POLICY

Category		
10-03 Grant Proposal Development and Approval		
Approval		
LC Approved:		
Effective Date: 11/02/2023		
Revised:		
Responsible Party: Vice President, Health Science & Grant Management		

Overview

WSU Tech is a dynamic institution serving a high need population with high quality services. While they will be eligible for many grant opportunities, the institution must at times limit its responses to those which align closely to the organization's strategic priorities and those that meet the most significant needs.

Purpose

This document provides a high-level overview of the grant application process beginning with identification of an initial grant opportunity through application submission.

Scope

This policy covers all grant applications to be submitted through WSU Tech. All 501(c)(3) applications will be forwarded to, and processed through, the WSU Tech Foundation.

Policy Guidelines

The following processes will be used to determine what opportunities the institution will choose to pursue.

Grant Opportunity Research

Grant office staff and WSU Tech's contract grant services firm are regularly reviewing grant opportunities from federal and state agencies, as well as local and private funding opportunities, which may be in alignment with the institution's strategic priorities and needs. In researching and considering opportunities, if multiple programs or departments may be eligible, the equitable distribution of grant revenue may be used as part of the consideration process.

If a staff or faculty member sees a grant opportunity which they believe may be a good fit for the

institution, they must contact their dean and/or vice president to vet the viability of the idea. Upon their approval, the staff or faculty member will then meet with the Director of Grants Management to discuss their thoughts about the opportunity and the ways it may be a fit for the institution as well as the institution's eligibility to apply, be a subrecipient, or be a beneficiary. Any grants applied for or agreements entered into which list the institution as a subrecipient, beneficiary, or obligate the institution in any way (including but not limited to the obligation of staff time, institution resources, or financial match) that do not follow this pre-award consideration process prior to application, are subject to disapproval of the award or subaward by the institution.

No pre-award costs can be charged to the grant office budget without the approval of the Vice President of Health Sciences & Grants Management, who is the budget holder for the grant office.

Opportunity Consideration
1.   The Director of Grants Management will review all opportunities and any additional potential project information from the referring staff or faculty member.
2.   Within 24-48 business hours of receiving all of the needed information, the Director of Grants Management will create a Concept Overview summary for the Vice President of Health Sciences & Grants Management to review and discuss as appropriate with the Vice President of Finance & Administration.
3.   Within 24-48 business hours of receiving this summary, the project will be reviewed by these vice presidents to determine the strategic priority match and if there is capacity to pursue and implement the project, especially any potential funding match, data reporting, and staffing requirements. As needed, this leadership team will consult with internal grant staff, external contractual support, institutional effectiveness, and the finance team to make this decision.
4.   Within 24-48 hours (1-2 business days), this information will be shared with the leadership team or a designated smaller group who will discuss the executive sponsorship of the project, the capacity of the subject matter experts required to put together a strong proposal, and the quality of the proposed project design. Within that time period, the Vice President of Health Sciences & Grant Management will notify the Director of Grants Management of the leadership team's review outcome.
5.   Upon outcome notification, the Director of Grants Management will notify the referring personnel of the leadership team's review outcome. If approval to proceed is granted, the Director of Grants Management will notify applicable administrative departments (i.e. Facilities, People and Culture, Marketing, Institutional Effectiveness, Finance, and the Foundation) of the proposed project and deadline.

Other Considerations
- If a member of senior leadership is considering a sponsored project opportunity, they must first discuss it with the Vice President of Health Sciences & Grant Management and the Director of Grants Management, and then when ready, the Concept Overview summary will be shared with the entire leadership team. (See Opportunity Consideration #4 above.)
- If an opportunity becomes available that is due in less than 4 weeks, the grant office or leadership team may choose to decline the opportunity due to lack of capacity needed, in any of the grant, IR, or finance departments, to submit a high-quality competitive application. Depending on the situation, the declined opportunity may be selected for consideration in the upcoming year.
- If the organization (grant, IR, and finance) has the capacity to apply within the shorter time frame, the executive sponsor and subject matter expert for the project must be able and willing to commit to additional meetings per week to share their knowledge and project design with the appropriate writers.
- If the deadline for the new opportunity runs parallel to other agreed upon projects, work life balance will be actively considered before agreeing to additional requests.
- If any member of the leadership team develops a relationship which results in a designated grant

being awarded to the institution without prior Grant Department involvement, the leadership team member must provide information pertaining to the award (or potential award) to the Vice President of Health Sciences & Grants Management and the Director of Grants Management as soon as it is known so as the opportunity can be tracked and preparations made accordingly (i.e. federal or state earmarks).

- • In the case of no-cost extensions and continuations, all associated levels of management (e.g., program directors, deans, vice presidents) and any relevant departments heads will review the situational conditions and sign off on any project commitments prior to submission through the Grant Department.

Ideal and Required Lead Times

While WSU Tech understands there will be times that a grant proposal opportunity becomes available with a quick deadline, such as due to new legislation, ideally the institution will plan its grant calendar at least one year in advance for all major proposals, updating it on a semi-annual and quarterly basis as new opportunities and project designs are developed.

The average federal grant solicitation typically becomes available 6-8 weeks in advance of the deadline. Ideally, the institution will have already considered the general idea of the opportunity and potential project designs in response using prior year solicitations (see Opportunity Consideration). Discussions on these projects may begin 3-6 months before the solicitation becomes available with meetings taking place every 1-2 weeks as the project design is being created amongst the identified subject matter experts and appropriate members of the leadership team at WSU Tech.

Ideal Lead Time for Known Opportunities

- 2-3 months of discussion among the subject matter experts, finance staff, and leadership team to develop an idea.
- Then 2 weeks to develop a full concept outline and logic model and draft an initial budget alongside finance staff.
- Then 2 weeks for the full leadership team to consider and discuss the institutional impacts of the concept and budget to make the final go/no go decision.
- Then 6-8 weeks before the deadline (when the solicitation is formally released), the narrative will begin to be iteratively written with sections presented in rough draft form on a weekly basis during the proposal narrative development. This will allow time for everyone's concerns about specific language usage to be heard and integrated.
- 2-6 weeks before the deadline – iteratively write the proposal, attachments, and budget; complete forms and grant portal requirements (e.g., assurances, etc.).
- 14 days prior to the deadline – A complete narrative and budget is provided for final revisions.
- 10 days prior to the deadline – Final edits are due to the writing team.
- 7-10 days prior to the deadline – Integrate final edits.
- 7 days before the deadline – Submit the proposal.

Lead Time for New Opportunities

Many federal grants only have a general forecast date and sometimes seem to "pop" open about 4-6 weeks before they are due. In addition, some staff decide they want to apply for a grant after it has already been released. This means a much tighter timeline, but the same basic concepts should be followed:

- 4-6 weeks before the deadline – Go/no go decision and idea development.
- 3-5 weeks before the deadline – Continued idea discussions, and development of the logic model, project outline, and rough budget.
- 1-3 weeks before the deadline – Narrative sections provided to the leadership team on an iterative

basis,
- 5-7 days before the deadline – A complete narrative and budget is provided for final revisions.
- 4-5 days before the deadline - Final edits are due to the writing team.
- 2-4 days before the deadline - Integrate final edits.
- 2 days before the deadline - Submit the proposal.

Proposal Preparation Process Agreement
Any proposal preparation can be halted due to lack of participation by the WSU Tech subject matter experts, changes in institutional priorities, changes in internal capacity (such as staffing changes), or if significant communication gaps are causing program and proposal design challenges which impact the final quality and competitiveness of the proposal.

Grant Submission Approvals
1. All grants much be submitted by or in coordination with the Grant Department.

Grant Acceptance Policy
1. No grants may be accepted by the institution without the express permission of the Grant Department.
2. Contractual agreements related to grants must follow WSU Tech's Contract Approvals policy (4-23).
3. No grant proposal or agreement may be signed for by a delegate of WSU Tech's President without their express written permission.
4. In the absence of a funder provided grant agreement, the solicitation and grant proposal will be the standards the project must abide by. If there are conflicts between the solicitation and grant proposal, ideally a documented conversation with the funder will be used to clarify the discrepancy.
5. If a documented conversation with the funder cannot be obtained, the solicitation will be the final authority used to clarify the discrepancy.

Definitions

Sponsored Projects: Sponsored Projects are externally-funded activities in which a formal written agreement (e.g., a grant, contract, or cooperative agreement) is entered into by WSU Tech and the sponsor (federal, state, or local government; private, for-profit entity; or non-profit entity). A sponsored project may be thought of as a transaction in which there is a specified statement of work with a related, reciprocal transfer of something of value (typically financial). The most common conditions for a sponsored project are a statement of work (e.g., project schedule, measurable objectives or milestones, specific responsible individuals), detailed financial accountability (e.g., a line-item budget with specific allowable or unallowable costs, a requirement to return any unexpended funds, regular financial reporting and auditing), and terms and conditions for tangible and intangible properties (e.g., equipment, records, specific technical reports, rights in data, copyrights, publications, inventions, etc.). They could also include prior sponsor approval for significant programmatic and/or fiscal deviations, require protection of confidential information, or involve research activities. This does not include fee for service contracts unless specific individuals are named with defined time and effort. The grant office should know about all sponsored projects (funder, name of the project, amount of award, award period, project director, personnel time allocations, and general purpose), which may require time and effort documentation. In cases where there is still a question between gifts and sponsored projects, the distinction will be made based on the proposal, statement of work, and terms of the agreement, taking into consideration the intent and conversations with the donor/sponsor, especially when funding is being provided by corporations or foundations.

10/23/2023

Grant: A grant is a form of financial assistance between an awarding agency or pass-through entity and a recipient to carry out a particular purpose.

- Discretionary grants are financial awards in which the recipient and/or amount of funding is completely determined by the funding agency, primarily determined through a competitive process or on the merit of proposals. These grants must use the consideration process outlined above.
- Formula grants are financial awards determined by distribution formulas in the authorizing legislation and regulations. The Grant Department must be made aware of all formula grants (funder, name of the project, amount of award, award period, project manager, personnel time allocations, and general purpose) and may require time and effort documentation. These grants may not use the consideration process outlined above.

Cooperative Agreement: Similar to a grant, a cooperative agreement includes substantial involvement between the awarding agency or pass-through entity and the recipient carrying out the activity. These agreements must use the consideration process outlined above.

Subawards: Subawards are financial awards which pass through another entity whose is themselves an awardee of financial assistance. The passthrough entity may or may not be conducting activities related to the grant other than monitoring subawards. Entities who have received a subaward are called subrecipients and are required to adhere to all requirements defined in the original award and any other additional requirements made by the passthrough entity. Subawards must use the consideration process outlined above.