

Union University Externally Funded Grant

Proposal Process

Union University encourages faculty to pursue external grant funding for projects that fit with Union's purpose and mission. The process of developing successful grant proposals includes collaboration between the faculty member, the Associate Provost/Dean of Instruction and the Office of Development. The *Guide to Proposals – Policies and Procedures* is a comprehensive guide to writing externally funded grants and should be read thoroughly by the faculty member. It is located in the faculty development section of Emma Waters Summar Library and online at www.uu.edu/centers/faculty.

This document guides the faculty member through the process and informs the faculty member of his/her areas of responsibility and the Associate Provost and Office of Development's responsibilities.

The grant proposal process involves the following steps:

1. The faculty member conceives a project, completes a *pre-proposal* and submits one copy to the Senior Associate Vice President for Development (Randy Phillips) and one copy to the Associate Provost/Dean of Instruction (Barbara McMillin). Guidelines for the pre-proposal are attached.
2. The Associate Provost reads the pre-proposal, makes suggestions if needed, and begins to research possible funding sources.
3. When possible funding sources have been identified, the Associate Provost meets with the faculty member and discusses which source(s) the faculty member wants to pursue.
4. The faculty member writes the proposal following the *Guide to Proposals* document and submits the proposal to the Associate Provost who reads the proposal and makes suggestions as needed in collaboration with the faculty member. The proposal is then sent to the Office of Development.
5. The Office of Development adds necessary documentation, writes the cover letter, and sends a completed copy back to the faculty member and the Associate Provost.
6. The *Request for Approval of a Grant Proposal Form* is completed by the faculty member and sent with a copy of the proposal to all offices on the form for signatures.
7. The Office of Development completes the process and mails the proposal.

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Pre-proposal Guidelines

The purpose of the pre-proposal is to give the Office of Development and the Associate Provost the information they need to begin looking for sources of funding. The pre-proposal should be one-page in length. Once the source is identified, the pre-proposal will be modified to meet the request of the funding source. The pre-proposal should include the following:

- Introduction – this should contain a statement of the overall goal of the proposed project, with justification based on assessed needs, brief literature review if appropriate, the relationship of this project with the faculty member’s long-term goals and the mission of the institution;
- Specific objectives – list the specific objectives to be accomplished during the entire period of sponsor support;
- Significance/Impact – describe the significance of the project and the people/programs it will impact;
- Project Period – state how long a period of time will be required to complete the project and include a schedule of major activities or milestones.
- Estimated Budget – this can be revised later, but will give the Office of Development an idea of the cost of the project. It is always good to aim high; cuts and revisions can be made at a later date.
- Keywords – list key words and phrases that relate to your proposal to help the Office of Development match your proposal with grant funding sources.

When the one-page pre-proposal is completed, it should be submitted to Randy Phillips and Barbara McMillin.

Externally Funded Grants and Policies

All externally funded grants and contracts received by Union University must be received and controlled consistent with the following principles.

1. All grants and contracts must be consistent with Union University's Statement of Purpose.
2. It is the policy of Union University not to accept government funds which will be used either for capital improvements or for operations.
3. All grants and contracts must be received from private or Internal Revenue Code Section 501(c) organizations which are known to have a high moral and ethical character and whose products and services do not violate the letter or spirit of Union University's Christian life style expectations.
4. All grants and contracts must be approved, in writing, by the appropriate vice president, the Senior Vice President for Business and Financial Services, and the President. Approval may also be required by the Board of Trustees.
5. All funds received must be controlled under the supervision of the Office of the Senior Vice President for Business and Financial Services.
6. Faculty who receive such funds must be allowed to use these funds (privileges) and must use these funds (responsibilities) consistent with Union's policies on Academic Freedom.
7. Faculty who receive such funds may be granted release time to carry out the purpose(s) of the grant or contract. All release time must be approved consistent with Union University's policies on Faculty Workload.
8. Terms of compensation for faculty whose workload is affected by the grant or contract must be given to the faculty member in writing. This compensation must be approved by the appropriate vice president and President and, if required, by the Board of Trustees.
9. The Internal Revenue Service has determined that cash payments made by the University to employees in the form of awards, gifts, honorariums, grants and other incentives are a form of taxable compensation. The University will include these payments in employee W-2 pay and make appropriate withholdings from these amounts as necessary to satisfy the legal requirements. This policy will apply to all payments of this type made by the University to employees, regardless of the original source by which the funds are provided. In other words, this includes payments made by the University which may be originally funded from another source outside the institution, such as a charitable foundation. Generally speaking, the only non-taxable cash payments that may be made to employees are accountable reimbursements for job-related mileage, travel or other expenses for which the employee provides adequate mileage records, receipts or other documentation.

Revised 9/20/2006

**REQUEST FOR APPROVAL OF
A GRANT PROPOSAL
(Academic Request)**

Name(s) of Submitter(s): _____

Title of Grant Proposal: _____

Name/Address of Foundation: _____

Contact Person at Foundation: _____

Mailing Date for Proposal: _____

Foundation's Due Date: _____

1. Submitted by Faculty:

(Signature)

(Date)

4. Recommended by Director of Research:

(Signature)

(Date)

2. Recommended by Department Chair:

(Signature)

(Date)

**5. Recommended by Senior Vice President
for Business Services:**

(Signature)

(Date)

3. Recommended by Dean of School/College:

(Signature)

(Date)

6. Recommended by the Provost:

(Signature)

(Date)

7. Approved by the President:

(Signature)

(Date)

Complete this form, submit with copy of proposal and the grantor's instructions for making application to the indicated offices for signatures, and send with all pages intact to the Office of Development for final processing and distribution.

For Office Use Only

After approval of the President, the approval-signature page, proposal and application instructions will be distributed to:

- Distribution: All approving offices
 Business and Financial Services
 Development Office

