

SIMPSON
COLLEGE

Grants Handbook

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ACKNOWLEDGMENTS

The Simpson College Grant Handbook is adapted from the Grants Management Handbooks of Madison College and Amarillo College. This version has been customized to align with Simpson College's processes and to meet the specific needs of our campus community.

GETTING STARTED

Dear Simpson colleague,

Do you have a great idea that requires external funding? Where do you start? What steps are involved? Is funding available for your project? Do you need supervisory or administrative approval?

These are common questions when turning an idea into a successful, grant-funded reality. This handbook is designed to guide you through the grant process—from developing your idea and securing funding to managing the award, ensuring compliance, and completing reporting requirements.

Grant development can be a fluid process, as roles, procedures, and funding opportunities evolve. Additionally, different types of grants follow different processes. For example:

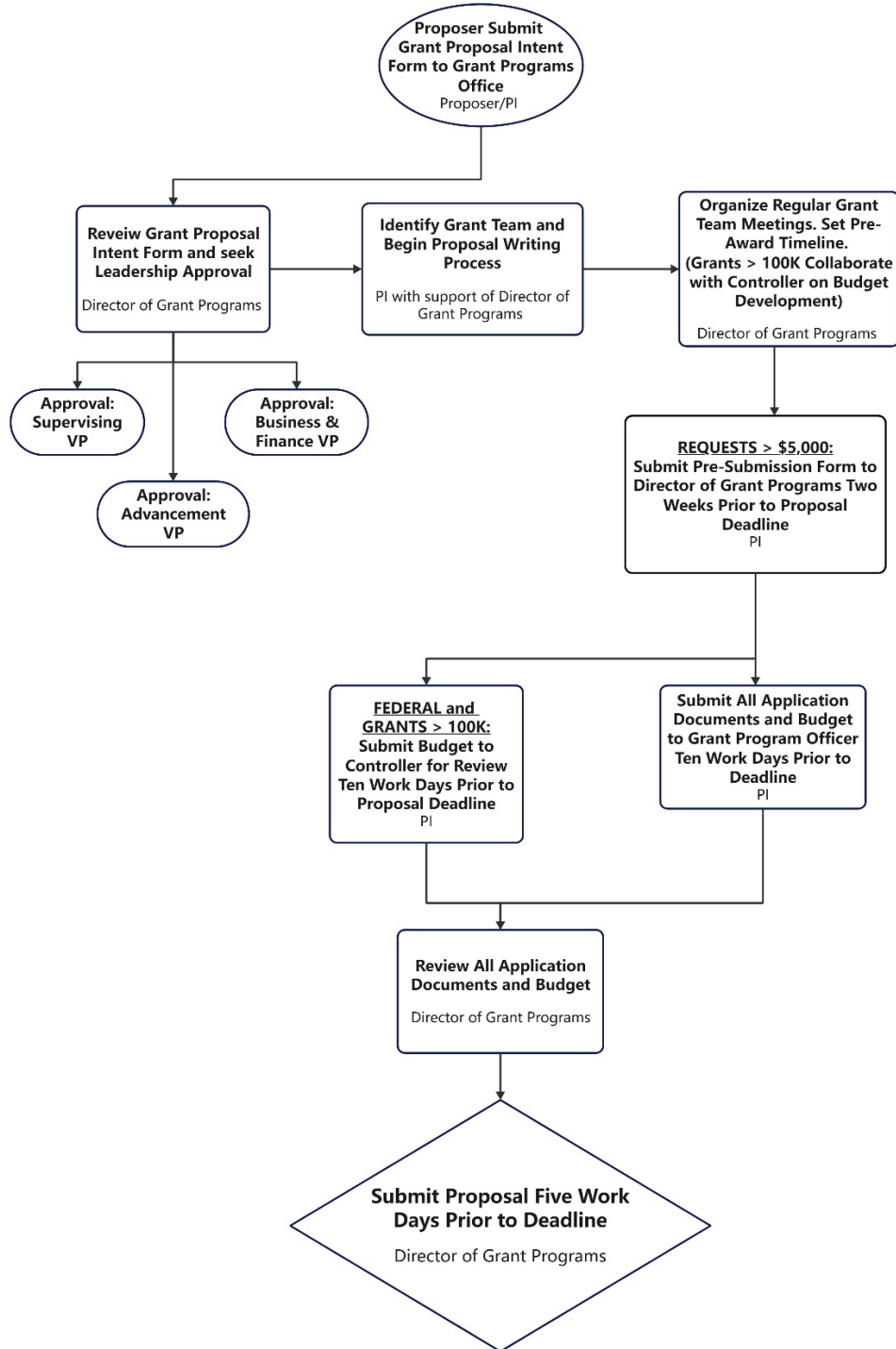
- Federal grants typically have highly structured application and management requirements.
- Foundation and corporate grants vary widely in their application and reporting expectations.

While this handbook covers a broad range of grant-seeking processes, it may not address every scenario. When in doubt, remember that you have colleagues at Simpson College with the expertise to assist you at every stage.

At the end of this handbook, you will find a Glossary of Acronyms, Definitions, and Terms (Appendix A), along with helpful forms and reference documents.

GRANT DEVELOPMENT AND SUBMISSION

Pre-Award Process Workflow



Initial Idea Development

The office of Grant Programs Office collaborate with faculty and staff on the development and submission of grant proposals. If you are truly in the beginning stages of formulating a project or idea for which you would like to seek grant funding, the grants office can assist you in refining your idea. Simply reach out to the Director, Marzia Corni-Benson, to share and discuss your plans.

The Grant Proposal Intent Form

When you are ready to pursue funding for a project, you must complete the **Grant Proposal Intent Form (Appendix B)**. This form serves several key purposes:

- It prompts you to consider critical questions that will help you effectively present your idea to supervisors, college administrators, and potential funders.
- It encourages you to reflect on how your proposal aligns with funder priorities, national higher education initiatives, and Simpson College's strategic and departmental goals.
- It officially documents your concept, allowing the Grants Office to begin assisting you in identifying appropriate funding opportunities.

To ensure all requests are evaluated fairly and equitably, the form should be submitted to the Director of GPO as early as possible in the grant-seeking process.

Approval Process: The Grant Proposal Intent Form requires signatures from:

- Your Department Chair/Director
- The appropriate Vice President supervising your area
- The Vice Presidents for Business & Finance and Advancement

This approval process provides institutional leadership with critical information about the grant, including any commitments (e.g., staffing, facilities) that may be required during planning and implementation. It also helps the college prioritize proposals, ensuring that limited resources are directed toward the most strategic opportunities. Approval will depend on factors such as:

Institutional priority – Does the project align with Simpson College's strategic goals?

Likelihood of success – Is the grant a strong match for the institution?

Demonstrated need – Does the project address a pressing academic or institutional need?

Project feasibility – Is the idea well-developed and achievable?

Capacity to submit a competitive application, including:

- Sufficient time before the deadline
- Available personnel for proposal development and project implementation
- Necessary data and research to support the application

By completing the Grant Proposal Intent Form, you help ensure a streamlined, strategic, and successful grant development process.

DEVELOPMENT AND WRITING OF DRAFT PROPOSAL

A Collaborative Writing Effort

Once your Grant Proposal Intent Form is approved, you can begin developing your proposal. The level of involvement from the Grants Office will depend on whether your project is considered an institutional priority (as determined by your supervising VP, Simpson's Strategic Plan, or another institutional initiative).

Pre-Award Responsibilities of the Grants Office

The Director of GPO provides support throughout the grant development process, including:

- Identifying funding sources that align with the project's objectives
- Ensuring compliance with institutional grant-seeking procedures
- Assisting in assembling the grant-writing team
- Helping identify and access relevant data sources
- Providing necessary institutional documents (e.g., tax-exempt status, audited financial reports, assurances)
- Assisting in budget development and coordinating approval with the Business Office/Controller
- Requesting internal support letters
- Supporting the preparation, writing, editing, and submission of the grant proposal
- Interpreting RFPs and reviewing funder guidelines to ensure proposal alignment
- Coordinating internal approvals and submission to funders

Letters of Inquiry (LOIs) and Pre-Proposals

Depending on the funding source and grant opportunity, the process may begin with a Letter of Inquiry (LOI), a pre-proposal, or a full proposal. While LOIs and pre-proposals typically require

less detail, they serve as important first steps. If invited to submit a full proposal, you must be prepared to move quickly to meet deadlines.

The Grant Team and Writing Process

Grant writing is a collaborative effort led by the Principal Investigator (PI)/Project Director (you), in partnership with faculty, staff, and the Grants Office. These individuals form your grant team during proposal development.

The distribution of writing responsibilities will depend on:

- The PI's expertise in the subject area
- The PI's experience with grant writing
- The Grants Office's capacity at the time

To ensure an efficient workflow, roles should be assigned early in the process. For larger proposals, the PI may work with the Director of GPO to develop a project management timeline, including:

- Data requests (to external agencies, Simpson's Institutional Effectiveness Office, or other departments)
- Letters of commitment
- External research and supporting documentation

Typical Grant Proposal Components

While specific formatting and length requirements vary by funding source, most grant applications include:

- Statement of Need – Describes the problem or opportunity the project addresses (not simply the need for funding)
- Project Goals & Measurable Outcomes – Defines the intended impact and how success will be evaluated
- Project Activities – Details the actions and strategies to achieve project goals
- Management Plan – Outlines leadership roles and project oversight
- Evaluation Plan – Explains how project effectiveness will be measured
- Budget & Budget Narrative – Provides a detailed financial plan
- Logic Model (if required) – Illustrates the project's inputs, activities, outputs, and outcomes

Developing a Budget

All grant proposals require a detailed budget outlining project costs. The Grants Office can assist in reviewing the Request for Proposals (RFP) to determine budget parameters.

Key considerations at this stage include:

- What costs are permissible? (including indirect costs)
- Is cost-sharing or matching required?
- What is the maximum allowable funding amount?

Determining Allowability, Allocability, and Reasonableness

The Director of GPO will help ensure that proposed costs are allowable, allocable, reasonable, and consistent according to the funder's guidelines. Definitions vary by funding source and may be governed by Simpson College policies, the funding agency's requirements, and the Office of Management and Budget (OMB) regulations for federal grants (2 CFR § 200):

- Allowable (2 CFR § 200.403) – Costs must comply with the RFP guidelines and OMB Uniform Guidance. If a cost is unallowable as a direct expense, it cannot be used as a matching or cost-share expense.
- Allocable (2 CFR § 200.405) – Costs must be directly related to and necessary for the specific federal award or project.
- Reasonable (2 CFR § 200.404) – Costs should reflect what a prudent person would incur under similar circumstances.
- Consistent – Costs must be treated uniformly when incurred for the same purpose under like circumstances.

Budget Development Process

Budget planning typically begins after identifying all project needs. The Director of GPO and the Controller's Office can assist with estimating salary and benefit rates and determining indirect costs, when applicable.

In addition to the budget itself, most funders require a budget narrative and/or completion of a specific budget form.

Final Review and Proposal Submission

Pre-Submission Approval

- All grant requests exceeding \$5,000 require submission of a Pre-Submission Form for leadership approval.
- This form must be submitted to the Grant Programs Office (GPO) at least **two weeks prior** to the submission deadline.

Final Draft Review

- The entire grant team must review the final draft of all required documents to ensure accuracy and completeness before submitting them to the Director of the Grant Programs Office (GPO) for final review.
- All grant application documents must be submitted to the Director of GPO at least **ten working days prior** to the deadline for review.
- For federal grants and grant requests exceeding \$100,000, the Controller must review and approve the final budget before submission.
- A detailed final budget proposal must be submitted to the Controller at least **ten working days** before the submission deadline.

Proposal Submission Process

Submission requirements vary significantly across funding agencies, ranging from simple email submissions to complex online application portals. Each funder has specific submission guidelines that must be followed precisely.

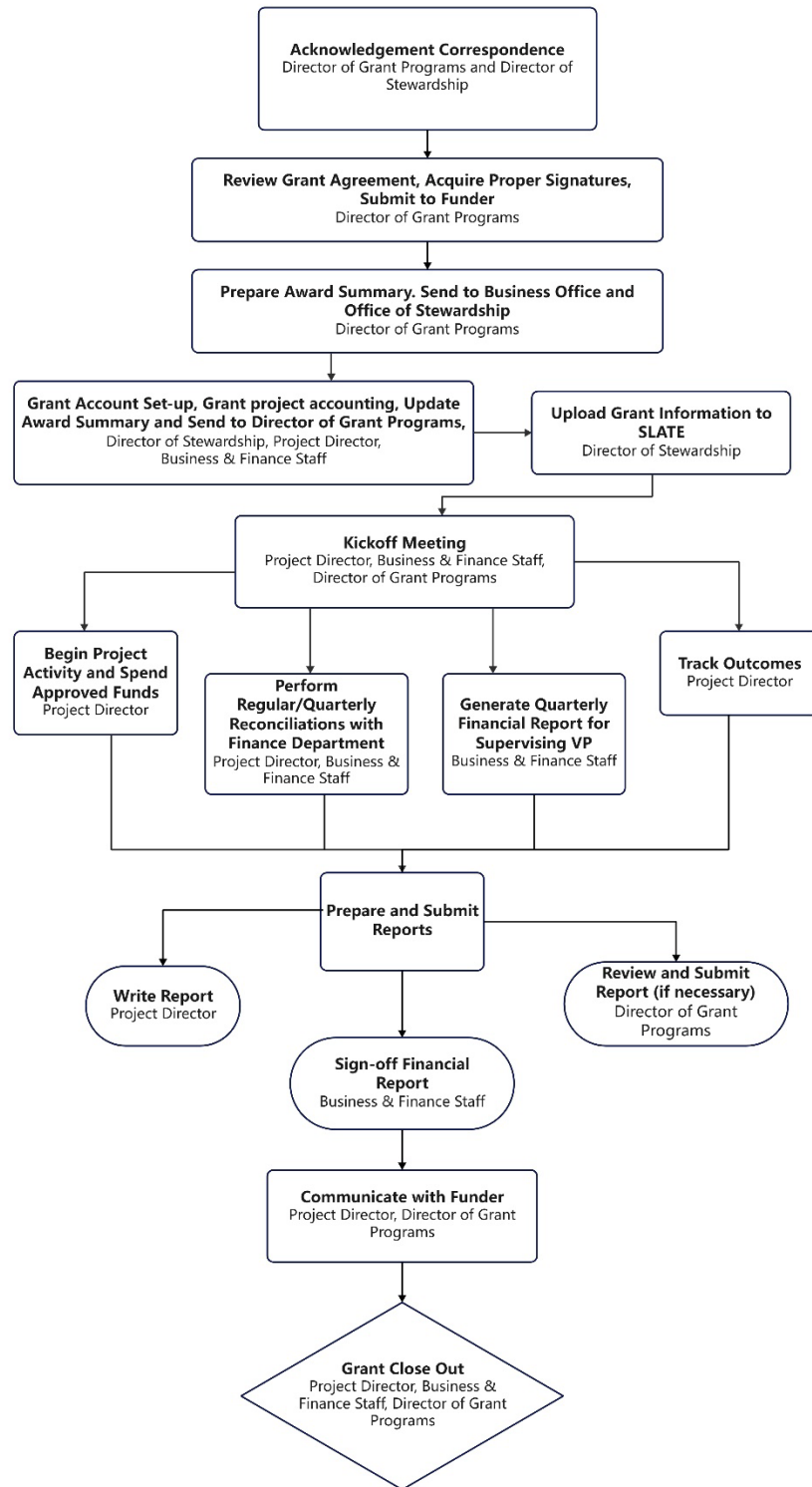
- In most cases, the Director of GPO serves as the Authorized Organization Representative (AOR) and is required to submit grants on behalf of Simpson College.
- While most submissions are electronic, some may involve time-consuming registration processes, multi-step authentication, and intricate system navigation.

Avoid Last-Minute Submissions

Submission systems can be unpredictable, with potential technical issues or unexpected downtime. Waiting until the last day to submit a grant proposal is strongly discouraged. To avoid complications, all final materials should be completed and ready for submission well in advance of the deadline.

GRANT AWARD AND IMPLEMENTATION

Post Award Process Workflow



Congratulations!

If you're reading this section, it means your grant proposal has been funded! Before moving forward, it's important to note that your grant award must be formally accepted by Simpson College. This process may vary depending on the specific grant.

Grant Acceptance

The Grant Programs Office is generally responsible for formally accepting the grant. Grant award notifications may arrive in several ways:

- A letter sent directly to the Principal Investigator (PI).
- A letter sent to the President's office.
- Direct communication with the grants office.

Regardless of the delivery method, all grant-related documents must be promptly forwarded to the grants office. The grants office will coordinate the stages of acceptance, maintain both physical and electronic files, and distribute copies to all relevant departments.

Formal acceptance of the award requires the appropriate signatures from Simpson College officers, often including the President. The Director of GPO will facilitate this process.

Grant Negotiation and Revisions

In some cases, there may be a negotiation period with the awarding agency. The funder may request changes to the proposal before final approval. If changes are necessary:

- Any revised proposal must be formally accepted by the college.
- The grants office will be involved in reviewing and accepting the changes.

If the funding amount differs from the original proposal, the budget will need to be revised. This revised budget will follow the same approval process as the initial one. The funder may require a formal revision to the proposal and budget, which must be approved by the funder before the final award letter is issued.

Grant Kick-Off

Once the final revisions are approved, the Director of GPO will organize a grant kick-off meeting. This meeting will discuss the management and implementation of the grant.

Attendees will include:

- The Controller or other Business Office designee
- The Principal Investigator (PI)/Project Director

- Other key members of the grant implementation team

During this meeting:

- The PI will receive a Grant Award Summary prepared by the Director of GPO.
- The PI will also receive an electronic grant tracking workbook (Excel document), prepared by the Controller. This workbook will help track grant expenses, including any matching funds from Simpson College or other sources.

Grant Award Administration Key Responsibilities

As the PI/project director, you are responsible for the programming, reporting, and financial activities pertaining to your grant. However, as you administer and implement your grant, you will receive the support of other offices at Simpson College, as outlined in the table below.

<p>Grant Programs Office</p>	<p>The Director of GPO collaborates assists project in the transition from pre to post-award activities to ensure proper grant management and compliance by: 1) securing SC approval and signatures on grants; 2) maintaining updated paper and electronic files of all documents pertaining to the grant: original application, award documents, and reports; 3) preparing a grant award summary document to be shared with the Business Office for grant accounts set up and the Director of Stewardship for Slate set up; 4) serving as a resource to the Business Office and PI/project director to ensure compliance with the rules and regulations that apply to the grant program; 5) support with tracking, and at times assisting with, programmatic reporting requirements; 6) serve as resource for Program Close-out Procedures</p>
<p>PI/ Project Director</p>	<p>The PI/project director executes the grant management functions of the post-award phase, which begins when Simpson accepts a grant award. Activities include, but are not limited to, 1) day-to-day management of grant program and budget; 2) meet reporting requirements and submitting reports; 3) track performance; 4) track financial expenditures; 4) monitor expense accounts on SC connect; 5) develop budgets; 6) perform periodic expenditure reconciliations with Simpson’s Controller; 7) provide copies of all relevant documents pertaining to the award to the GPO; 8) follow the terms and conditions of the grant award; 9) establish a relationship with funding source Program Officer; 10) maintain records suitable for audits; 11) ensure a high level of ethical standards in the grant management process.</p>
	<p>Simpson’s Business Office is responsible for 1) setting up a cost center for each grant; 2) preparing an electronic budget tracking workbook consistent with your grant’s budget; 3) assisting with ledger adjustments</p>

Business Office	as needed; 4) recording financial transactions; 5) preparing and submitting financial reports in consultation with the PI/project director; 6) drawing down funds from federal funding agencies payment system; 7) performing periodic and final reconciliation with PI/project director; 8) maintaining annual registration in SAM.gov; 9) calculating and submitting the College's Facilities & Administration rate proposals (indirect costs); 10) provide PI/project director with a Grant Tracking spreadsheet to manage expenses; 11) evaluate and approve all financial reports before submission
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Other departments or colleagues with whom you might collaborate during the implementation phase of your grant include:

SC Human Resource Office: posts grant-funded positions and gathers employment applications once a grant operating account has been.

SC's Institutional Effectiveness: provides assistance in gathering data, evaluating, and interpreting the project's outcomes.

Department Chair/Supervisor of the PI/project director

- Supervises full-time faculty and staff working on a grant
- Initiates salary allocation changes through position requisition process to ensure alignment with approved budget and after the fact time and effort reporting
- Collaborates on vision development for the direction of the program, including how grants might support that vision
- Collaborates on program operating budget to ensure costs associated with backfilling instructors working on grants is allocated correctly

Supervising Vice President:

- Assists with developing a strategic framework for how grants might support the strategic direction of the school and integrate activities when appropriate
- Secures in-kind or cash match if such funds are needed to fulfill grant requirements
- Works in conjunction with the Department Chair and PI to facilitate backfill plans to maintain consistent instructional offerings

Other relevant personnel such as the Registrar, Business Office, Information Technology, Financial Aid.

Reporting

The PI/project director is responsible for preparing all required reports, unless the funding source specifies otherwise. Some funding agencies, such as the National Science Foundation (NSF)/Research.gov, may require electronic submission of reports. Financial reports must be approved by Simpson's Controller before submission.

Generally, formal reports to the funding agency are due within ninety days after the end of the performance period, with some agencies requiring mid-year reports. Reporting requirements for state and private grants may differ. Refer to the grant application, award letter, and agency procedure manuals to confirm specific reporting requirements.

Most grants require evaluation reports. Meeting deadlines for these reports is critical, as failure to comply with reporting deadlines can negatively affect future funding opportunities. To ensure you meet these deadlines, it's best to review the evaluation plan and reporting requirements early in the project. This will help you plan ahead and gather the necessary information and data for the evaluation.

It's also advisable to discuss reporting formats and procedures with the program officer at the funding agency, as they may have specific forms or formats they prefer. If institutional data is needed for your reports, contact Simpson's Office of Institutional Effectiveness or the relevant department well in advance.

Lastly, copies of all submitted reports must be sent to the Grant Programs for record-keeping and tracking.

Closing Out

Successfully concluding a grant project is just as important as its initiation. The way closeout procedures are managed, including the timely submission of final reports and their quality, can significantly impact the likelihood of future funding opportunities.

At the close of a funded project, there are seven key areas to focus on: pre-closeout activities, budget, personnel, purchasing activities, files, final reports, and document storage.

1. Pre-Closeout Meeting: Contact the Director of GPO and Controller (or designee in the Business and Finance office) to schedule a closeout meeting at least two months before the grant's end date.

2. Budget: Review encumbrances and ensure any remaining funds are used or liquidated before the grant ends. Accounts will close shortly after the grant's end, so inform relevant staff that no further changes can be made to the grant account after that date.
3. Personnel: Complete termination paperwork for any staff whose assignments are ending, or for those transferring to other cost centers or to a new grant number for a continuing project.
4. Purchasing Activities: Ensure that all goods and services have been received before the grant ends, even if payment may occur shortly after the end date.
5. Final Reports: Submit all final reports and provide copies to the Office of Foundation and Government Support for record-keeping.
6. Document Storage: Arrange for appropriate storage of all grant and contract files, especially if the project is not continuing, in compliance with auditing and funding agency requirements.

SIMPSON COLLEGE'S KEY CONTACTS

For technical assistance and guidance, Simpson College staff is available to support project implementation.

Director of Grant Programs Office: Marzia Corni-Benson

Hillman Hall #26

Phone: 515-961-1871

E-mail: marzia.corni-benson@simpson.edu

Webpage link TBA

Controller: Jesse Probasco

Hillman Hall

Phone: 515-961-1579

E-mail: jesse.probasco@simpson.edu

Assistant VP for Business Services: Angie McKelvey

Hillman Hall

Phone: 515-961-1558

E-mail: angela.mckelvey@simpson.edu

Director of Human Resources: Mimi Bartley-Nancarrow

- Hillman Hall # 22
- Phone: 515-961-1511
- E-mail: mimi.bartley@simpson.edu

VP for Advancement: Jared Bienemann

- Hillman Hall #29
- Phone: 515-961-1417
- E-mail: jared.bienemann@simpson.edu

Appendix A: Acronyms, Definitions, and Terms

Award – Funds provided by an external funding source for support of a project. This term applies to the original award and supplements.

CFDA – Catalog of Federal Domestic Assistance

Contract – Legal instrument by which a non-Federal entity purchases property or services needed to carry out the project or program under a Federal award. The term as used in this part does not include a legal instrument, even if the non-Federal entity considers it a contract, when the substance of the transaction meets the definition of a Federal award or subaward.

Contractor – An entity that receives a contract.

Cooperative Agreement – Legal instrument of financial assistance between a Federal awarding agency or pass-through entity and a non-Federal entity and is distinguished from a grant in that it provides for substantial involvement between the Federal awarding agency or pass-through entity and the non-Federal entity in carrying out the activity.

Cost-Sharing or Matching – Value of allowable non-federal contributions toward the allowable costs of a federal grant program or project. Such contributions may be cash or in-kind. Not every grant requires such resources.

D & B – Dun and Bradstreet

Disallowed Costs – Charges to a Federal award that the Federal awarding agency or pass-through entity determines to be unallowable, in accordance with the applicable Federal statutes, regulations, or the terms and conditions of the Federal award.

DE – Department of Education

DOD – Department of Defense or Department of Development

DOE – Department of Energy

DOJ – Department of Justice

DOL – Department of Labor

DUNS – Data Universal Numbering System

Encumbrances – Obligations in the form of purchase orders, contracts, or salary commitments which are chargeable to an appropriation and for which a part of the appropriation is reserved. They cease to be encumbrances when paid, or when actual liability is established.

Endowment – A donation of money or property to a nonprofit organization, which uses the resulting investment income for a specific purpose.

Equipment – Tangible personal property (including information technology systems) having a useful life of more than one year and a per-unit acquisition cost which equals or exceeds \$5,000

Executive Summary/Abstract – Brief written document highlighting the main findings and recommendations of a longer report/grant proposal.

F&A – Facilities and Administration (Indirect Costs)

FAIN – Federal Award Identification Number

FICA – Federal Insurance Contributions Act

Fiscal Year (FY) – A twelve-month period to which the annual operating budget applies and, at the end of which, a governmental unit determines its financial position and the results of its operation Simpson College uses a July 1st through June 30th fiscal year. The Federal Fiscal Year is October 1st through September 30th.

FR – Federal Register

Fringe Benefits – Compensation in addition to regular salary or wages provided to an employee. This may include health and dental insurance, Social Security, retirement and disability insurance. Most institutions use a percentage of total salary to estimate fringe.

FTE – Full-time equivalent

Grant Proposal Intent Form – A document signed by the PI, the PI’s supervisors and the appropriate Vice President, authorizing the Office of Foundation and Government Support to work on the proposal and submit it to the funder. This document ensures that the work of the grant is in alignment with the college priorities and that the PI is approved to work on the grant should it be funded. Appropriate signatures on this form are required before grants can be developed and submitted.

IHE – Institutions of Higher Education

Indirect Costs – Costs that have been incurred for common or joint objectives and cannot be readily identified with a particular final cost objective. Examples of such costs are college wide expenses for utilities, insurance, grounds, etc. The value of these services and the amount able to be charged to grants is negotiated by the College with the Federal Government. Contact the Grants Office to secure the latest indirect rate. Also note that some grant applications have limits on how much indirect cost can be charged to the grant regardless of the rate the College has negotiated. Indeed, Foundations often disallow any Indirect Costs. The Grants Office will help PI’s to determine the appropriate amount as the budget is prepared. Simpson’s has an Indirect Cost agreement.

IRB – The Institutional Review Board is a committee, comprised of faculty and staff from diverse backgrounds and a community member, that reviews research protocols involving human and animal subject participants to ensure that the rights of the participants are protected, that they are not subject to unreasonable harm (physical and emotional), and that information about them is kept confidential.

LOI (Letter of Intent/Inquiry) – A letter from the College to the funder, required before the application is due, indicating the intent of the College to submit an application. This does not obligate the College to submit, but it alerts the funder as to how many applications are likely to be submitted. Beware of and do not sign any Letter of Intent that creates any obligations for the College!

Letter of Support – A letter from a partner or supporter of the college urging the agency to fund the application. These letters can have slight impact depending on the funders who usually prefer Letters of Commitment which indicate a more significant involvement in the grant implementation.

Letter of Commitment – A letter from a grant partner indicating their role in the proposal and the resources they will bring to implementation. These letters are often required and can have a great impact on the probability of funding. Most successful grant applications have significant partner involvement as documented in Letters of Commitment.

Modified Total Direct Cost (MTDC) – All direct salaries and wages, applicable fringe benefits, materials and supplies, services, travel, and subawards and subcontracts up to the first \$25,000 of each subaward or subcontract (regardless of the period of performance of the subawards and subcontracts under the award). MTDC excludes equipment, capital expenditures, charges for patient care, rental costs, tuition remission, scholarships and fellowships, participant support costs and the portion of each subaward and subcontract in excess of \$25,000. Other items may only be excluded when necessary to avoid a serious inequity in the distribution of indirect costs, and with the approval of the cognizant agency for indirect costs.

MOU – Memorandum of Understanding

NSF – National Science Foundation

OMB – Office of Management and Budget (Federal)

Pass-through Entity – A non-Federal entity that provides a subaward to a subrecipient to carry out part of a Federal program.

PI – Principal Investigator, Project Manager, and Grant Manager are used interchangeably and

have the same meaning

Restricted Funds - Funds on which restrictions as to how they may be expended have been imposed by outside agencies.

RFA – Request for Action

RFP – Request for Proposal

RFQ – Request for Quote

SAM – System for Award Management

SPOC – Single Point of Contact

Subaward – An award provided by a pass-through entity to a subrecipient for the subrecipient to carry out part of a Federal award received by the pass-through entity. It does not include payments to a contractor or payments to an individual that is a beneficiary of a Federal program. A subaward may be provided through any form of legal agreement, including an agreement that the pass-through entity considers a contract.

Subrecipient – A non-Federal entity that receives a subaward from a pass-through entity to carry out part of a Federal program; but does not include an individual that is a beneficiary of such a program. A subrecipient may also be a recipient of other Federal awards directly from a Federal awarding agency.

Supplanting –: Use of grant funds to pay for ongoing activities already budgeted or for the usual activities assigned to a position

Sustainability – Refers to the continued existence or ability to maintain a project after the government funds expire

Appendix B: Grant Proposal Intent Form

(Sample, please use document linked on webpage or request from Director of GPO)

Grant Seeker's Name, Title:	Phone:
Department:	Email:
Project Name:	Internal Grant # (office assigned)
Summary: What is the purpose of this project? Why is the project important and needed? Who is the target population this project aims to serve? Which activities/interventions will the project entail?	
Goals: Which results do you hope to achieve by implementing this project?	
Estimated Budget: Please provide a draft budget for your project.	Amount of External Funding Sought with this Application: \$
Institutional Match Needed: No Yes	
If yes, state amount: \$	
Other contributions: Identify other funding sources (department funds, other grants, gifts to the college, etc.)	
Timeline: Project start date _____ Project end date _____	
Internal Impact: Does this project require any additional resources from Simpson? (please be specific)	
Priorities: How does this project fit your department's mission and current strategic priorities? How does this project fit Simpson's mission and current strategic priorities?	
Funding Prospects: Have you identified potential funding sources? <input type="checkbox"/> no <input type="checkbox"/> yes If yes, please identify source, funding opportunity, amount, application timeline and method (letter of intent/pre-proposal/full proposal, etc).	
Funding History: Have you previously applied for funding for this project? <input type="checkbox"/> no <input type="checkbox"/> yes When? From which source(s)? For what amount? Did you receive funding?	
Name and title of the individual(s) who will monitor the grant funds (if different from grant seeker).	
APPROVAL SIGNATURES: Name, Signature, Date Department Chair or Director: _____ Academic Dean (or supervising VP): _____ Bob Lane, VP for Advancement: _____ Controller or VP for Finance and Business: _____	

Appendix C: Pre-Award Policy Draft

Department: Advancement

POLICY #: ???

EFFECTIVE DATE: ???

REVIEWED: ??

REVISED: ?

TOPIC: Grant Approval Process (Pre-Award)

AUTHORIZATION:

President

Cabinet

I. **PURPOSE:** The grant approval process assists in aligning the support and resources necessary for the pursuit of external grant funds. The purpose of this policy and procedure flow is to establish a centralized and efficient grant approval process where the VP for Advancement, the Business & Finance Department and the VP who supervises the proposer's department review and approve all new and renewing grant proposals to ensure that:

- the grant's purpose and activities are consistent with the mission, vision, and long-term strategic objectives of Simpson College; and,
- the estimated financial and other benefits to be received from acceptance of the grant exceed the probable financial expenses and assumed risks.

II. *POLICY:*

For the purpose of this policy, a grant consists of funds awarded through a competitive process the use of which is restricted by the terms of the grant. Grants generally come from Federal, State, or Local Governments, private foundations, or private corporations.

Simpson College encourages all departments to seek outside funding opportunities for programs, projects, major expenditures, and operations that are consistent with and supportive of the overall mission and vision of the institution. Prior to committing Simpson College to the responsibilities required by a new grant agreement, it is Simpson's policy to conduct an appropriate Senior Management level review of the projected benefits against the possible losses and potential risks that may be assumed under the provisions of the proposed grant.

The college strives to implement a strategic approach to requesting grants from funders while establishing adequate internal controls over grant reporting and compliance.

This policy applies to all grant opportunities in which Simpson College will be represented, including collaborative grants in which Simpson is the lead agency, fiscal agent, or collaborator. Requests by outside agencies wishing to collaborate with

Simpson College should be directed to the Grant Programs Office (GPO).

III. *RESPONSIBILITY:*

This policy and procedures apply to all new and renewing grant proposals. These proposals include funding applications and requests to government agencies, organizations, and foundations for new proposals that are not currently funded. Also included in this process are proposals to modify current major grants that have changes from the provisions of the original grant. Changes include modification to the grant's objectives, scope, or funding.

IV. *PROCEDURE:*

This policy is designed to maximize Simpson College's ability to capture funding from potential grantors by centralizing the grant approval process in the Grant Programs Office (GPO). Staff and faculty interested in submitting proposals for external grant funding must submit requests for consideration to the Director of GPO electronically utilizing the Grant Proposal Intent Form.

1. Proposers are expected to contact the GPO as soon as they become aware of a grant opportunity they wish to pursue, or they develop a project concept for which external grant funds are being sought. The proposer is responsible for performing any research appropriate to gain a reasonable understanding of the projected financial and other impact the proposed new grant may have on Simpson College. The proposer must also seek approval from their department supervisor or department chair and other appropriate parties.
2. The proposer will request consideration by submitting a Grant Proposal Intent Form to the Director of GPO, which includes:
 - a. a description of the project
 - b. a description of the project's alignment with institutional and/or departmental goals
 - c. potential funding sources
 - d. a preliminary budget
 - e. matching or other resources required
 - f. the signature of approval of the pertinent academic department's chair or supervisor

A practical approach should be taken when completing this document so that the depth of detail and discussion provided corresponds to the amount of funding requested and the risks assumed. The Grant Proposal Intent Form shall be submitted prior to engaging the GPO in efforts intended to support the project.

3. The Director of GPO will review the Intent Form and may request clarifications from the requestor and/or seek advice and opinion from appropriate resources, and rout the form for approvals from:
 - a. The VP supervising the requestor's functional area
 - b. The VP for Finance and Business (or a designee, i.e. Controller)
 - c. The VP for Advancement,

4. If discussion is required to consider approval, the Director of GPO will facilitate meetings with the proposer. The proposer will be notified by the Director of GPO via email of the status of the request (approved or denied). Senior Management will strive to complete the review and approval process within five business days.
5. If the Intent Form is approved, the proposer will collaborate with the Director of GPO and an identified grant writing team to develop the proposal in a timely manner. For large, complicated budgets, or those that require a match from the institution, the proposer and Director of GPO will collaborate with Simpson's Controller to develop and finalize the project budget.
6. For grant requests larger than \$5,000, the proposer must submit a Pre-Submission Form, which will include:
 - a. a detailed description of the project
 - b. a description of the project's alignment with institutional and/or departmental goals
 - c. funding source
 - d. a detailed budget
 - e. the signature of approval of the pertinent academic department's chair or supervisor
7. The Pre-Submission Form shall be submitted to the Director of GPO programs at least two weeks prior to the grant submission deadline.
8. Simpson College's practice is to submit proposals at least five working days prior to the funder's deadline. To ensure a successful submission, a final draft of the proposal, final budget, and all relevant attachments should be submitted to the GPO no later than ten working days prior to the due date of the proposal. The Director of GPO will review documents to confirm its adherence to the approved concept and format.
9. The final budget for federal grants and other large (equal to over \$100,000) grants shall be reviewed and approved by Simpson College's Controller prior to submission of the grant proposal. It is the requestor's responsibility to contact the Controller and request approval for the final budget no later than ten working days prior to the due date of the proposal.
10. The Grant Programs Office is generally responsible for submitting all grant applications in collaboration with the requestor, unless otherwise noted by the funder. In some cases, the funder mandates that the requestor submit the proposal directly.
11. The GPO will maintain a record of all grants submitted.

V. *POLICY ACCESSIBILITY:*

POLICY Original approved is maintained in the Grant Programs Office and the Office of Finance and Business.

Waiting for cabinet approval: June 1, 2024

Appendix D: Post-Award Policy Draft

Department: Advancement

POLICY #: ???

EFFECTIVE DATE: ???

REVIEWED: ??

REVISED: ?

TOPIC: Post-Award Process

AUTHORIZATION:

President

Cabinet

VI. PURPOSE: Simpson College is committed to good stewardship of funds received through grant awards. The grant post-award process and policy assist the college in implementing and maintaining proper oversight of grant funds by assuring that compliance and internal controls are present and that the grant is implemented according to the funder's agreement.

VII. POLICY:
For the purpose of this policy, a grant consists of funds awarded through a competitive process the use of which is restricted by the terms of the grant. Grants generally come from Federal, State, or Local Governments, private foundations, or private corporations.

VIII. RESPONSIBILITY:
This policy and procedures apply to all new and renewing grants awarded to the college. These awards include funding received from government agencies, organizations, and foundations for new proposals that are not currently funded.

IX. PROCEDURE:
This policy is designed to ensure that post-award procedures implement robust record management, solid internal controls, and adherence to the grant agreement, OMB rules, and Simpson College's administrative rules.

1. Notification of funding: The recipient of the grant award notification is responsible for confirming the status of the grant proposal (awarded or rejected) to the Grant Programs Office (GPO).
2. The Director of GPO will notify the proposer, the Office of Finance and Business, the VP supervising the functional area, and relevant senior officers.
3. The Director of GPO will ensure that all award acceptance documents are appropriately signed, acknowledged, and submitted to funders, as appropriate.
4. The Director of Stewardship will upload signed grant agreements in SLATE, where they will be accessible by appropriate Business Office staff. A copy of the signed grant agreement will be sent to the PI/PD, and a copy will be retained by GPO.
5. The Principal Investigator (PI)/Project Director (PD) or the Director of GPO, as appropriate, will send notifications and thank you emails to the external collaborators and campus partners.

6. When appropriate, the Director of GPO will draft an acknowledgment letter to the funder to be signed by the College President.
7. The Assistant Controller, upon request of the Director of GPO programs will create unique GL accounts and a budget tracking tool to be shared with the PI/PD. The office of Finance and Business will maintain and monitor appropriate accounts for the grants.
8. The Director of GPO will organize a post-award kick-off meeting which, at a minimum, will be attended by the PI/PD, Controller, and Director of Foundation and Government Support Programs. In this meeting all aspects of proper grant management will be reviewed and responsibilities identified.
9. Distribution of Funds:
 - a. For private funders: Funds received will be routed to the Advancement Department's Gift Processing Specialist, who will record them and generate a receipt to be sent to the funder along with the acknowledgment letter. All records will be maintained in GPO.
 - b. For government entities: funds awarded will be handled as required by the funding agency. If drawdowns are required, the Assistant VP for Finance and Business will perform monthly drawdowns.
10. The PI/PD is responsible for coordinating with the Controller to perform reconciliations in advance of reports, or more frequently, as needed.
11. Depending on the funding agency, the PI/PD and/or the Director of GPO will be responsible for maintaining communication with the funder. All communication shall be documented in email form or meeting minutes.
12. The Office on Business and Finance will generate quarterly reports to be shared with the overseeing VP which will include:
 - a. Funds received
 - b. Funds encumbered
 - c. Funds remaining
 - d. Period of performance dates
 - e. Reporting dates
13. The PI/PD will be responsible for project implementation, spending funds in accordance to the approved budget and relevant regulations, tracking of outcomes, managing the grant budget, and grant reporting. Financial reports will be submitted to the Controller for review and approval at least ten working days prior to the date of submission. The Director of GPO will ensure that reports are submitted in a timely manner. Copies of all reports shall be shared with the GPO.
14. Grant closeout is the responsibility of the PI/PD and the office of Business and Finance. The PI/PD shall coordinate with the Controller to complete a final reconciliation. The GPO must be notified when a grant has been closed out.
15. The GPO will maintain a record of all grants awarded and closed out.

- X. POLICY ACCESSIBILITY:
POLICY Original approved is maintained in the Grant Programs Office and the Office of Finance and Business.

Waiting for cabinet approval: June 1, 2024