



### Winona State University

## Guidelines and Policies Related to Grants

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1. **PURPOSE:** To establish the responsibility for providing information and assistance in the development of grant applications/proposals to project directors and others. In addition, this administrative regulation will outline the in-house application submission process.
2. All grants for approved research and sponsored projects are the legal and fiscal responsibility of the institution and are, therefore, awarded to Winona State University, rather than to the project director. Although the project director is held individually responsible by the University for the proper management of the grant and for meeting the objectives of the grant, it is the University which will ultimately be held responsible for the overall administration of all funded projects. Therefore, all funds related to grants, regardless of source, shall be administered as University funds in accordance with Minnesota State Law, State University Board Rules and Regulations, Winona State University Rules and Regulations, and the publication *Business Office Procedures Manual* and subsequent revisions, and all guidelines set up by the State of Minnesota, Department of Procurement. The project director is hereby designated as the person responsible for sound administration and adherence to the procedures outlined above.
3. Individual faculty and administrative staff shall not solicit funds or accept funding from agencies, either public or private, without first consulting with the Director of Grants & Sponsored Projects. Only those proposals following the procedure outlined in this document may be submitted in the name of Winona State University, its colleges, and departments.
4. The Director of Grants & Sponsored Projects is primarily responsible for educating the University Community about funding sources, procedures and regulations, while assisting project directors in the development and submission of funding proposals to Federal, State, and local governments, as well as to corporations, foundations, and other public and private organizations other than governments.

The Director of Grants & Sponsored Projects is primarily responsible for:

- Providing the information about potential funding sources.
- Assisting the proposal writer with the internal approval process.
- Developing the policies concerning indirect cost rates and negotiating with government and non-government agencies concerning budgets (including indirect costs).
- Providing leadership to the management of all University grants and serving as the University's liaison with the Federal and State governments, the State University Board Office, and other agencies.
- Maintaining the official institution file for each project.
- Representing the University in negotiations if changes in the approved budget become necessary.
- Interpreting state and federal laws, regulations and contract agreements.

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- Submitting all grant proposals where appropriate, to the State clearinghouse, the Department of Administration, and the State University Board Office.

The Office of Finance and Administrative Affairs is primarily responsible for:

- Ensuring that the grant budget is compatible with all University rules and regulations.
- Maintaining complete accounting records for each grant.
- Informing the Project Director immediately upon establishing any required matching funds account, and assisting with procuring equipment, supplies, and materials.
- Preparing fiscal reports and meeting the fiscal guidelines of the granting agencies.
- Cooperating with the Director of Grants & Sponsored Projects concerning indirect cost rates and regulations.

5. The project director will have responsibility for:

- Preparing the written project proposal.
- Securing required University facilities, equipment, and supplies in consultation with the appropriate Department and Dean.
- Advising the Director of Grants & Sponsored Projects immediately upon receiving notification of a grant award or denial.
- Preparing and administering a coded internal budget in consultation with the Budget Director.
- Assisting the Office of Finance and Administration in preparing the fiscal reports.
- Assisting the Director of Grants & Sponsored Projects with any final reporting requirements and post-grants needs.

6. The normal sequence of events in developing an application/proposal is as indicated on Attachment A. As a part of the internal review process, the project director must meet any application/proposal approval requirements established by his/her department and/or college; must secure approvals from the [WSU Human Subjects Committee](#), [WSU Institutional Animal Care and Use Committee](#), and/or other regulatory approvals, if required; and must secure the signature commitments of his/her Department as indicated by the Chairperson's signature, Dean and/or other individual(s) authorized to commit resources in support of the project, if required, on the [Transmittal Form for Grants & Sponsored Projects](#). All signatures must be secured prior to submission of an application/proposal. This applies whether the application/proposal is submitted via hard copy or electronically.

The Director of Grants & Sponsored Projects will then circulate the Transmittal Form and final grant copies for the remaining required signatures. Because persons in the approval chain are making decisions which often affect programs, facilities, budgets, or employment, it is incumbent upon each proposal writer to begin the approval/review process as far in advance of the funding agency's submission deadline as possible.

7. It is the policy of Winona State University to include indirect costs on all proposals. Indirect costs are in recognition on the part of funding agencies of the overall cost experienced by grantee institutions as a direct result of providing space, utilities, personnel, and administrative support to grants and research projects. It is the responsibility of the proposal writer to include indirect costs in the grant proposal. If the sponsoring agency does not allow

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indirect costs or allows less than WSU's current rate, the project director must attach documentation that clearly states this policy as justification for requesting a non-standard rate.

Winona State University has an established indirect cost rate with the U.S. Department of Health and Human Services based on a percentage of 44% of salaries, wages and fringe benefits. The project director must contact the Director of Grants & Sponsored Projects for the current rate when figuring the amount of indirect costs.

8. The notification letter from the funding agency indicating an approval or denial must be brought to the attention of the Director of Grants & Sponsored Projects immediately upon receipt. The Director of Grants & Sponsored Projects will then inform the Project Director, Department, Dean, other individual(s) who committed resources in support of the project, and the Office of Finance and Administration of any grant award notification received; will fulfill all state agency reporting requirements; and will deliver any required letter of acceptance, letter of agreement, contract, or other such document to an *authorized official* (President or Vice Presidents) for his/her signature.
9. Only *authorized officials* (President, or Vice Presidents) are to accept and sign for funds from any source either public or private.
10. **Multiple Submissions:** In instances where WSU faculty and staff prepare competing grant applications for submission to the same funding source program, which formally prohibits or informally discourages submission of multiple applications from a single institution, WSU will approve the submission of only one of the applications. Faculty and staff are encouraged to notify the Grants Director of their intent to submit a grant application as soon as they decide to do so. As soon as the Grants Director becomes aware that potentially competing applications are under preparation, the Director will work with the applicants to facilitate preparation of a collaborative proposal. If such collaboration is not feasible due to proposal content and/or time constraints, the Director will notify the appropriate Dean. The Deans' Council will recommend to the President which application will be submitted.
11. **Institutional Commitment:** For grant applications requiring matching funds, grantwriters should contact the Grants Director at least two weeks in advance of the application deadline with a brief written description of the proposed project (no longer than one page) and a list of institutional commitments anticipated during and after the grant period. The Grants Director will assist the grantwriter in identifying which individuals on campus are authorized to make specific institutional commitments and encourage the grantwriters to secure those tentative commitments immediately. They may do so using the standard grants Transmittal Form.

This WSU Regulation supersedes the WSU Regulation 2-8 dated October 1, 2002.

AUTHENTICATED BY:

  
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Judith A. Ramaley  
President

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April 21, 2008  
Date of Adoption

# Regulation 2-8

Authoritative Reference  
[MnSCU Board Policy 7.7, Gifts and Grants Acceptance](#)  
President

Initial date of Adoption: 11/30/76

Date of Revisions: 7/27/79, 5/1/80, 2/10/86, 11/6/87, 8/18/88, 3/11/94, 1/26/95, 1/26/95, 1/30/97, 10/1/02, 4/21/08

## LIST OF ATTACHMENTS

Attachment A – Submission Process for All Grants Application/Proposals

Attachment B – Approval Signatures

Attachment C – Transmittal Form Instructions

Attachment D - Transmittal Form link

## ATTACHMENT A

### SUBMISSION PROCESS FOR ALL GRANTS APPLICATION/PROPOSALS

1. **Project Director:** After consulting with the Director of Grants & Sponsored Projects and the appropriate Dean and Department, the project director completes the proposal. He/she then attaches the Transmittal Form and, if required, secures the signature commitment of his/her Department as indicated by the Chairperson's signature, Dean, and/or other individual(s) authorized to commit resources in support of the project on the Transmittal Form. This applies whether the application/proposal is submitted via hard copy or electronically.
2. **Department, Dean and/or other individual(s) authorized to commit resources on behalf of the project:** Reviews the proposal with the project director. Special considerations include: departmental and college goals, monetary commitments, faculty release time, equipment and facilities. If disapproved, the grant proposal is returned to the project director with written comments. If approved, the Department as indicated by the Chairperson's signature, Dean and/or other signatories sign the Transmittal Form and attach it to the proposal along with any written comments he/she might have. These signatures indicate the signer has accepted responsibility for securing resources to support the project. The proposal, Transmittal Form, and written comments are then returned to the project director who makes any agreed upon changes and produces two copies of the proposal in final form. The proposal and the Transmittal Form are forwarded to the Director of Grants & Sponsored Projects. (NOTE: At the discretion of the Department, Dean and/or other individuals, their signatory approvals may be sought early in the proposal development process, based on a draft proposal and a budget based on best estimates or cost ranges. However, if the budget figures in the final proposal vary by more than 5%, re-approvals will be required before the proposal is transmitted to the Director of Grants & Sponsored Projects.)
3. **The Director of Grants & Sponsored Projects:** Reviews the proposal for consistency with the State University Board Office and WSU policies and regulations, all policies of the funding agency including [human subject](#), [animal care](#), hazardous chemical and recombinant DNA requirements. The budget and indirect cost rate are reviewed for compliance with current WSU negotiated rates. If approved the proposal and transmittal

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form are forwarded to the Budget Director.

4. **The Budget Director:** Reviews the proposal in terms of budgetary commitments, legal implications, and administrative support requirements. If approved, the proposal and signed Transmittal Form are returned to the Director of Grants & Sponsored Projects, who secures the signatures of the appropriate Vice President or President on the Transmittal Form and the signature of an *authorized official* (President or Vice Presidents) on the proposal.
5. **Vice President or President's Office:** Reviews the proposal in terms of institutional objectives, space required, budgetary and personnel needs and commitments, existing collective bargaining agreements, academic objectives and post-grant assurances and commitments. If the proposal is disapproved, it is returned to the Project Director with written comments. If it is approved, the Transmittal Form is signed and returned to the Director of Grants & Sponsored Projects for submission to the funding source.

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### ATTACHMENT B

#### APPROVAL SIGNATURES

With a signature the:

1. Project Director acknowledges that:
  - The project is consistent with the University objectives and policies and has been discussed with the Department, Dean and/or appropriate Vice President, if warranted.
  - He/she will process all financial transactions, through the University Business Office in accordance with the Business Office Procedures Manual.
  - He/she will fulfill all the requirements of the grant.
  - He/she will administer the grant in accordance with the policies and procedures of the funding agency.
2. Department, Dean and/or other individuals authorized to commit resources in support of the project acknowledges that:
  - The project is consistent with the University objectives and policies.
  - The project does not conflict with department objectives and policies.
  - Cash, release time, and/or in-kind departmental, college or institutional resources are available for the project as specified in the grant proposal.
  - If release time is required, an adequate substitute will be found.
3. The Director of Grants & Sponsored Projects that:
  - The project is consistent with University policies and procedures.
  - The grant will be fiscally administered in accordance with the funding agency's policies and procedures.

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- All grant and contract negotiations are processed through the Grants Office.
4. The Budget Director acknowledges that:
- The budget is acceptable and consistent with University policies and procedures.
  - Accounting records will be compiled and maintained and fiscal reporting requirements will be met.
5. The Vice President or President acknowledges that:
- The project is consistent with the University objectives and policies.
  - Explanation has been made to all involved in the project what effect participation may have on tenure and other faculty privileges and rights.
  - He/she agrees to the provisions of the budget.
  - Salaries and wages agree with the University scale.
  - Space and facilities are available or are to be paid for by the grant.
  - Matching funds, if called for by the proposal, will be made available.
  - Personnel, facilities, and funds will be dedicated to the project as required by the contract.
  - The grant or contract does not violate the terms and/or conditions of any collective bargaining contract now in effect at WSU.

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**ATTACHMENT C:** The [Transmittal Form Instructions](#) are available in Word format.

**ATTACHMENT D:** [Transmittal Form for Grants & Sponsored Projects](#) is available online in Word format.