



Grant Guidelines Manual

Purpose of the Manual

The purpose of this manual is to provide guidance to the Tusculum University community regarding the grant-seeking and implementation process. While potential funding opportunities can be exciting, University faculty, staff, and administration should use caution when proceeding, ensuring that aspects of proposal development have been thoroughly vetted and the project is beneficial to our students and the University overall. Poor preparation can result in undesired consequences.

Tusculum University Mission Statement

Building on a rich Presbyterian heritage and a pioneering spirit, Tusculum University provides an active and experiential education within a caring Christian environment to inspire civic engagement, enrich personal lives, and equip career-ready professionals.

Internal Procedures and Responsibilities

In addition to reviewing the Grant Guidelines Manual, two required forms should be completed before grants are submitted to the granting authority. They can be found [here](#) and should be submitted in this order:

- [Request to Apply for a Grant](#) – This should be submitted before any significant advance work has begun on a grant.
- [Internal Routing for Approval of External Funding](#). – This should be submitted at least five days prior to the date that you will submit a grant.

Faculty and staff are the subject matter experts for their grants. The overall responsibility for writing the grant application rests with the faculty or staff who will serve as Principal Investigator for their grants. Before seeking any pre-approval, please review your grant Request for Proposal (RFP) to ensure all eligibility requirements are met and the University has the capacity and resources needed for the grant project. This includes capacity for any match a grant may require. **Any required match within a grant must be approved before submitting the request for funding.**

Please note that the Provost supervises all federal grants. All copies of materials for federal grants should be sent and maintained by the Provost's Office. All other grants are supervised by Institutional Advancement.

Exploration and Review of Potential Funding Opportunities Identified by Faculty or Staff

Following are best practices to maintain before internal pre-approval forms are submitted:

1. Before a grant possibility is sent for review through the Internal Forms Process, please determine the following:
 - Does this grant support the mission of Tusculum University?



Grant Guidelines Manual

- Is Tusculum University eligible for this grant? For example, if the grant is open to higher education institutions, are there additional criteria for applying and does TU meet those additional criteria?
 - Why do you want to apply? Is it to meet a need? Expand a program? Create a new program? Fund an interest?
 - Does Tusculum University have capacity/resources to fulfill all obligations of this grant, including personnel, financial requirements, facilities and equipment, and reporting?
 - Does this grant have a required match? If so, approval must be given in advance for any required matches, cash or in-kind. You will find this information on the Request to Apply for a Grant form. Re-confirmation of any required match must also be made on the Internal Routing for Approval of External Funding form.
 - Are you able to meet the time frame of the initial proposal and submission, as well as future reporting deadlines?
2. The Office of Institutional Advancement may offer support to faculty and staff grant efforts in the following ways:
- Research of grant possibilities when requested – please be specific about the need and allow ample time for research.
 - Copies of commonly-required materials such as institutional budget summaries; fact book if available; requests for general statistical information; tax-exempt letter; and any other similar material expected as part of a grant submission.
 - Review of grant narratives upon request.
 - Review of grant budgets upon request.

General Information about Tusculum University Often Required by Grants

Organization Name and Address

Tusculum University
PO Box 5040
Greeneville, TN 37746

Type of Organization

Private
Educational Institution
Higher Education
Non-profit Institution

Official Authorized Signatory for Applicant Organization

Dr. Scott Hummel, President



Grant Guidelines Manual

TAX ID Number

The Tax Identification Number is the number companies use for income tax purposes. It is often referred to as the Employer Identification Number (EIN) or Federal Identification Number (FIN). Tusculum University's EIN is: 62-0484185

Grant Lifecycle

Below are the most common steps required for a grant:

1. Search for funding
2. Proposal and budget development and approval
3. Proposal submission
4. Award Notification
5. Project monitoring
6. Record keeping
7. Accounting/auditing and reporting
8. Closeout

General Grant Proposal Components

Funding agencies will generally publish their requirements. Below is the framework that is usually expected, although formats will vary.

- Project Summary – brief synopsis of your plan
- Project Narrative – plan details; be sure to read the grant guidelines for any limit to number of words, pages, formatting requirements, etc.
- Introduction or review of literature
- Statement of need; also referred to as statement of problem
- Objectives – when pre-planning, be sure to create objectives that are measurable and reportable
- Action plan/methodology
- Personnel
- Facilities and resources
- Timeline
- Evaluation/assessment
- Publication or dissemination
- Appendices
- Budget and budget narrative (reference Grant Budgets section below)
- Vitae/bibliographical sketched/resumes
- Letters of support – either internal or external, particularly when working with agencies outside of the University.



Grant Guidelines Manual

Grant Budgets

A grant budget is the best estimate of the total cost of executing a grant project. Once the budget is submitted along with the grant narrative, it then becomes Tusculum University's commitment to the funder to administer the grant in accordance with the proposed budget. All budgets must be followed strictly, and any deviations from the budget must be submitted by the PI to the supervisor and approved in writing by the funding agency. The PI must reflect all activities involving resources in the budget and take note of the following:

- Direct costs – Direct costs generally include salaries and wages, administrative support salaries, fringe benefits, equipment, materials and supplies, travel, consultants, subcontractors and other similar charges.

Indirect Costs – Indirect costs are generally based on a percentage of the overall budget and fund Tusculum's overhead/administrative expenses related to conducting business in support of grant management. Please request the University's indirect cost rate directly from the CFO and ensure it aligns with any limitations specific to the grant. If a grant budget includes indirect costs, it should do so at the maximum allowed rate.

- Matching Costs – Rarely should this be part of any grant. If a grant requires a match, permission to pursue the grant must be approved in writing by university administration **before** a proposal is developed and submitted. *This should be accomplished before the "Budget Approval" date indicated through the "Request to Apply for a Grant" form that is required prior to composing the grant. It will be re-confirmed through the "Internal Approval for Approval of External Funding" form to re-verify approval.*

Should you be awarded a grant, please notify the following Tusculum administrators by email:

President
Provost and Vice President of Academic Affairs
Associate Vice President of Institutional Advancement
Vice President of Finance and Chief Financial Officer
Grants and Foundations Manager, Office of Institutional Advancement

Assurances and Certification

Compliance Requirements of the University

All Tusculum University policies, including workplace policies, should be reviewed at <https://www3.tusculum.edu/hr/>

Avoiding Conflicts of Interest – please see the University's procurement policy for federal funds and financial responsibility at : <https://www3.tusculum.edu/finance/>

Grant Guidelines Manual

Compliance with Ethical Standards in Research – any project that involves research should comply with the University policies located on the Institutional Review Board (IRB) Web page. The handbook and all required forms can be found at the link below.

<https://faculty.tusculum.edu/irb/>

Grant Writing Phase

1. Adhere to all specifications of the funding agency and grant requirements.
2. Update CV or resume of PI.
3. Complete and attach all administrative materials
4. If Collaborative Grant –
 - a. Commitment letter from collaborating institution at least three weeks prior to deadline.
 - b. Letter of support from Co-PI
 - c. CV from Co-PI
 - d. Letter of support from collaborating institutions
 - e. Approval from Provost and CFO

Administrative Review – Following completion of both required forms and in accordance with funding agency and grant requirements, the PI will submit the grant. It is in the interest of the University and best practices to submit the grant at least one week prior to the agency/funder's due date. A copy of the grant should be submitted to the CFO after formal approval.

General Checklist for Grant Submissions

- ✓ Review Grants Guidelines Manual
- ✓ Obtain pre-approval through the Request to Apply for a Grant form found [here](#)
- ✓ Obtain pre-approval of IRB (if applicable) including identifying and submitting any forms required for research projects involving human subjects
- ✓ Prepare grant according to its requirements
- ✓ When grant is ready, complete and submit the Internal Routing Form at least 2 weeks prior to submission, located [here](#)
- ✓ Submit grant
- ✓ If grant is awarded, notify persons/offices outlined on page 4.

Grant Management

1. A copy of all grant materials will be maintained by the PI and the Office of Advancement for at least five years or longer, if required by the grant or the University.
 - a. The PI is responsible for maintaining accurate and complete records on the narrative proposed research project, all student work, contractual work, invoices and receipts on purchases, etc.

Grant Guidelines Manual

- b. The PI should provide copies of these records to IA upon request OR in the case whereby IA is working directly with the PI on said grant.
2. If the proposal is declined, a debrief meeting will be conducted with PI and IA. Provost should be included, as well, if the grant was for an academic effort.
3. If the proposal is awarded (PI indicates the main designee for the grant)
 - a. A written notification of award will most likely be sent from the funding agency to the University's PI of that proposal.
 - b. Notification of the award should be sent from the PI to any of the following if applicable: the department chair, Dean, IA, CAO, CFO and University President.
 - c. All award documents should be processed in conjunction with IA. The Provost's office should be included for federal grants.
 - d. The PI, in collaboration with IA grants personnel, ensures award complies with the original proposal and resolves discrepancies.
 - e. Official acceptance is made by the president as the official and authorized signatory.
 - f. PI obtains signatures on agreements, acknowledgements, or thank-you letters that are required or appropriate.
 - g. If a collaborative grant, the PI processes outgoing or incoming sub-awards, MOUs, or contracts.
 - h. The official announcement will be made by the Office of the President.
 - i. PI submits a branding request for a news release or other promotion.
4. PI develops time table for administrative management that complies with grant requirements.
5. PI develops time table for research management that complies with grant requirements, including dissemination for final data from the project or research as specified by the sponsor or funding agency.
6. Financial Management
 - a. All budgets should be approved by the CFO before submission of any kind.
 - b. The PI, with assistance from the CFO, is responsible for the fiscal monitoring of grant awards and ensures that expenditures are made in accordance with the approved budget, financial reports and invoices are submitted in a timely manner, and all fiscal matters have been satisfied during the life of the project.
 - c. The CFO sets up each budget account and informs PI and other necessary faculty or staff.
 - d. All applicable university procurement guidelines and procedures outlined in the Financial Resources Handbook must be adhered to regarding all purchases of supplies or equipment.
 - e. Draw down requests will be made per funding guidelines. Moneys are not drawn down until the expense has been cleared from the system. Encumbered amounts will not be drawn down.
 - f. All purchases must be approved through the regular university purchasing procedures.

Grant Guidelines Manual

- g. Federal grants must follow the federal procurement guidelines.
- h. Appropriate time tracking must be in place for calculation of percent of non-hourly staff and faculty and hourly staff on grant work.
 - 1. Time and Effort Reports, including Salary Recovery, is tracked by the PI or Supervisor, must reflect the actual work performed as a percentage of salary, and be signed by the employee and PI (or other responsible officer who has knowledge of the actual work).
 - 2. For federal grants, employees who are paid with federal funds – partial or fully paid- must keep documentation to demonstrate the amount of time spent on grant activities. Federal Time and Effort Reporting is required to confirm that the percentages allocated to each activity represents a reasonable estimate of the work performed. The actual salary paid is based on determination at the time of the grant award. Federal Regulations usually require that the estimate effort be compared to actual effort. Any significant alteration must be reported.
- 7. Reports to Funding Agency
 - a. The PI is responsible for adhering to reporting deadlines and for filing all reports to prepare progress and final reports to the funding agency.
 - b. All Financial Reports should be reviewed by the CFO and reconciled to the General Ledger prior to any submission. The reconciliation must occur prior to submitting required financial reports, which will vary with each grant.

Grant Closeout Phase

- 1. The PI oversees project closeout for compliance.
- 2. The PI is responsible for filing all reports associated with closure of the grant.
- 3. If allowable, a no-cost extension may be sought to complete a project.
- 4. All paperwork involved with closing out a project will be completed in a timely manner.
- 5. Copies of all Financial Reports and the close-out documents should be submitted to the CFO prior to submitting to the grantor agency.
- 6. When all close-out actions are completed and all reports filled, the PI confirms the grant as closed on the internal routing form that was originally submitted. Once they have done so, the form should be re-sent to the Office of Advancement and the PI should copy their supervisor, the President, the CFO, and the Provost (if it is a faculty or federal grant).
- 7. All records will be kept for five years unless the grant otherwise indicates.

Guidelines may be amended as needed. All PIs and their supervisors should review these guidelines prior to beginning any grant process.