INTRODUCTION:

Misericordia University has enjoyed an increase in the number of private and public grants it has received. Grants from federal, state, and private sources help Misericordia achieve its goals of national recognition and regional acclaim. Most importantly, externally-funded projects allow faculty, staff, and students the opportunity to explore new areas of interest and research pursuits.

In order to assure that Misericordia’s success in obtaining outside grants continues, we have better organized the proposal development sequence and process. Larry Pellegrini, Director of Government, Corporate, and Foundation Relations, and his staff will support faculty and help shepherd the proposal development. His office will also ensure that all faculty-driven grants awarded to Misericordia meet the criteria established by the funding sources. His office will assist faculty and staff in the search for appropriate funding sources, proposal writing, and budget development. Government, Corporate, and Foundation Relations is here to help you with proposal development, review, submission, implementation, and reporting.

MISERICORDIA UNIVERSITY’S COMMITMENT:

Conducting research and/or seeking funding from external sources is a valued activity. It is also an activity which takes a significant amount of planning and resources. Misericordia University is committed to supporting faculty and staff in the development and implementation of grant preparation. To ensure a high quality product for competitive review, the process identified below has been developed. This process is to be followed regardless of funding source or award amount.

Student projects for research and external funding will also be supported; however, the students must have a faculty or staff member as the responsible party. These projects will be supported based on available resources.

THE PROPOSAL PROCESS:

This process is initiated by the faculty or staff person interested in seeking external funding.

PHASE I: PROJECT DEVELOPMENT PHASE:

- The interested individual/group will submit a one-page concept paper or project abstract to Government, Corporate, and Foundation Relations (GCFR) including potential funding sources (if
known). This will help in the identification of potential funding sources (private foundations, corporate programs, government funds, etc.). This step should be completed as early as possible. If the individual/group is responding to a call for proposals, the concept paper/abstract should be submitted at least six weeks prior to the submission date.

- After a suitable funder is identified, the individual who will assume the lead responsibility for the project will meet with the Director of Government, Corporate, and Foundation Relations to review important grant management issues such as information on reporting, budgeting, conflict of interest, evaluation, and personnel management. They also will review the Grant Management Responsibilities Form. The project manager will also be required to sign this document prior to going forward with submission of a full proposal.

- Following completion of the Grant Management Responsibilities Form, the lead individual will be referred to his/her appropriate department chair or director/manager for initial discussions of allocation of work time (release or paid) that will be required to fulfill the project goals, as well as any other programmatic or financial commitments that the project will require. This may include the need for matching funds, acquisition of space or additional external support. The discussion with the appropriate department chair/director/manager should be scheduled as soon as possible after the meeting with the Director of Government, Corporate, and Foundation Relations. If commitment of University resources beyond the department or division level is required, department/division chairs or director/managers MUST gain the approval of the appropriate Vice President.

- Following preliminary discussions with GCFR and appropriate administrative personnel, the interested individual/group will move to the proposal development and submission phase.

**PHASE II: PROPOSAL DEVELOPMENT AND SUBMISSION**

Once necessary approvals have been obtained, a follow-up meeting will be scheduled to discuss potential funders as well as to discuss proposal development steps and deadlines. Once these steps have been reviewed, GCFR staff (as a representative of the University) will:

- Contact the potential funding sources to discuss the project with appropriate individuals to gauge interest/support for the idea/program. If the plan calls for responding to a specific Request for Proposals (RFP), this step may be skipped. In addition, grant staff will research the funding source’s recent giving history (where possible) to help create a comprehensive background for the project.

- Develop a proposal development and submission outline and timeline to ensure that a quality submission is created in a timely manner. Grant staff reserve the right to modify the timeline based on the institutional priorities of the University. Please note that many grant makers have quarterly or semi-annual submission deadlines, so it is possible that a timeline may encompass anywhere from a few weeks up to six months.

- Determine whether your project requires Institutional Review Board approval. If IRB review is required, the lead person is responsible for moving the project through the IRB process as outlined at [http://misericordia.edu/misericordia_pg_sub.cfm?sub_page_id=4078&subcat_id=114&page_id=1071](http://misericordia.edu/misericordia_pg_sub.cfm?sub_page_id=4078&subcat_id=114&page_id=1071). Please be aware that the IRB meets monthly during the academic year and only once during the summer; therefore ample time must be allocated for the submission process for this activity. The schedule of IRB meeting dates can be found at [http://misericordia.edu/misericordia_pg_sub.cfm?sub_page_id=4078&subcat_id=114&page_id=1071](http://misericordia.edu/misericordia_pg_sub.cfm?sub_page_id=4078&subcat_id=114&page_id=1071).

- Edit the first and subsequent drafts, as requested.

- Assist in the development of the project budget.
- Serve as a liaison between the University and the grant maker (including after submission, should the funding source request additional information).
- Assist with gathering necessary grant submission required signatures from appropriate University administrators/chairs.
- Produce the required number of copies and assume responsibility for ensuring delivery of the proposal (provided the timeline is followed).
- Assist with final signature process, as needed.

Final approval is required for all external submissions. Approval to submit must be obtained from the appropriate Department Chair/Division Chair/Vice President or Department Director/Manager, depending on the resource requirements. A sign-off sheet will accompany the proposal and will be returned to the GCFR office prior to external submission. Sufficient time will be required for this review process and should be planned for as part of the overall proposal development timeline by the lead person.

### Suggested Proposal Development Timeline

Upon determination of a funding source for a potential project, the following timeline suggests the most ideal development process:

<table>
<thead>
<tr>
<th>Timeline:</th>
<th>Action:</th>
</tr>
</thead>
<tbody>
<tr>
<td>8 weeks prior:</td>
<td>Discuss concept with GCFR office and begin to outline the draft proposal including literature searches, research design, etc.</td>
</tr>
<tr>
<td>7-6 weeks prior:</td>
<td>Meet with Director of Government, Corporate, and Foundation Relations to discuss budget development, negotiations with department (resources and release time) and IRB approval (if necessary).</td>
</tr>
<tr>
<td>5-4 weeks prior:</td>
<td>Give first draft to GCFR office; edit first draft; continue budget development.</td>
</tr>
<tr>
<td>3-2 weeks prior:</td>
<td>Review of second draft; finalize budget, seek letters of support.</td>
</tr>
<tr>
<td>1 week prior:</td>
<td>Finalize proposal, develop necessary ancillary documentation (table of contents, bibliography, face sheets) and seek necessary sign-off.</td>
</tr>
<tr>
<td>Week of:</td>
<td>Prepare proposal for submission (copying, filing, mailing).</td>
</tr>
</tbody>
</table>
Proposal Submission Approval Sheet—FACULTY

Proposal Title: ____________________________________________________________

Author(s): ______________________________________________________________

Potential Funding Source: ________________________________________________

Proposal Due Date: _______________________________________________________

I have reviewed the FINAL draft of the attached proposal and APPROVE/DISAPPROVE of its submission to an external funder.

This form must be returned with all signatures along with a final draft of the proposal to the Government, Corporate, and Foundation Relations Department (218 Mercy Hall) prior to submission for external funding.

_____ Approved  _____ Disapproved - Reason: ________________________________

________________________________________  ____________________________
Vice President of Academic Affairs  Date

_____ Approved  _____ Disapproved - Reason: ________________________________

________________________________________  ____________________________
Department/Division Chair  Date
Proposal Submission Approval Sheet—STAFF

Proposal Title:__________________________________________________________

Author(s):______________________________________________________________

Potential Funding Source:__________________________________________________

Proposal Due Date:________________________________________________________

I have reviewed the FINAL draft of the attached proposal and APPROVE/DISAPPROVE of its submission to an external funder.

This form must be returned with all signatures along with a final draft of the proposal to the Government, Corporate, and Foundation Relations Department (218 Mercy Hall) prior to submission for external funding.

_____ Approved                        _____ Disapproved - Reason:

__________________________________________  _____________________________
Vice President                                    Date

_____ Approved                        _____ Disapproved - Reason:

__________________________________________  _____________________________
Department Director/Manager                        Date
Grant Proposal Clearance Process Checklist

☐ Meet with GCFR staff to discuss project/idea.

☐ Review the Grant Management Responsibilities form and discuss grant management with GCFR staff.

☐ Provide a one-page concept paper detailing the idea/project and anticipated funding needed to the GCFR office to help the office determine potential funding sources.

☐ Following concept paper submission, meet with respective Department Chair or Supervisor to obtain preliminary approval of the project and to begin discussions related to percentage of time to be spent on the project (release/paid time), as well as financial commitment required of the University for completion of the project (in-kind donations, indirect charges, cash matching funds, volunteer support, etc.).

☐ Meet with GCFR staff to receive a list of potential funding partners for the proposed project and to discuss services available through the office, such as: application acquisition, proposal outline development, timeline development, editing, contact with funding source, assistance with signature gathering process, copying and submission.

☐ Obtain appropriate signatures as designated on the Proposal Submission Approval Sheet prior to final submission to GCFR.

☐ Submit a final copy of the proposal and completed Proposal Submission Approval Sheet to the GCFR office where it will be maintained on file.
Grant Project Management Responsibilities Agreement Form

(Please initial on each task line and sign the form.)

If this proposal idea/concept is successful and a grant is awarded, I understand that I am responsible for the following tasks:

- Documentation of time spent on grant activities and ensuring that all parties involved in grant activities do the same. Retaining time documents for the duration of the grant agreement/period.

- Abide by all regulations (OMB, grant agreement, IRB).

- Acknowledge all conflicts of interest (including signing the Conflict of Interest Policy for Grant Applicants) and agree to abide by regulations regarding the same.

- Managing the grant budget (setting up separate accounts with the Controller’s Office, receiving invoices, approving invoices, sending invoices to the Controller’s Office for payment in a timely manner and periodically reviewing the budget to ensure that funds are spent in accordance with the proposal budget).

- Meet with the appropriate leadership on a quarterly basis to discuss grant progress, review budget expenditures and planned activities.

- Communicating to both internal and external parties involved in grant activities.

- Completing and submitting progress reports to the appropriate contact with the funding source and submitting copies to the GCFR office.

- Coordinating with Misericordia University’s Human Resources Department to ensure that position descriptions and new position forms are completed within a reasonable timeframe to ensure the hiring for new positions detailed within the proposal.

- Completing and submitting any final grant reports to the appropriate agency contact and submitting a copy to GCFR office.

- Retaining records for the requisite audit period as specified in the grant agreement.

Signature ___________________________ Date ________________
CONFLICT OF INTEREST POLICY
FOR
GRANT APPLICANTS

1. **Scope:** The following statement of policy applies to each member of the University who makes application for external funding. It is intended to serve as guidance for all persons employed at the University who apply for and acquire external funding and complies with regulations set forth by the Federal Office of Management and Budget (OMB).

2. **Fiduciary Responsibilities:** Members of the college who obtain external funding have the responsibility of upholding the public trust and have a clear obligation to fulfill their responsibilities related to the grant activities in a manner consistent with this fact. All decisions made by the grant applicant and those who work with the applicant on the project are to be made solely on the basis of the desire to promote the best interests of the institution and the public good. The University's integrity must be protected and advanced at all times.

Professional men and women are inevitably involved in affairs of other institutions and organizations. Effective groups are usually unable to consist entirely of individuals free from at least perceived conflicts of interest. Although most such potential conflicts are and will be deemed to be inconsequential, it is everyone's responsibility to ensure that the University is made aware of situations that involve familial, or business relationships that could be a concern to the University and/or the funding agency. Thus, the University requires that each grant applicant, principal investigator and/or grant manager do the following before completing the grant application process: (1) review the policy; (2) disclose any possible personal, familial, or business relationships that reasonably could give rise to a conflict involving the University or implementation of its fiduciary responsibility related to grant execution, and (3) to acknowledge to the best of his or her ability that he or she is in accordance with the letter and spirit of this policy.

The OMB circulars clearly state that grant awardees may not employ or secure bids from individuals who have a clear conflict of interest such as individuals who hold a family or business relationship with the awardee or those who participate in allocation of the award such as principal investigators or grant managers. Therefore, the applicant, principal investigator and/or grant manager is asked to attest to his/her understanding of this policy and to affix his/her signature to the statement listed below. To facilitate complete understanding of the policy, the following definitions are provided:

**Familial Relationship:** A spouse, parents, siblings, children, direct relation (aunt, uncle, cousin), domestic partner or any other relative if the latter resides in the same household as the awardee, principal investigator and/or grant manager.

**Business Relationship:** One in which an awardee, principal investigator and/or grant manager or family member of awardee, principal and/or grant manager serves as an officer, director, employee, partner, trustee, or controlling stockholder of an organization.
I agree to exercise my fiduciary responsibilities related to this grant by not employing or securing bids from individuals and/or companies where a conflict of interest exists.

NAME (please print)

SIGNATURE:

DATE:

Revised November 2011/Ip