Simmons UNIVERSITY

Policy name: Policy on Securing Internal Approvals for External Funding Proposals
Administrator & Offices Responsible for Policy Monitoring and Update: Sponsored Programs (CFE) and the Office of Advancement (Advancement)
Effective Date: January 1, 2025

Policy Scope

Having appropriate internal approvals for proposals that are submitted for external funding is necessary to ensure that they comply with Simmons' vision, values, mission, institutional priorities, policies, and procedures.

The primary intended users of this Policy are the Provost's Office, the Office of Advancement (Advancement), the Center for Faculty Excellence's Sponsored Programs staff (CFE), the Finance Office (Finance), academic leadership, and all faculty and staff.

Policy Purpose

This Policy is designed to ensure that proposals for grants or restricted gifts that are submitted for external funding to governmental agencies, foundations, family foundations, corporations, organizations, associations, and individuals have the necessary internal approvals; comply with Simmons' vision, values, mission, institutional priorities, policies, and procedures; and do not cause any undue financial, academic, space, or personnel-related burdens on the University.

The University's institutional priorities shall be established by the President, Provost, and Chief Financial Officer, in consultation with the UST, as needed.

Responsibilities and Procedures

Simmons University will establish an **External Funding Priorities Committee**. The primary responsibility of the members of the External Funding Priorities Committee is to review and vote on proposals that are being put forth by faculty or staff members for submission to external funding sources.

Suggested Composition:

The following offices shall be represented through membership on the External Funding Priorities Committee, and shall have voting privileges:

- President's Office
- Provost's Office
- Finance Office
- Advancement Office
- General Counsel's Office

Representatives from the Center for Faculty Excellence and the Office of Corporate and Foundation Relations will serve as Co-Administrators of this Committee.

Criteria That Will Trigger Review:

Criteria for proposals that would trigger review by the External Funding Priorities Committee include the following:

A. Proposals seeking support for programs and projects:
- Program or project budgets of at least $100,000; or
- Program or project budgets that require any University cost sharing or other institutional commitments; or
- Programs or projects where there is an expectation by the funders that the University will continue the program or project after the conclusion of their funding.

B. Proposals seeking support for individual faculty research projects:
- Research project budgets that are at least $100,000 <u>and</u> the project requires any University cost sharing or other institutional commitments; or
- Proposals responding to an RFP/RFA that includes a limited submission requirement.

Member Responsibilities:

The members of the External Funding Priorities Committee shall:

- Review proposed research or other projects and programs to ensure that they comply with Simmons' vision, values, mission, and institutional priorities; do not cause any undue burdens on the University; do not conflict with other proposed projects and programs; and follow all of Simmons' policies and procedures.
- Vote whether to approve or deny approval for such proposed research, projects, and

programs based on the above-referenced criteria. Approval shall require at least three affirmative votes.

- Enable faculty and staff members whose proposed research, projects, and programs are approved to work with either the Center for Faculty Excellence or the Office of Corporate and Foundation Relations, as well as the Finance Office, to pursue external funding for such approved projects or programs.
- Vote by email, *unless*, if requested by a member of the External Funding Priorities Committee, meet to discuss the proposal either in person or over Zoom, as necessary.
- In the case of a tie vote, the President's vote will count as the tie-breaker.

Procedures:

Faculty and staff members who seek to request external funding for research, or a project or program (and not solely for scholarship support) shall undertake the following no later than two weeks prior to the sponsor's or funder's deadline (contact the Center for Faculty Excellence Co-Administrator to discuss any possible exceptions):

- Fill out a Project Notification Form and an Intent to Submit a Proposal within Infoready, with appropriate approvals, to the Center for Faculty Excellence, who will in turn, submit the form and associated paperwork to the External Funding Priorities Committee for their review.
- Provide additional information to the Center for Faculty Excellence and the External Funding Priorities Committee, as requested, during the review process.
- Following approval of the research, project, or program by the External Funding Priorities Committee, work with either the staff from the Center for Faculty Excellence or the Office of Corporate and Foundation Relations to identify appropriate external funders, cultivate such external funders, draft proposals and all other necessary documentation, and work with staff from the Finance Office regarding budget-related issues.
- All of these activities shall be done and completed with sufficient time to enable staff members from these three offices to complete the necessary requirements prior to the external funders' deadline dates.

Offices Responsible for this Policy: CFE and the Office of Corporate and Foundation Relations are responsible for writing, updating, and interpreting this Policy.

Related Policies: Policy on Classification of Funds as Gift or Grants for GAAP financial reporting and Policy on Classification of Funds as Sponsored or Philanthropic for Stewardship Purposes.

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PROJECT NOTIFICATION FORM

Date: _____

Principal Investigator Name: _____

Email: _____   Phone: _____

Working Project Title _____

Proposed Project Dates _____Duration of Project _____
                                (Start - End)   (# of Months)

Dollar Amount Needed to Run the Project (estimate) _____

Proposed/Required Institutional Support Amount: _____ (Including any potential course releases)
Please attach a brief explanation.

Space Requirements: Additional Space/Facilities Needed _____ Alterations/Renovations____
Please attach a brief explanation of the project's space requirements

Proprietary or Potentially Patentable Information Included in Proposal: __ Yes __ No

Project Abstract and Budget: *Please attach a brief summary (one page or less) of your proposed project as well as a detailed project budget and budget justification (up to two pages)*

Potential Funder Name, if applicable: _____

You will need to obtain approval from the relevant School Dean or University Administrator for your project idea before proceeding to work with either the Center for Faculty Excellence or the Office of Corporate and Foundation Relations to develop your proposal.

Dean or Administrator Approval: _____
                                       (Name & Signature)

For projects/programs with budgets that will exceed $100,000, that will require any University cost sharing or other institutional commitments, or where there is an expectation by the funders that the University will continue the program or project after the conclusion of their funding, you will also be required to present your idea to the External Funding Priorities Committee for approval.

For projects to be funded by companies or foundations, please contact Lori Friedman, Associate Vice President of Advancement, at [lori.friedman@simmons.edu.](mailto:lori.friedman@simmons.edu).

For projects to be funded by governmental agencies, please contact Jennifer Herman, Executive Director, Center for Faculty Excellence, at jennifer.herman@simmons.edu.