



Policy: 01-72-00

Grants and Contracts Policy

OFFICE OF RECORD: Office of the President

ISSUED BY: President

APPROVED BY: 01-72-00

EFFECTIVE DATE: 7/21/88 (Revised 02/04/98)

Policy

This policy is intended to cover all grants and contractual agreements which place obligation on Dakota State University for scholarly research, instruction, training, or other activities. In most cases, this involves a formal agreement in which Dakota State University agrees to conduct or perform certain activities and the grantor or contractor provides funds, equipment, materials and/or services that Dakota State University agrees to manage according to its policies.

Dakota State University (rather than individual faculty members, colleges or departments) is the legal recipient of grants and contracts. Only the President of DSU is empowered to sign contracts on behalf of the institution. Equipment purchases from grant or contract funds become the property of DSU unless otherwise agreed upon.

Clinical agreements, consultant contracts, entertainment contracts, construction contracts, service contracts, maintenance contracts, and any other agreements of any kind for which DSU is not paid for its services are not included in this policy.

Procedures for Grant/Contract Proposal Preparation and Submission

1. The Project Director submits draft grant/contract proposals with the Grant/Contract Proposal Routing Form (attached) to the President's Office. The draft proposal must contain either the grantor/contractor application forms or forms available in the President's Office to provide information on the following: a) statement of purpose; b) work to be performed during proposal time period; c) space and other institutional resource requirements; d) computer resources (main-frame or microcomputer) needed; e) budget for personal services and O&M

needs; f) impact of proposed services on initiating office to continue to deliver current services.

If the grant deadline does not allow sufficient time to prepare a complete draft proposal, an outline and/or abstract of the proposal should be circulated to the above-named offices. The outline or abstract must include such details as anticipated commitment of institutional resources (including funding, equipment, and personnel) and sufficient information to determine relevancy to institutional mission.

2. The draft grant proposal or outline will be circulated to the College/ Administrative Office Head, Foundation Director, Vice President for Business & Administrative Services, Academic Vice President & Provost, and President, all of whom will review the proposal and will be responsible for the following:

- a. College/Administrative Office Head: Review for compliance with DSU policies, including budget, and competency and willingness of the Project Director.
- b. Foundation Director: Check for any possible duplication with other fundraising activities and potential for collaboration with other projects.
- c. Vice President for Business & Administrative Services: Accuracy of the proposed budget, indirect costs, financial, personnel and other policies.
- d. Academic Vice President & Provost: Concurrence that the proposed activity, including the quality of the proposal, is in keeping with the mission of Dakota State University.
- e. President: Willingness to commit the resources identified in the proposal to complete the proposal activity.

3. If a proposal is felt to be unacceptable at any level, the proposal will be returned with written comments to the initiating office for further action and re-submission through the routing process.

4. Upon review by the President, the proposal will be returned to the Project Director with approval or disapproval action. The Project Director is responsible for final submission of the approved proposal to the granting or contracting agency. (Applications submitted to the National Science Foundation through the Fast-Track program must be submitted through the President's Office.) A final copy of the grant application will be provided to the President's Office accompanied by the completed Notification of Intent to Apply for External Funding form which is required by the Board of Regents (form attached).

5. The President's Office will request a State identifier number for completion of the federal government form, Notification of Intent (Federal Form 424), with assistance from the Project Director. The President's Office will submit the form along with a cover letter to the Board of Regents Office.

6. Some grant/contract proposals are routine business conducted on a regular basis by the initiating office. These types of proposals are not required to complete all the steps in this process. Please contact the President's Office for details.

Procedures for Grant/Contract Proposal Acceptance

1. The Project Director will provide written notification of grant/contract proposal awards or refusals to the President's Office with copies of the notice to the Business Office and Foundation Director as soon as notice is received. Any contractual forms that require the President's signature should be sent first to the Business Office for review. The Business Office will review the documents for form and content and forward on to the President for signature. If faculty will be utilized for the grant/contract, the Academic Vice President & Provost will review the proposal to ensure appropriate use of faculty workload. Only the President is empowered to sign contracts on behalf of the University. Signed copies will be returned to the Business Office for the University's files. Signed contracts other than grants are reported to the Board of Regents by the Business Office.
2. The President's Office will submit information on the grant acceptance to the Board of Regents Office and notify News & Information Services of the news for dissemination.
3. The Project Director will ensure that all accounting, record-keeping, and reporting requirements of the grant or contract have been met. The Business Office will assist with these responsibilities.
4. The Project Director is responsible for monitoring progress of the grant activity, submission of final reports to the contracting or granting agency and will provide the Business Office written notice of grant/contract completion.

DAKOTA STATE UNIVERSITY
GRANTS APPLICATION ROUTING

NAME OF GRANT:

FUNDING AGENCY:

APPLICATION DEADLINE:

APPROVED:

SIGNATURE DATE

APPLICANT _____

DEAN OR SUPERVISOR _____

BUSINESS OFFICE _____

ACADEMIC VICE PRESIDENT _____

FOUNDATION DIRECTOR _____

PRESIDENT'S OFFICE _____

NOTIFICATION OF FUNDING:

_____ Application Funded _____ Application Not Funded

_____ Amount of Award _____ Duration of Award

NOTIFICATION OF INTENT TO APPLY FOR EXTERNAL FUNDING

UNIVERSITY:

PRAF DATE:

DEPARTMENT: (or) COLLEGE/SCHOOL:

PROJECT TITLE:

TYPE OF ASSISTANCE: GRANT ___ CONTRACT ___ LOAN ___

TYPE OF APPLICATION: NEW ___ CONTINUATION ___ SUPPLEMENT ___

AGENCY TYPE: FEDERAL ___ STATE ___ OTHER ___

AGENCY & ADDRESS TO WHICH APPLICATION IS BEING SENT:

PROJECT START DATE: _____

FUNDS REQUESTED: _____

MATCHING: _____

Applicant Match: Third Party Match:

In-Kind: _____ In-Kind _____

Contributed Time: _____ Cash: _____

Cash: _____

TOTAL PROJECT DURATION: _____
TOTAL PROJECT FUNDING REQUESTED: _____
CONTACT FOR INFORMATION: _____
ABSTRACT: