

# ARKANSAS TECH UNIVERSITY BOARD POLICY

Policy Number: 401

Subject: Special Policy Statement Related to Grant Writing

Date Adopted: September 1986

Revised: \_\_\_\_\_

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The Executive Vice President, deans, and Administrative Council have been studying the area of grant writing, with special emphasis on providing incentives for faculty and staff to develop proposals. This policy statement is one of the results of this intensive study. Another result was the recent workshop conducted for faculty and staff on grant writing.

This policy statement is a supplement to the Grants Handbook published in 1983. If you do not have a copy of this booklet, they are available in the Office of the Executive Vice President.

The administration of Arkansas Tech University encourages faculty and administrators to seek outside funding to assist with improving the programs and activities of the University. As further emphasis toward encouragement, the criteria from the Grants Handbook are quoted below:

1. The proposal should relate to the overall mission of the University as specified in the 1984 ATU Long-Range Plan (p. 15).
2. The activities of the proposed project should contribute to the on-going programs of the University or to a new program desired by the University.
3. The proposed budget for the project is reasonable in view of the University's operating budget.
4. Adequate space will be available to house the project.
5. The teaching program of the University will not be hampered because of the project activities, rather it should be enhanced.

## **University Responsibility for Grant Development**

The Executive Vice President has had and will continue to have responsibility for grant development. The amount of grant writing has grown over the past few years, but this office is expected to continue added emphasis to this area of responsibility. The following items are important to this increased emphasis.

1. Technical assistance in the areas of idea development, proposal writing, and producing final copies of grant applications is available in the Office of the Executive Vice President.
2. Also available are materials and references relating to funding sources which will assist in identifying sources of grants, both private and Federal.
3. Individual conferences are encouraged by the Executive Vice President to work on any stage of a grant proposal from idea development to completion of the document.
4. Based on faculty need, workshops of various types will be presented to raise the level of grant writing competence.
5. The Executive Vice President can identify for faculty and staff other faculty and staff who have been successful in grant writing. These persons may be contacted and requested to assist persons working on proposals.

### **Other Assistance Available at the University**

In addition to working with personnel in the Office of the Executive Vice President, persons working or desiring to work on grant applications are encouraged to begin the process by talking with department heads, deans, and fellow faculty members. The Vice President for Academic Affairs should be involved during the development stage. Budget assistance can be obtained from the Vice President for Finance and Administration as well as from the Executive Vice President.

### **Faculty Development**

The appropriate personnel and groups are encouraged to adopt policies which would allow grant writing to become a consideration in the promotion and salary process in much the same way as professional writing and presentation of papers at professional meetings.

### **Indirect Costs**

Many grants allow indirect costs for the University. Indirect costs are those funds which are allowed above the costs of the project being proposed. Generally, it is understood that these funds are for the administration of the project by the institution receiving the grant funds. All Federal grants are allowed indirect costs and Arkansas Tech University has a negotiated rate for indirect costs. Occasionally the allowable indirect costs are less than the negotiated rate. Most private foundations do not allow indirect costs, but when developing a grant proposal allowable indirect costs should be checked and placed in the proposal as per the instructions for the grant application. In the past all indirect costs were kept in the overall general fund. In the future, indirect costs will be divided thusly:

50% - to the Office of the Vice President for Finance and Administration for University expenses related to administration of grants.

25% - to the department where the grant is directed to be used for further grant stimulation.

25%- to a special University fund which would be utilized when there are problems with indirect cost rates on specific grant proposals. Utilization of these funds must be approved by the Executive Vice President.

### **Release Time**

It is the policy of the University to grant release time for faculty once a grant is approved. This release time will be in accordance with salary provided by the grant and must be planned with the department head, dean, and Vice President for Academic Affairs in such a way and in time not to cause problems of scheduling and staffing classes. In addition to salary funds provided by the grant, there must also be available grant funds for fringe benefits.

### **Compensation for Grants and Research**

There are several situations which relate to the question of whether a faculty or staff person will receive additional compensation for conducting research or serving as a project director for a grant. The following situations apply in the future.

1. Release time is covered in the policy statement immediately above.
2. If a faculty member or administrator is given release time for research or directing a grant, no additional salary is given unless the responsibility for this release time can be determined to give the person a higher level of responsibility.
3. Additional pay will be allowed for summer work on research or grants when the person is not scheduled for regular teaching.
4. When there are special cases, such as a person being highly qualified for research or directing a grant, consideration will be given to increasing salary as long as the line-item maximum is sufficient. In these cases special efforts will be made to give the University time and production above that for a regular teaching or administrative load.

### **Grants Administration**

Responsibility for administration of grants, once they are received, has been assigned to the Office of Budget. These responsibilities include record keeping, assisting with required reports, and working with all budget matters.

### **Matching Requirements**

When grants require matching funds it is the responsibility of the person writing the grant to bring this to the attention of appropriate persons and to have these funds identified and approved by the appropriate vice president.

## **Space Requirements**

When making application for grant funds that would require additional space this matter should be arranged during the process of developing the grant proposal. The potential project director should identify the amount of additional space required if the project is funded, the type of space needed, and any other special requirements such as electrical wiring, laboratory furniture, etc.

## **Steps to Take in Grant Development**

The following steps are generally those taken during the development of a grant proposal.

1. Develop idea for proposal.
2. Determine the need of your department and the University for funds in this area.
3. Discuss these matters with peers, department head, dean, executive vice president or other vice presidents as appropriate.
4. Write a needs statement and the idea statement which would satisfy the need.
5. Discuss sources of funding with Executive Vice President and others that might be able to assist.
6. Locate one or more sources for funding and begin to study application procedures.
7. After making a decision on where an application will be submitted, study the application procedure carefully and discuss with the Executive Vice President if assistance is needed.
8. Develop draft of proposal, usually in this order:
  - a. needs statement
  - b. objectives
  - c. methods
  - d. evaluation
  - e. future funding
  - f. dissemination
  - g. budget
  - h. introduction
  - i. title page
  - j. summary
  - k. attachments
  - l. cover letter
9. Have the draft proposal reviewed by department head, dean, Academic Vice President, Vice President for Finance and Administration, and Executive Vice President.
10. When appropriate it would be good to have other persons who have written successful proposals review this draft.
11. Check draft of application carefully with guidelines given for application by funding agency.
12. Revise draft of application in line with comments and guidelines when appropriate.

13. Check back with persons who reviewed the first draft as appropriate and when there is a need.
14. Complete the application in final form and assembly according to application guidelines and directions.
15. Obtain a cover sheet utilized by the University for grant approvals and complete. This is available in the Office of the Executive Vice President.
16. Have persons sign off on the sheet beginning with department head, dean, followed by the vice presidents, and finally the president.
17. Check mailing instructions and send the appropriate copies to granting source. Check that the appropriate number of copies have original signatures.
18. Be sure to check the due date and abide by this in selecting the appropriate way to send proposal to the granting agency.
19. Make and send copies to the department head, dean, president, and each vice president signing approval sheet.
20. Work with the Executive Vice President to conduct appropriate follow-up with the funding agency, political leaders, etc.
21. Visit with personnel in the Budget Office to learn procedures necessary for establishing an account when the grant is approved.
22. Once grant is approved visit the Budget Office to establish account and discuss administration of the grant. The Executive Vice President may be of assistance at this point regarding reporting, etc.
23. If the grant is not approved, request the readers' comments from the funding agency and rewrite proposal in line with comments to resubmit at the appropriate time.
24. Submit program progress reports as required by the funding agency.
25. Submit financial reports as required by the funding agency. Be sure to work closely with the Budget Office on financial reports and be sure that program and financial reports are consistent with one another.
26. Once a grant period has ended, be sure to submit required close-out reports.
27. If during the grant period renewal applications are required, these should be completed according to instructions and at the appropriate time.