.308] documents. The Principal Investigator/Project Director will be notified of the decision within 2 weeks of the request. If approved, the budget will be updated immediately in the project documentation and associated shadow ledgers.

Procedure 3B-03: Cost Transfers: In the event that costs need to be transferred between a grant award project and another fund (such as a department operating or Indirect Cost) and the expenditure is reclassified, the following process is followed:

- A written request (email), justification, and supporting materials are sent from the Principal Investigator/Project Director to the Grants Office.
- The request, justification, and supporting documents are reviewed by the Director of Grants for approval within two weeks of receipt of the written request.
- A Cost Transfer request is generated by the Director of Grants with supporting documentation and sent to the Business Office for secondary review and processing in the University's Banner accounting system. The Associate Controller in the Business Office will approve and process the cost transfer, or return the request to the Director of Grants within two weeks of receipt. The Principal Investigator/Project Director will be notified of the status of the request at each iterative stage.
- The Director of Grants updates the project record and associated shadow ledgers.

Procedure 3B-04: Regular Review: All award activities and expenditures are reviewed on a regular cycle, either monthly, quarterly, or annually. For governmental awards, the review is conducted monthly or quarterly depending on the drawdown cycle. During the drawdown process, the following occurs:

- The Director of Grants and Foundation Relations or departmental staff gather relevant expenditures for the time period through the departmental transaction journal or shadow MS Excel ledgers.
- These expenditures are sent to the Associate Controller who verifies the expenses in the University's Banner accounting system.
- The Associate Controller confirms the drawdown amount, or brings issues to the Grants department for discussion and further investigation.
- Once the Grants office and Associate Controller concur that the drawdown materials are correct, the Associate Controller processes the drawdown with the appropriate agency.

Procedure 3B-05: Cost Overruns: Any expenditures that exceed a budget category or are unallowable against a grant agreement are identified by the Grants office during expense processing. In the event of this occurrence, the following remedies may be applied:

- Transfer of fund allocation from a different budget category
- Supplies and equipment may be returned
- Expenses may be charged to unassigned Indirect Cost funds
- Expenses may be assigned to general departmental operating budgets

Procedure 3B-06: Procurement: University Procurement is governed by the Illinois Procurement Code (30 ILCS 500) and the rules of the Chief Procurement Officer for Higher Education promulgated thereunder. For grant awards, expenditures are initiated by the Principal Investigator/Project Director, reviewed and approved by the Grants Office, and secondarily reviewed and approved by the Business Office. Methods of procurement include invoices, purchasing cards, and reimbursements.

Procedure 3B-07: Unallowable Expenses: When expenses are determined to be unreasonable, un-allocable, or unallowable, the following remedies may be sought:

A. for those that do not meet agency/foundation requirements, but are within University practices:
    - Available funds for use will be identified by the Director of Grants; these may include departmental operations funds, endowed project and research funds, Provost discretionary funds, or indirect cost funds
B. for those that do not meet agency/foundation requirements, nor acceptable University practices:
    - purchased equipment or supplies may be returned to the vendor

- purchased expended resources like food or travel may be charged personally to the Principle Investigator/Project Director