

MIDDLEBURY COLLEGE

GRANTS HANDBOOK

September 2000

MIDDLEBURY COLLEGE GRANTS HANDBOOK

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GRANT SUPPORT at MIDDLEBURY COLLEGE

Grants Office Staff: *Munford House* (next to Center for Arts)

Susan Veguez, Director of Grants (ext. 5197)
Barb Woodbury, Assistant Director (ext. 5199)
Franci Farnsworth, Coordinator of Sponsored Research (ext. 5889)

Grants Accounting Staff: *Service Building*

Philip A. Yauch, Asst. Treas. & Comptroller (ext. 5366)
Fred Blythe, Assistant Comptroller (ext. 5484)
Bill Hatch, Grant Accountant (ext. 5483)

Human Subjects Review Committee: Michelle McCauley, Chair x5720
Ann McLean, HSRC Coordinator x5838

Institutional Animal Care and Use Committee (IACUC): Tom Root, Chair x5434

Grants Office Web Page: <http://www.middlebury.edu/~grants>

Information available on Web page:

- Application Forms
- Blue Endorsement Forms
- Leave Opportunities
- Funding Sources
- Grant Budget Procedures & Policies
- College Grant Policies
- Recently Funded Faculty Research
- Searchable Data Bases
- Rates and Other Useful Facts
- Applying for a Grant – Step-by-Step
- Tips and Advice for Grants Writing
- Middlebury College Grants Handbook
- Grants Office Staff
- About the Grants Office

ELECTRONIC FORMS: AVAILABLE THROUGH THE GRANTS OFFICE WEB PAGE
NSF, Fastlane, NIH, Guggenheim, NEH, American Philosophical Society
TRAM—gateway to most grant forms available on the internet

Grant Proposal Endorsement Form (“blue sheet”): available through Grants Office web page (PDF version for on-line data entry) and by email from Science Department Coordinators and Grants Office

Yellow Leave Notification Form: SERVVAL server (VOL 1/ Electronic Forms/ Yellow Leave Form)

NSF Forms: available through NSF website or NSF FastLane (see Grants Office web page)

Applying for a Grant—Step by Step

Step 1 Your Idea The starting point for any grant proposal is figuring out what you want to do. Once you know this, you can begin to identify possible funding sources and start to work on a grant proposal.

Step 2 Grants Office Contact the Grants Office for information about College policies related to grant applications and advice about budget preparation. For assistance in preparing faculty grants (support for faculty research or other scholarly activity) contact Franci Farnsworth (x5889). For institutional project approval (grants related to academic program, student life, facilities, etc.) and assistance, contact Susan Vaguez (x5197) or Ron Liebowitz (x5735). The Middlebury College Grants Handbook provides essential information related to grants that will be administered by the College. For a general overview, consult the “Grants at Middlebury College Fact Sheet.”

Step 3 Forms & Deadlines Make sure you have the most up-to-date application forms and guidelines. Verify the deadline. Deadlines are either "postmarked by" or "received by"—it makes a difference! Make sure that your proposed project is eligible for the program—**talk with a program officer**. *If the grant will be paid to the College or involves commitment of College resources, you will need a blue Grant Proposal Endorsement form, known as the “blue sheet.” These are available from the Grants Office, on the Grants Office website, and from science division departmental coordinators. [Instructions related to use of the “blue sheet” are shown in italics.]*

Step 4 Budget Work on your budget. Discuss budget details with Grants Office staff (or send a draft budget to the Grants Office—email is fine). You may request handouts on preparing budgets from the Grants Office.

Blue Sheet - Equipment *If you plan to purchase equipment (including computers and media equipment) you must address concerns about installation, storage, maintenance, service contracts, etc. Discuss proposed equipment with your department chair and the administrator responsible for that type of equipment.*

Blue Sheet - Cost-Sharing *Some grants require matching funds from the College (including most equipment grants). Discuss cost-sharing requirements with the Grants Office. There is a college matching fund for research grants. Contact Franci Farnsworth for more information.*

Step 5 Grant Writing Work on your proposal. **FOLLOW THE GUIDELINES.** Some agencies will not review proposals that deviate from the guidelines. If possible, discuss your proposal with an agency program officer and take time to review examples of successful proposals. Some agencies will even review draft proposals. If you need referee letters contact these people as soon as possible. Find colleagues (in and out of your discipline, at Middlebury and elsewhere) to review a draft of your proposal. Note formatting requirements such as type size (font/point), page length, limits on appendices, etc. The Grants Office has prepared a booklet, Grant Preparation: Tips and Advice and can provide names of Middlebury faculty who have received grants. Copies of successful proposals and other grant writing materials are on file at the Grants Office.

STEP 6 FOR PROPOSALS REQUIRING “BLUE SHEETS” (Endorsement Forms)

TWO WEEKS BEFORE THE DEADLINE Begin circulating the blue sheet with a late draft of your proposal and your final budget to the appropriate College officials: department chair (or supervisor), academic administrator (Faculty grants: the appropriate associate dean of faculty; Institutional grants: Ron Liebowitz). If the budget includes equipment, computers or cost-share, the appropriate budget administrator(s) must also sign in the center of the blue sheet. If the research involves human subjects, animals, DNA or radiation, additional signatures are required. Time-saving strategy: provide each signer a copy of the draft proposal and budget and circulate the blue sheet as it gets signed.

ONE WEEK BEFORE THE DEADLINE The proposal and “blue sheet” should now be at the Grants Office with all signatures except for the Comptroller's office. The Grants Office will complete its review and take the proposal to the Comptroller's office. Now is the time to make arrangements for photocopying.

COMPTROLLER'S OFFICE SIGNATURE You will be notified when the proposal and “blue sheet” have been signed by the Comptroller (or his designee).

Step 7 Copying & Mailing Make sure that the proposal is properly assembled. Read the guidelines one more time—sometimes a checklist is supplied. Make the required number of copies, plus one for you, one for Grants Office, and copies for others who need them (Dean of Faculty and/or collaborators). Choose a mailing method that will ensure that the proposal is received by (or mailed by) the deadline. For “postmark deadlines”: make sure you get a proof of mailing that is acceptable to the agency. NOTE: The term “original” refers to the copy with the official signatures; in many cases this does not have to be on the “original” forms.

Blue Sheet Provide the Grants Office with one complete copy of what you submitted (including all signed pages) and the original “blue sheet”. DO NOT send the “blue sheet” to the grantor; this is an internal document only!

Step 8 Agency Receipt Make sure that your proposal was actually received. Most agencies will send some type of notification (often using cards that you have filled out and submitted with your proposal). Most mailing services can track packages. If absolutely necessary, call the agency to make sure your proposal was received.

Step 9 Waiting Wait!! It is not advisable to call agencies to ask about the status of a proposal unless it is well past the announced notification date. Most guidelines will tell you when to expect notification; if not, it is appropriate to call and ask the agency when you should expect to hear results of the grant competition.

Step 10 Reviewer Comments Request copies of reviewer comments if they are available. Whether or not your proposal was successful, these comments could be helpful in your future grant writing efforts. If this attempt wasn't successful, try again! Most grant programs can't fund all the good proposals received, and your chances are often better after revising and reapplying.

GRANTS AT MIDDLEBURY COLLEGE -- FACT SHEET

Grant Proposal Endorsement Form This “blue sheet” is required for all grants that will be administered by the College or which commit college resources. Copies are available from the Grants Office. The form must be signed by: Project Director/Principal Investigator (PD/PI), Department Chair/Supervisor, Academic Administrator (Associate Dean of Faculty for faculty grants, Provost for institutional grants), Grants Office representative and Assistant Comptroller; other signatures may be required depending on the nature of the project and budget request. **Allow two weeks to obtain the necessary signatures.**

Budget Preparation. Consult “Grant Budgets – Policies & Procedures.” The Grants Office can also provide individual assistance. The Grants Office reviews all grant budgets to ensure compliance with College and agency regulations and must sign-off on all proposals before they go to the Comptroller's office; this review may occur at any time during the grant writing process, and PD/PI's are encouraged to contact the Grants Office before preparing their budgets. If your budget includes any of the following items please contact the appropriate people/office for guidance: Students (Student Employment Office, x5377); Equipment or Cost-Sharing (see below); Personnel - other than students or yourself (Grants Office).

Fringe Benefit Rate The federally negotiated fringe benefit rate for Middlebury College is **30% of all salaries and wages** in the budget. Fringe benefits are included as a direct cost. The Comptroller will waive a portion of the fringe benefits on certain faculty research grants; contact Franci Farnsworth for details (x5889).

Facilities & Administration (formerly known as Indirect Costs): The federally negotiated F&A rate for Middlebury College is **57% of all salaries and wages** in the budget. This rate must be used for all federal applications and may be used as a cost-share component for many agencies and organizations that do not pay indirect costs. Use of any other rate (or budgets with no provision for F&A or overhead) must be justified by grantor policies and authorized by the Comptroller's office.

Equipment Proposed equipment purchases (including computers and media equipment) must be discussed with the department chair and Jim Larrabee. There are questions on the blue endorsement form (front and back) relating to space, installation, and maintenance costs. The endorsement form must be signed by the account administrator responsible for equipment maintenance during and after the grant (administrators may email approval to the Grants Office). **There is a College fund to assist with maintenance costs on grant-funded equipment;** contact Franci Farnsworth for more information.

Cost-Sharing Agency cost-sharing requirements must be documented. The accounts to be charged for any cost-sharing must be indicated on the back of the endorsement form and the form must be signed by those account administrators. **There is a college fund to assist with cost-sharing on research grants;** contact Franci Farnsworth for more information.

Assurances The Federal government has imposed numerous compliance requirements on grantee institutions. By signing the endorsement form the PD/PI is providing assurance that he/she is in compliance with all federal regulations and compliance requirements and will comply with award terms and conditions. PD/PI's are asked a number of compliance related questions on the endorsement form. A list of these assurances is available from the Grants Office.

Authorized Institutional Official **Grant Proposal Endorsement Forms (“blue sheets”) must be signed by Assistant Comptroller, Fred B. Blythe.** He is authorized to sign most grant proposal paperwork.. Letters transmitting application materials may be signed by any appropriate person as long as the Assistant Comptroller has signed the Grant Proposal Endorsement Form. Contact the Grants Office to verify the signature authority for each grant proposal cover page.

Photocopying and Mailing These are generally the responsibility of the Principal Investigator/Project Director. Provide the Grants Office with a complete copy of whatever was submitted plus the original Grant Proposal Endorsement Form.

Revised Budgets Revised budgets (or renewal budgets on multi-year grants) must be accompanied by a blue endorsement form (either a new form or a blue photocopy of the original) with the new budget and any new or revised equipment and cost-share information. **Usually the only new signatures required are PI/PD, the Grants Office and Assistant Comptroller.**

RATES AND OTHER USEFUL INFORMATION

Rates: Negotiated with US Dept. of Health and Human Services (DHHS)

Date of most recent agreement: May 14, 1999 (F&A "indirect costs")
January 19,2000 (Fringe Benefits)

Facilities & Administration ("indirect cost") Rate: 57.0% of salaries and wages

Fringe Benefit Rate: 30.0% of salaries and wages (proposals submitted 7/1/00-6/30/01)

For grants that don't allow use of full rates (use with Comptroller's office approval):

"Mandated Benefit" rate: 10% of salaries and wages

FICA Rate: 7.65% of salaries and wages

Federal Employer Identification Number (FEIN): 03-0179298

Submitting Numbers for federal forms:

NSF: 003-691-3000

NASA: 2680

DUNS number: 02-065-1675

Mileage Reimbursement: Rate \$.32/mile (as of 7-1-00)

Authorized Institutional Official:

As designated by Philip A.Yauch, Assistant Treasurer & Comptroller

Fred B. Blythe, Assistant Comptroller

Tel: (802) 443-5484

Fax: (802) 443-2123

email: fblythe@middlebury.edu

Congressional District and Related Information

US Senators: Patrick Leahy
James Jeffords

US Representative Bernard Sanders

Congressional District: 1 [Vermont only has one district]

State Government Information

Governor: Howard Dean
State Senators - Addison County: Thomas Bahre
Elizabeth Ready
State Representatives - Middlebury: Anne V. Ginevan
Betty A. Nuovo

**GRANT BUDGETS--PROCEDURES &
POLICIES**
Updated: **Fall 2000**

Budgets in all grant applications must conform to both agency regulations and College policies. The Middlebury College Handbook states that all direct costs of a research project must be included in the proposed budget.

The following information is provided to help you in preparing grant budgets. Franci Farnsworth at the Grants Office can also provide individual assistance. A grant writing booklet ([Grant Preparation: Tips & Advice](#)) is available from the Grants Office; sample budgets from various funding sources are also available.

Any grant proposal that requires a signature by a College official or any commitment from the College (including equipment acquisition, financial administration, offering courses, or cost-sharing) must go through an internal endorsement procedure. All proposals should be submitted to the internal endorsement process at least two weeks before the agency deadline. This process requires the signatures of the Department Chair (or appropriate supervisor), Executive Vice President & Provost or his designee (for institutional grants), appropriate Associate Dean of Faculty (for faculty grants), persons who will have the budgetary responsibility for any cost-sharing or equipment maintenance required by the proposal, and the Grants Office. Other signatures may be required depending on the nature of the proposal. **The Comptroller (or his designee) is the authorized institutional official to sign grant proposals for the College; his designee, Assistant Comptroller Fred B. Blythe, must sign all Grant Proposal Endorsement Forms, after all other signatures have been obtained.**

If you have any questions about the guidelines and policies below, please contact the Grants Office (Munford House, ext. 5889) or the Comptroller's Office (Service Building, ext. 5366).

1. Personnel - Faculty

Use your current gross academic year salary as a base for calculating salaries to be included in budgets. Adjust salaries by 5% per year to allow for future increases. (Note: This is only a budgeted figure; you will be paid based on your current salary at the time of your grant, up to the level available in the grant budget). If you have questions about salary figures, check with the Payroll Manager (ext. 5373).

You may not include requests for salary during an academic year unless you are scheduled for leave or have permission from the Dean of Faculty (DOF).

If your budget involves the creation of new faculty (or other postdoctoral) positions, you will need approval from the Educational Affairs Committee (EAC); contact the Dean of Faculty for more information. Depending on the situation, you may also need to consult the Human Resources Office. There are specific policies relating to hiring procedures and salaries for these positions.

Leave Salary: Faculty members scheduled for leave during the period of a proposed grant budget are expected to include leave salary in the budget. College policy allows you to receive income during your leave up to the amount you would have been paid by the College; some grants limit salary to the level for the year in which the grant application was submitted. The leave policy states that "the level of support from the College is understood to be 75% for a semester leave and 55% for a year's leave" (these amounts should be prorated for grant periods that are less than your leave period).

Summer Salary: Budgets may provide for up to two months of extra work during the summer. Each month of summer salary is calculated at a rate of one-ninth of the previous academic year's salary (for a maximum of 2/9 per summer). Exceptions to this policy must be approved by the Dean of Faculty. Summer salary figures may be adjusted by 5% per year in multi-year budgets.

Consult the Middlebury College Handbook for College policies about receiving income from consulting, lecturing, teaching at other schools, etc.

2. Personnel - Non-Faculty College Employees

If specific individuals (technicians or administrative support people) are named in your budget, use current salary or wage as a base for calculations. Adjust these amounts by 3% a year for possible future increases (to ensure that there will be enough money in the budget to pay for the positions).

If your budget involves the creation of new positions (even temporary ones) you will need to consult Sandy White, Asst. Director of Human Resources (ext. 5465) to determine the appropriate wage/salary. All compensation must be consistent with the College's wage and salary program. No personnel may be hired without following Human Resources Office procedures, even if the positions are included in funded grant budgets.

3. Personnel - Students

Student job categories and wages are set by the Student Employment Office. There are four classifications of jobs. A "Faculty Research Assistant" is usually a Category III job. The 2000-01 base wage rate for Category III is \$6.20/hour. Summer workers may work up to 40 hours/week.

The category "Summer Research Assistantship" was created in Spring 1995. Students in this category must be working collaboratively with faculty on research projects and must have a meaningful role in the research. Students in these positions are eligible for on-campus housing and board but they are responsible for paying these costs themselves. Any grant-funded position that meets the criteria must be budgeted (and ultimately paid) as a Summer Research Assistantship. The stipend rate for this category in Summer 2000 was \$360/week. Budget \$375/week for Summer 2001 with \$10/year increases after that. Faculty with questions or concerns about this policy should contact Franci Farnsworth (x5889).

Contact Charlene Bergland (ext. 3103) to determine the appropriate job category and to estimate wages for the time period covered by your budget.

[Other Summer Students: Board expenses for full-time, on-campus student workers during the summer are normally paid by the employing department from its own budget. *Grant budgets that include summer student workers who do not meet the criteria for the Summer Research Assistantship must include board fees unless there is a written explanation indicating which budget will pay for these fees or stating that students paid under the grant will be responsible for their own board costs.*]

No student may be hired without following Student Employment Office procedures, even if the position is funded by a grant.

The Human Resources Office sets policies relating to students who are not enrolled at Middlebury College. **Middlebury College students who have graduated are not considered student workers.**

Language School students may not be hired without the approval of the Dean of Languages.

4. Fringe Benefits

Middlebury College has a fringe benefit rate that has been negotiated with the federal government. The current rate is 30.0% of salaries and wages (for proposals submitted between 7/1/00-6/30/01) and must be included as a direct cost of all grant proposals to agencies and organizations that honor the negotiated rates. This is a blended rate and is not intended to represent the actual costs of fringe benefits for specific employees in any grant proposal; a blended rate is based on the assumption that over a period of time the College will recover the full costs of fringe benefits for all employees paid from grant budgets during that period.

The Comptroller has recognized that this blended rate may have a negative impact on some budgets for faculty research grants. He is willing to waive a portion of the fringe benefit rate for those proposed budgets that have salary and wage requests ONLY for faculty summer salaries and student stipends. Faculty who want the College to contribute to their retirement plan on the basis of summer salaries must budget for fringe benefits at the full rate. Contact Franci Farnsworth at the Grants Office for details.

Some granting agencies allow for the payment of fringe benefits but not for overhead or indirect costs. The fringe benefit rate for these applications depends on the specific situation; contact Franci Farnsworth at the Grants Office for details.

There are "fringe benefit" costs associated with nearly all salaries and wages paid. These are a direct cost to the College and are often referred to as "mandated benefits" or "payroll taxes" (employer share of FICA, Workers' Compensation, unemployment insurance); the current rate for mandated benefits is 10% of salaries and wages. The College will assume that the salary or stipend line includes this amount if it is not separately budgeted as "fringe benefits."

5. Facilities & Administration Costs (formerly known as "Indirect Costs")

Effective July 1, 1999, Middlebury College's negotiated rate for F&A is 57% of salaries and wages. This rate is used for all grant proposals to the Federal Government (unless another rate is specified in the program guidelines). Some private sponsors pay for "overhead" or indirect costs but the rates vary according to the funding source. Many private sponsors will allow us to include some administrative expenses as a direct cost; the Grants Office can provide assistance in estimating these costs. Some sponsors will not pay indirect costs but allow us to use our negotiated rate as a cost-sharing component.

F&A (or indirect cost) payments represent a "grant" from the federal government to the host institution that provides the space and the support for scholarly research. In effect, F&A payments reimburse the institution for all of the costs that are not directly supported by the grant and for all the hidden costs of sustaining a supportive environment where good research can be undertaken. At Middlebury College the funds recovered through F&A payments are taken into the budgeting process as unrestricted income that assists the College in providing up-to-date facilities and programs for our students and faculty. F&A (indirect cost) reimbursements support the "matching fund," maintenance of equipment, library needs, start-up funds for new faculty, purchase of new instructional equipment, as well as utilities related to research space and the costs of grant administration (Grants Office, accounting, etc.).

The Faculty Handbook states that all grant applications must include for indirect costs the maximum amount allowed by the granting agency. If the grantor does not allow indirect costs or mandates a rate other than the federally negotiated rate, attach a copy of the pertinent regulation to your blue Grant Proposal Endorsement Form. Use of any rate other than the negotiated rate must be authorized by the Comptroller or his designee.

6. Travel

Travel costs include transportation to the destination, lodging, and expenses for meals, local transportation, tips, etc.

The College will allow you to charge actual expenses to your grant budget. If allowed by the granting agency and your approved budget, the College will allow you to base your request for reimbursement (lodging, meals, and incidentals) on the Federal per diem rates. [There is a link to this federal information on the Grants Office web site (under "Rates and Other Useful Info"). Other expenses will depend on actual needs. Most grantors require that travel arrangements be the equivalent of "economy class" and may scrutinize this section of the budget for reasonableness. For 2000-2001, the College reimbursement rate for use of personal cars on College business is \$.32 per mile.

All travel on College business (including grant-funded travel paid through the College) must be follow the College travel policies. The official college travel agencies are good source of information for proposed costs. You could also talk with people who have recently made trips to the proposed area. Adjust your estimates for inflation and other cost increases between the time you submit your budget and when the travel will take place.

Foreign Travel: The U.S. State Department publishes rates for per diem and monthly living expenses for various places around the world. [There is a link to this federal information on the Grants Office web site (under "Rates and Other Useful Info"). In most countries there is a value-added tax on hotels and food which can add substantially to advertised costs. Most funding agencies require that foreign travel be specifically authorized through the awarded budget, contract or post-award memo. **Foreign travel paid for with federal funds must be on US flag carriers (with certain exceptions).**

Note: There are specific requirements related to federally funded travel. Always check guidelines.

7. Other Costs

Consult the program guidelines carefully to see what other costs are allowable. All costs must be directly allocable to your grant and should not be costs normally covered by departmental administration. Costs which customarily may be charged to a research grant include photocopies, supplies, expendable laboratory or field equipment, postage, fax, and telephone. Some grants allow software, computers, publications related to your research, purchase of equipment (see Section 8 below) and journal page charges.

The College requires that all direct costs (comprehensively defined) be included in grant application budgets; allowance is made for granting agency policies and funding limits. Multi-year budgets may be adjusted by 3% per year to allow for inflation.

If equipment maintenance is an allowable cost, you must include it in your budget if you are requesting equipment. If guidelines allow for an allocation to the department or College or a payment "in lieu of overhead" this must be included in your budget.

8. Equipment

If your proposed budget includes any equipment you must fill out the equipment sections of the blue Grant Proposal Endorsement Form, providing information about the cost, maintenance provisions and installation requirements. You must estimate the annual maintenance cost for the equipment and provide College budget numbers (and authorizing signatures) for the accounts that will be charged for any maintenance costs of the equipment during the grant and after it expires. Contact Jim Larrabee by email

at least six weeks before your deadline to discuss these issues. He must sign the blue Grant Proposal Endorsement Form for any proposal that includes a budget request for equipment.

Computers & Media Equipment: Contact Carol Peddie (computers) or Dean Cadoret (media) if you are requesting funds for (or committing the use of) computers or media equipment. They must verify that the estimated cost is reasonable, equipment selected is compatible with our systems, and maintenance costs can be handled by the College or have been included in the budget. They may provide this verification by a signature on the "blue sheet" or email to a Grants Office staff member.

The definition of "equipment" for the purpose of federal grant proposals are items with an acquisition cost of \$5,000 or more and a useful life of more than one year. These are the only items of equipment that should be included in the "Equipment" section of a federal grant budget; items that don't meet this definition should be included in the "Other" section, as supplies or as "other."

9. Cost-Sharing

If your grant proposal includes a cost-sharing commitment ("matching") you must indicate on the blue Grant Proposal Endorsement Form what accounts will be charged for these costs (if your proposal is approved). The budget administrators for all committed accounts must sign the blue Grant Proposal Endorsement Form or provide separate memos indicating their acceptance of this cost-sharing commitment.

There is a College fund to assist with cost-sharing for equipment and research grants. Jim Larrabee is the administrator of this fund; contact Franci Farnsworth for more information about this fund.

If you have cost-share questions on research grants contact Franci Farnsworth (ext. 5889); contact Susan Veguez (ext. 5197) about cost-sharing on institutional projects.

PROPOSAL BUDGET OUTLINE

Personnel

1. Faculty academic year salary (if on leave and if sponsor will pay) _____

Salary request = 45% of salary needed for project

[For full year leaves College pays 55% of salary. Academic year base ÷ 9 = monthly rate.
Monthly rate * # months * % effort = Salary Needed]

2. Staff and other non-student salaries _____

Use actual salaries or rates set by Human Resources Department.

3. Faculty summer salary _____

Up to 2/9 academic year base (if allowed by sponsor)

4. Students (see p.8 for rates) _____

Summer Research Assistantships

Summer hourly workers

Academic year hourly workers

Fringe Benefits (negotiated rate 30.0% of salaries and wages) _____

College policy is that the negotiated fringe benefit rate must be used for all grant proposals when the funding will come to the College. Use of lower fringe benefit rates must be approved by the Comptroller's Office. The rate to cover "mandated benefits" (FICA, Workers Compensation, and unemployment insurance) is 10% of the salaries and wages.

Permanent Equipment – Itemize (usually defined as equipment over \$5000) _____

Equipment acquisition must be approved by Jim Larrabee. You must address issues concerning installation, insurance, space, etc. Computers and media equipment must be compatible with systems at Middlebury and approved by ITS.

Expendable Equipment and Supplies (itemize) _____

Travel _____

Include purpose of travel, destination, estimated number of days, actual costs or per diem rate for meals and lodging, transportation cost (College mileage reimbursement rate is \$.32/mile)

Publication Costs _____

Include page charges and cost of reprints

Other Costs _____

Examples: telephone, postage, copying, consultant expenses

Indirect Costs (Facilities & Administration) _____

Negotiated rate is 57% of salaries and wages. Contact Grants Office to discuss grants to the College from sponsors that do not allow this rate.

TOTAL PROJECT COST _____

Note: a budget worksheet and an Excel spreadsheet version of this form are also available from the Grants Office (x5889)

SPONSORED RESEARCH MATCHING FUND

This College fund is available to assist with cost-sharing on grant proposals for equipment and faculty research. This fund may also be used to assist with maintenance costs for grant-funded equipment. Proposals that have the highest priority are those for research equipment, student stipends, and supplies for research that involves students; other budget items will be considered depending on the nature of the item and demand for matching funds at that time. The fund may not be used to provide cost-share on faculty salaries (or to free up grant funds to pay for faculty salaries).

The Matching Fund is administered by an Associate Dean of Faculty (currently Jim Larrabee). Requests for matching funds should be submitted to the Coordinator of Sponsored Research (Franci Farnsworth) who is responsible for tracking matching fund commitments.

Faculty members may request maintenance costs for grant-funded equipment for the life of the grant or for three years after the warranty expires. Funds will be committed on the basis of the actual cost of a maintenance contract or a reasonable estimate of the costs to maintain a piece of equipment.

The College recognizes that matching funds must be committed well in advance of when they will be needed and that not all grant proposals with cost-share commitments will be funded. For that reason the matching fund is managed on a multi-year basis; commitments may exceed the current year's funding (and may in some cases be made from future years' funding); at the end of each fiscal year, the College puts any unexpended matching funds into a reserve account that can be drawn on in future years if necessary (when more grant proposals with cost-share commitments are funded than anticipated).

MIDDLEBURY COLLEGE

POST AWARD GRANT PROCEDURES & POLICIES

Responsibilities of the Comptroller's Office

The Comptroller's Office is responsible for the overall financial administration of all grants to the College and will follow standard accounting practices and strictly adhere to all College policies, and federal regulations. Specific responsibilities include:

- setting up all grant accounts;
- preparing all financial reports;
- requesting reimbursement from sponsoring agencies for grant-funded expenses;
- authorizing changes to approved budgets or other grant conditions (in accordance with sponsoring agency policy);
- certifying compliance with all federal regulations.

Responsibilities of the Principal Investigator/Project Director

The Principal Investigator or Project Director (PI/PD) is responsible for all aspects of conducting the project. The PI/PD must:

- submit all original award documentation and any funds received to the Grant Accountant;
- ensure that the project stays within the scope and objectives of the original proposal;
- limit expenditures to the total dollar amount awarded;
- submit all required reports on time;
- provide the Grants Office with copies of all narrative reports and grant-related correspondence
- comply with all terms and conditions of the grant;
- request approval from the Comptroller's office for any deviations from the awarded budget or other terms of the grant;
- follow all college policies (financial and academic) as well as the policies of the sponsoring agency.

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Grant Account Number Assignment

The College must have documentation of an award before the Grant Accountant (GA) may assign an account number. Normally this consists of the original grant acceptance letter along with a copy of the approved grant proposal and budget. In most cases the Grants Office will provide this documentation to the GA. The GA assigns an account number, enters the approved budget into the College accounting system (AS400), and notifies the PI/PD and the Grants Office of the account number. This account number is used for all grant expenses. If the College has committed cost-sharing ("matching") to the project, a second account number may be assigned for all match-related expenditures. The PI/PD may authorize other college employees (such as their department coordinator) to have access to their account information. Contact Bill Hatch, Grant Accountant (x5483) with questions about account numbers. Contact ITS for help with the AS400: for setting up computers to access the AS400 contact the Help Desk (x2200); for an AS400 password and instructions, contact Marty New (x5172).

Authorized Grant Expenditures

The PI/PD is the sole “budget administrator” for the grant account and authorizes all expenditures posted to the grant. Only the PI/PD's signature is needed on vouchers or requisitions, except for reimbursements to the PI/PD which must be signed by the PI/PD's department chair. All expenses charged to a grant account must be necessary to achieve the objectives of the approved grant, allocable to that particular project, and allowable under the terms of the grant. Contact the GA to determine the procedures involved for expending funds on items that are not included in an awarded grant budget; even when the grant allows the College to authorize such expenditures, the PI/PD must first provide written justification to the GA. Questions or problems should be directed to Bill Hatch, GA (x5483).

All grant expenditures are processed just as any other College expenditures. This includes travel reimbursement, purchase requisitions, and charges for College services (bookstore, reprographics, etc). Routine office expenses (supplies, postage, telephone, photocopies, etc.) may not be charged to grants unless they are specifically included in the awarded budget.

Equipment, Supplies, and Professional Services

The PI/PD submits an electronic requisition to the Purchasing Department to purchase from external vendors. Before purchasing equipment, check the sponsoring agency guidelines to see if bid procedures must be used. Departmental coordinators may be able to assist with these procedures. For more information contact Gail Smith at the Purchasing Dept. (x5459).

Travel Costs

All airline reservations *must* be made following college travel policies. Federally-funded travel must be on US flag carriers regardless of the cost (with some limited exceptions related to travel logistics). As of July 1, 2000 the mileage reimbursement rate for is \$0.32/mile.

For meals and lodging during travel related to the grant, the PI/PD may either submit the receipts, or use the Federal per diem limits. Federal per diem rates by city may be found on the Grants Office web page (~grants). No grant funds may be used for alcoholic beverages and the PI/PD must verify that reimbursements for meals do not include payment for alcoholic beverages.

Travel reimbursements and advances may be requested by submitting a voucher to Accounts Payable in the Comptroller's Office. For more information, contact David Preble, the accounts payable coordinator (x5369).

Faculty/Staff Time & Effort Reports and Salaries

Before any salary (including summer salary) can be paid from a grant, a Time & Effort (T&E) Report must be completed and submitted to the GA. Each quarter, the GA will distribute T&E Reports to all faculty with active grants. Faculty or salaried staff working on the grant-funded project indicate the amount (or portion) of salary to be charged to a grant (consistent with the approved budget) and an estimate of time and effort to be expended on the grant during the upcoming quarter. The GA will also request confirmation (or corrections) for the estimated time and effort for the previous quarter. ***T&E Reports are required for all grants, whether or not salary is charged to the grant budgets; these reports are used to document time donated to grant projects whether or not the specific grant requires such documentation.*** Students and

employees who submit weekly time cards do not have to complete T&E Reports. Questions or problems should be directed to Bill Hatch, GA (x5483).

Student Salaries

Student Employment Office procedures must be followed to pay student salaries from grant funds. Student salaries are set by the Student Employment Office, not by the approved grant budget. For a copy of the Student Employment handbook or more information, contact Charlene Bergland in the Student Employee Office (x3103).

Non-student Salaries (including recent graduates and non-Middlebury students)

People (other than Middlebury College undergraduate students) hired to work on grants administered by the College are College employees. Their hiring and all actions relating to their employment must be coordinated by the Human Resources Department (or the Dean of Faculty in the case of faculty) and handled in the same manner as other employees. Salaries and wages are determined by Human Resources based on the job description, not by the amount in the approved budget. Contact Sandy White at Human Resources for information about hiring grant-funded employees (x 5465).

Fringe Benefits and Indirect Costs (Facilities & Administration)

The GA is responsible for recording approved fringe benefit charges and approved “Facilities and Administration” costs (formerly known as indirect costs). These charges are usually posted on a monthly basis in accordance with the rates in the approved budget. Contact Bill Hatch, GA (x5483) for more information.

Sponsored Activity Reports

Financial “sponsored activity reports” are printed by Accounting for internal use. These are reviewed by the GA and forwarded to each PI/PD on a quarterly basis. These reports show quarterly expenditures for the life of the grant. It is important that the PI/PD review the sponsored activity reports and contact the GA (x5483) as soon as possible for questions or corrections.

Monitoring Expenses/Managing the Grant

The PI/PD is responsible for monitoring all expenses charged to the grant account. Mistakes can happen; expenses posted to a grant account in error can be moved if the error is caught within the College’s fiscal year. Be sure that all invoices, vouchers and payroll charges that have been submitted are properly charged to the grant account. Grant budget overruns are charged to the department of the PI/PD. Federal grants may see a return of student payroll charges for those student employees with federal Work/Study assistance; because of delays in posting these rebates this can lead to short-term grants being underspent. . Contact ITS for help with the AS400: for setting up computers to access the AS400 contact the Help Desk (x2200); for an AS400 password and instructions, contact Marty New (x5172).

Reporting Requirements

The GA prepares all financial reports required by the sponsoring agency. The PI/PD is responsible for all narrative or technical reports. Many sponsoring agencies require annual progress reports; check the specific grant terms and conditions. Copies of all narrative reports and correspondence related to the grant should be forwarded to the Grants Office.

No-Cost Extensions

Most sponsoring agencies allow an extension of the grant termination date, if more time is needed to finish the project. Many federal grants allow the College to authorize these “no-cost extensions.” In all cases, such extensions must be requested well in advance of the approved termination date. Contact the Grants Office for the appropriate procedures (x5614).

APPENDIX – Who to Call for More Information

Middlebury College Budget Number _____
 Sponsoring Agency Grant Number _____
 Sponsoring Agency Contact person/telephone _____

Topic	Contact	Name	Phone
AS400 budget screen directions	Grant Accountant	Bill Hatch	5483
AS400 password and procedures	ITS	Marty New	5172
Budget changes	Grant Accountant	Bill Hatch	5483
Computer set up to access the AS400	ITS	Help Desk	2200
Employee hiring	Human Resources	Sandy White	5465
Faculty salary on grants	Grant Accountant	Bill Hatch	5483
Financial reports	Grant Accountant	Bill Hatch	5483
Grant account number	Grant Accountant	Bill Hatch	5483
Narrative reports—Faculty	Coordinator of Sponsored Research	Franci Farnsworth	5889
Narrative reports—Institutional	Asst. Director of Grants	Barb Woodbury	5199
No-cost extensions—Faculty or Federal grants	Coordinator of Sponsored Research	Franci Farnsworth	5889
No-cost extensions—Institutional grants (private)	Asst. Director of Grants	Barb Woodbury	5199
Purchasing supplies, equipment, services	Purchasing Dept.	Gail Smith	5459
Sponsored Activity Reports (to request one or how to read it)	Grant Accountant	Bill Hatch	5483
Student employees (Middlebury undergraduates)	Student Employment	Charlene Bergland	5377
Summer salary requests	Grant Accountant	Bill Hatch	5483
Time & Effort Reports	Grant Accountant	Bill Hatch	5483
Travel arrangements	Carlson Wagonlit		388-3125
	Milne Travel		388-6600
Travel reimbursements	Accounts Payable	David Preble	5369
Waived fringe/indirect rates	Assistant Comptroller	Fred Blythe (with copy to Franci Farnsworth)	Email preferred

MIDDLEBURY COLLEGE ORGANIZATIONAL PRIOR APPROVAL SYSTEM

The Comptroller's office is responsible for administering all external funding that comes to Middlebury College and will be governed by OMB Circular A-21, all applicable federal regulations, Middlebury College policies, and the particular grant provisions and conditions of the sponsor. The Grants Accountant has day-to-day responsibilities for accounting related to sponsored activities.

The Middlebury College Grants Handbook includes a section titled "Post Award Grant Procedures & Policies" which is updated annually, usually in the fall. These procedures are also available on the Grants Office home page of the Middlebury College web site and are provided to each Principal Investigator/Project Director (PI/PD) when a grant account is established.

As stated in "Post Award Grant Procedures & Policies", PI/PD's are authorized to make charges to their grant accounts in accordance with the approved budget. PI/PD's must consult with the Grants Accountant before incurring any charges which deviate from the awarded budget. The Grants Accountant will approve such expenditures if the following conditions are met:

- 1) expenditure is allowable under Circular A-21;
- 2) expenditure is consistent with the terms and conditions of the award and with the policies of the sponsor and Middlebury College;
- 3) expenditure does not constitute a change in project scope; and
- 4) expenditure is reasonable, necessary and allocable to the project.

The Comptroller or designated member of the Comptroller's staff will review in advance any proposed administrative changes (such as expenditures that normally require prior agency approval, extensions of grant period, incurring costs prior to the beginning of an award, or budget revisions that involve transfer of funds among budget categories). If the granting agency has authorized the College, as grantee, to approve such changes then the Comptroller (or designee) will provide written approval IF the following conditions are met:

- 1) any expenditures involved are allowable under Circular A-21;
- 2) the change is consistent with the terms and conditions of the award and with the policies of the sponsor and Middlebury College;
- 3) the change does not constitute a change in the scope of the project.

Written documentation of the approval will be retained in the grant file for three years following the submission of the final financial report.

Investigator Financial Disclosure Policy

(Applicable to all Sponsored Project Proposals)

What is Required?

Federal regulations require institutions to have policies and procedures in place that ensure that investigators disclose any significant financial interest that may present an actual or potential conflict of interest in relationship to externally sponsored projects. Such disclosures must be made **prior to the submission of a proposal** for funding, and institutions must develop specific mechanisms by which conflicts of interest will be satisfactorily managed, reduced, or eliminated prior to award or acceptance of an award. Middlebury College adopted a Conflicting Financial Interest Policy on September 19, 1995.

- If a new reportable significant conflict of interest arises at any time during the period after the submission of the proposal through the period of the award, the filing of a disclosure is also required.

Who is covered?

"Investigator" means the principal investigator/project director, co-principal investigators, and any other person at the College who is responsible for the design, conduct, or reporting of research, educational, or service activities funded, or proposed for funding by an external sponsor. In this context, the term "investigator" includes the investigator's spouse or domestic partner and dependent children.

What must be disclosed?

Each investigator shall disclose all *significant financial interests*:

- (i) that would reasonably appear to be affected by the research or educational activities funded, or proposed for funding, by an external sponsor; or
- (ii) in entities whose financial interests would reasonably appear to be affected by such activities.

What is covered?

"Significant financial interests" means anything of monetary value, including, but not limited to, **salary or other payments for services** (e.g., consulting fees or honoraria); **equity interests** (e.g., stocks, stock options or other ownership interests); and **intellectual property rights** (e.g., patents, copyrights and royalties from such rights). The term **does not include**:

1. Salary, royalties, or other remuneration from the College;
2. An equity interest that when aggregated for the Investigator and the Investigator's spouse or domestic partner and dependent children, meets both of the following tests: does not exceed \$10,000 in value as determined through reference to public prices or other reasonable measures of fair market value, and does not represent more than a five percent ownership interest in any single entity; or
3. Salary, royalties or other payments that when aggregated for the Investigator and the Investigator's spouse or domestic partner and dependent children over the next twelve months, are not expected to exceed \$10,000; or
4. Income from seminars, lectures, or teaching engagements sponsored by public or nonprofit entities; or
5. Income from service on advisory committees or review panels for public or nonprofit entities.

Provided, however, that the exclusions in the first three items shall not apply if the compensation or transfer of an equity interest is conditioned upon a particular outcome in a sponsored research project.

Disclosure Procedures:

1. All investigators must disclose their significant financial interest utilizing the form on the reverse side and attaching all required supporting documentation. The completed Disclosure Form must be submitted with the proposal and College Grant Proposal Endorsement Form ("blue sheet") to the Comptroller's office following normal College procedures. Supporting documentation should be submitted in a sealed envelope marked *confidential*.
2. In accordance with Federal regulations, a complete disclosure must be made by investigator(s) *prior to submission of the proposal*.
3. All conflicts of interests must be resolved prior to expenditure of any funds. The Comptroller may require written documentation for the plans to resolve conflicts of interest.

Significant Financial Interest Disclosure
(Applicable to all Sponsored Project Proposals)

Faculty/Staff Name _____
Department _____
Proposal Title _____
Proposal Submitted _____

I am disclosing the following significant financial interests (check one) and attaching supporting documentation (in an envelope marked CONFIDENTIAL) that identifies the business enterprise or entity involved and the nature and amount of the interest:

("Significant financial interests" are defined as interest or projected annual income valued at greater than \$10,000 or an equity or ownership interest of more than five percent held by an investigator and the investigator's spouse or domestic partner and dependent children. See page 1 for exempt interests.)

- Salary or other payment for services (e.g., consulting fees or honoraria).
- Equity interests (e.g., stocks, stock options, or other ownership interests).
- Intellectual property rights (e.g., patents, copyrights, and royalties from such rights).
- Other significant financial interest of the investigator that possibly could affect or be perceived to affect the results of the research or educational activities funded or proposed for funding.

Further I agree:

- To update this disclosure during the period of the award, either on an annual basis, or as new reportable significant financial interests are obtained.
- To cooperate in the development of a plan to resolve any conflicts of interest.
- To comply with any conditions or restrictions imposed by the College to manage, reduce, or eliminate actual or potential conflicts of interests or to forfeit the award.

Signed: _____ **Date:** _____

(Original signature only - a "per" signature is not acceptable.)

Endorsements:

I have reviewed the significant financial interest disclosure and believe that it will be possible to manage, reduce, or eliminate any actual or potential conflict of interest; and, therefore, I recommend that proposal be submitted to the agency at the time.

Comptroller: _____ **Date:** _____