

GRANTS-IN-AID AND PROFESSIONAL DEVELOPMENT/ TRAVEL GRANTS GUIDELINES

A. Grants-in-Aid

Grants-in-aid supported by funds received from the G. Noble Gilpin Faculty Development Grant, the Kenan Fund, the Faculty Enrichment Fund, and the Fund for Interdisciplinary Studies in the Humanities are administered by the Faculty Grants Committee, a subcommittee of the Faculty Advancement Committee. The Faculty Grants Committee consists of the five elected faculty members of the Faculty Advancement Committee, as well as the Faculty Grants Officer, who is an ex-officio, non-voting member of the Faculty Grants Committee and serves as its fiscal administrator. Except as otherwise specifically provided in Sections 9, 10, or 11 below, all grants administered by the Faculty Grants Committee will be governed by the following policies:

1. Eligibility for awards is limited to:
 - a. Full-time teaching faculty members who are on continuing appointment, including those on leave;
 - b. Full-time librarians with professional degrees who are on continuing appointment, including those on leave; and
 - c. Full-time employees with regular teaching responsibilities who are on continuing appointment, including those on leave (requests from whom will be considered only after requests from persons described in a. or b. above).

Awards are not made to part-time employees or for work completed prior to the commencement of full-time employment at Sweet Briar College.

2. Applications will be considered for expenses for the following:
 - a. Acquisitions of research materials
 - b. Special equipment
 - c. Supplies
 - d. Clerical and technical assistance
 - e. Fees for courses, seminars, workshops, and conference registrations
 - f. Necessary travel, including meals and lodging
 - g. Computer time and materials
 - h. Film and processing
 - i. Other similar costs directly related to the project
 - j. Under special circumstances, acquisition of computer software may be supported.
3. Requests for payment for the following expenses must be explicitly justified:
 - a. Publication/production expenses: The preparation of article-length manuscripts for publication in professional journals that provide no compensation or reimbursement of expenses may be funded. The preparation of book-length manuscripts and any necessary illustrative materials (including copyright fees when applicable) for publishers who provide no reimbursement of such costs may be funded. Other dissemination requests, *e.g.*, audio or video production may be published. Applicants' expenses for subsidies for publication/production will be limited to one request per project and given lower priority

than other requests for research funds. These requests will be considered in the 3rd round only.

- b. Living expenses: Applicants are expected to meet ordinary living expenses at a level comparable to that of Sweet Briar out of their salaries. The Committee may impose a per diem limit for meals. Unavoidable additional expenses occasioned by the project or its location may be submitted for consideration. If the applicant's summer residence is ordinarily in the location of the proposed project, travel expenses to and from Sweet Briar should not be requested.
 - c. Copying expenses: The standard rate for copying expenses shall not normally exceed the current institutional rate charged at Sweet Briar.
 - d. Special equipment, clerical and technical assistance, and computer time and materials: These items must be explicitly justified if requested in an application and the applicant must show that no other program or college funds are available for these items.
4. Funds will not be available to cover the following:
- a. Expenses of dependents;
 - b. Study or research leading to a degree;
 - c. Purchase of specific course materials
 - d. Supplies and equipment that can be purchased from other college budgets; or
 - e. Cost overruns from previous grants.
5. Applications for grants-in-aid shall be sent to the Academic Assistant. Applications must have as the first page the covering sheet, which is available on the Faculty Forms and Information page <file://localhost/http://www.dean.sbc.edu/academicsecs/forms/forms.html>.
6. The following deadline dates apply to proposals to the Faculty Grants Committee:
- | | |
|------------|--|
| October 15 | a. For projects that will occur during the fall or spring terms of the current academic year or during the following summer; and |
| | b. For sabbatical leave projects that will occur during the following academic year. |
| January 31 | a. For projects that will occur during the spring term of the current academic year, during the following summer or during the fall term of the following academic year; and |
| | b. For sabbatical leave projects that will occur during the following academic year. |
| March 15 | a. For projects that will occur during the following summer, or during the fall term of the following academic year; and |
| | b. For sabbatical leave projects that will occur during the following academic year. |

In exceptional cases, applications for new projects may be submitted for work already completed if the applicant can demonstrate that it was impossible to meet an earlier deadline.

- a. A separate application must be submitted for each project for which a grant is requested, even if there is to be more than one project on a single trip. An application may be

submitted individually by a faculty member or jointly by two or more members when they plan to work together on a project.

- b. In the description of the project, indicate whether it represents a continuation of previous research (and if so, the current status of the project and the expected completion or publication date), what new areas are to be investigated, what significance the work may have, and how it will fulfill the purposes of the grants-in-aid program. Specify where the work will be done and how long it will take, and submit an itemized estimate of expenses. Requests for mileage expenses should conform to the College's allowance. If funds are also being applied for from an agency outside the College, give details, including the expected decision date.
 - c. One electronic copy is to be submitted according to the instructions on the faculty grant cover sheet available on the Faculty Forms and Information page (<http://www.dean.sbc.edu/academicsecs/forms/forms.html>). The Committee welcomes, but does not require supporting letters from colleagues at Sweet Briar or elsewhere who can evaluate the proposal.
7. Requests will be evaluated on the basis of merit; other things being equal, preference will be given to those faculty members who have not recently received awards from the Committee.
 8. All grants made by the Committee shall be subject to the following conditions:
 - a. A final report, consisting of a section on the work accomplished, a section providing a financial accounting, and all required receipts, shall be submitted to the Faculty Grants Officer by every recipient of a grant made by the Faculty Grants Committee. The final report shall be due no later than 60 days within completion of the project.
 - b. Failure to submit a final report within 60 days after completion of the project shall make a faculty member ineligible to apply for a grant until the final report is submitted.
 - c. Unexpended portions of awards shall be returned to the Committee.
 - d. Permanent materials such as equipment, microfilms, photocopies, and books purchased by means of a grant-in-aid become the property of the College if either the program concerned or the Librarian considers them suitable for future use.
 - e. Funds for publishing expenses, clerical and technical expenses, supplies, or other expenses directly related to the production of any book, artwork, or other project from which the applicant may realize any profit shall be reimbursed to the Committee if and when such profits are realized, but only to the extent of such profits.

9. G. Noble Gilpin Faculty Development Grant

- a. A challenge grant from the Cabell Foundation of Richmond, Virginia, and matching funds from Mr. & Mrs. Heinz K. Simon (Allison Stemmons '63) of Dallas, Texas, have established a permanent Faculty Development Fund from which awards are made annually to members of the faculty for attending meetings participating in summer seminars, workshops, and institutes; visiting museums, laboratories, libraries, and theatres; purchasing materials essential to maintaining competence in a discipline; and advanced degree work which would ultimately result in better teaching quality. Variety of purpose shall be stressed in awarding these grants, and preference shall be given to those below the rank of full professor.
- b. Applications for the Gilpin Grants shall conform to the guidelines set forth in Sections 1-8 above for other grants-in-aid. These applications will be reviewed by a joint student-faculty committee consisting of the President of the Student Government Association, two student representatives from the Student Curriculum Committee, the Senior McVea Scholar, and the Faculty Grants Committee. The recommendations of this joint committee are subject to approval by the President and the Dean.
- c. Conditions governing Gilpin awards are the same as those described in Sections 1-8 above for other grants-in-aid.
- d. G. Noble Gilpin was professor of music at Sweet Briar College from 1946 until his retirement in 1972. In 1967, he received an outstanding teacher award. He was Chair of the Music Program for nine years, and served as chapel organist and choir director for much of his career.

10. Kenan Fund

The purpose of grants-in-aid supported by the Kenan Fund is to improve the professional and teaching competence of the faculty by supporting a variety of professional activities, including:

- a. research
- b. advanced studies and participation in seminars and workshops
- c. presentation of refereed or unrefereed research papers at conferences
- d. attendance at conferences, performances, exhibitions, etc.

11. Fund for Interdisciplinary Studies in the Humanities

- a. In order to promote the aims of interdisciplinary studies, the Faculty Grants Committee awards grants from an endowment created in 1977 by a National Endowment for the Humanities challenge grant and matching funds contributed by Sweet Briar alumnae.
- b. All applicants for grants who wish to have their projects considered for funding from the Fund for Interdisciplinary Studies in the Humanities should so state in their application. They should also include a detailed explanation of the interdisciplinary content of their proposed project.

c. In order to be considered "interdisciplinary" for the purposes of Sections 1-8 and 11, projects must be either (a) interdisciplinary between different disciplines within the humanities, or (b) interdisciplinary between humanities discipline and a non-humanities discipline.

d. For determining whether a humanities discipline is a component of a proposed interdisciplinary project, the following definition from the act of Congress, which established the National Endowment for the Humanities, shall be applied:

"The term 'humanities' includes, but is not limited to, the study of the following: language, both modern and classical; linguistics; literature; history; jurisprudence; philosophy, archaeology; comparative religion; ethics; the history, criticism, and theory of the arts; those aspects of social sciences which have humanistic content and employ humanistic methods; and the study and application of the humanities to the human environment with particular attention to reflecting our diverse heritage, traditions, and history and to the relevance of the humanities to the current conditions of national life."

e. The following categories of grants may be supported by funds received from the Fund for Interdisciplinary Studies in the Humanities:

- 1) Individual interdisciplinary study and research
- 2) Interdisciplinary curriculum development and planning and preparing interdisciplinary courses
- 3) Planning and organizing interdisciplinary seminars
- 4) For consultants or other outside authorities (such as speakers) to introduce new material to faculty members on interdisciplinary matters
- 5) Attending interdisciplinary scholarly conferences
- 6) Instructional materials and equipment, including film rentals, library acquisitions and maps for interdisciplinary courses
- 7) Other interdisciplinary initiatives not mentioned above

f. Applications for grants-in-aid supported by the Fund for Interdisciplinary Studies in the Humanities shall conform to the guidelines set forth in Section A above for other grants-in-aid. Conditions governing grants-in-aid supported by the Fund for Interdisciplinary Studies in the Humanities are the same as those described in Section A above for other grants-in-aid.

g. Requests for released time from teaching. In additions to the grants set forth in section e. above, programs may apply for funds to release one or more of their members from their regular course obligations, so that such members may teach in interdisciplinary courses.

B. Sweet Briar College Procedures for Initiating Which Could Require External Funding

These procedures are intended to encourage the faculty to initiate proposals for institutional, departmental, and individual professional development. The Grants Office and the Alumnae & Development Office cooperate to seek support from all possible sources for academically related proposals.

These procedures require:

1. Contacting the Grants Officer to discuss your idea and target potential funders.
2. Encouragement and logistical support from the Grants Office (the Grants Officer).
3. One or more meetings to consider and design a plan for promulgation of the idea and the development of a formal proposal.
4. Approval from the Dean of the College.

C. Administration of Grants at Sweet Briar College: Section I Pre-Award

1. Sweet Briar College Proposals for External Support
 - a. All proposals from faculty to external sponsors—whether government agencies (federal/state/local), private foundations or family funds, corporations, or individuals—require the assistance of the Grants Officer and the approval of the Dean of the College.
 - b. The proposing faculty member(s) shall contact the Grants Officer as early as possible prior to the grant submission deadline to discuss the project and potential sponsors. The Grants Officer will notify the Dean of the faculty member's/members' intent. If the project requires faculty release time, significant curricular changes, the hiring of new personnel, the provision of matching funds (cash or in-kind), the waiving of indirect charges, or other financial commitments on behalf of the College, or if a subaward with another institution is involved, the Dean will decide if the College is able to support the proposal. Proposals to some external sponsors (such as certain foundations/family funds, corporations, or individuals) may additionally need the approval of the Vice President for Alumnae Relations and Development, and the President.
 - c. As needed, the proposing faculty member(s) and the Grants Officer will meet with the Dean (and other members of the senior administration, such as the Vice President for Finance and Administration, if appropriate) to discuss the project.
 - d. The Grants Officer will provide assistance and encouragement in preparing the proposal drafts, including the narrative, budget, and all required documentation, and will submit the completed proposal to the sponsor. In some cases, the Dean may need to review the final proposal prior to submission.

2. Inter-Institutional Proposals

If the proposal involves collaboration with another institution (if Sweet Briar is serving as the lead institution and fiscal agent, or if Sweet Briar is a subawardee on the project), additional permissions and documentation beyond that described in Section 1 above will be required, as agreed on between the College and the other collaborating institution(s).

D. Administration of Grants at Sweet Briar College: Section II Post-Award

All projects funded by external sponsors—whether government agencies (federal/state/local), private foundations or family funds, corporations, or individuals—with multiple line item budgets and/or time limitations for expenditure of grant funds and/or requirements for fiscal reports are defined as "sponsored programs" and are subject to these procedures for administration of grants. Certain endowed internal funds requiring stewardship reports will be administered in the same manner.

1. Awards

- a. Upon receipt of notification of the award, copies of the documents should be sent to the Grants Office (the Grants Officer and the Grants Accountant). The Grants Officer will review the award documents to make certain they contain no unexpected terms and conditions. The Grants Officer will forward the information to the Dean and other senior members of the administration, as appropriate.
- b. Any changes in the award budget should be approved by the Grants Office and the Dean/VPAA; any changes for obligation of time and college facilities must be approved by the person authorized to obligate the college--the President or Vice President for Finance and Treasurer.
- c. Where required, an acceptance of the award should be sent to the funding source in accordance with their instructions.

2. Administration of Grants. The Grants Office has the responsibility to ensure that all of the sponsor's terms and conditions, regulations specific to the award, and all federal and legislative requirements (if applicable) are met.

- a. The Grants Accountant will request that the Controller assign an account number to the grant, if necessary;
- b. The Grants Accountant will train the PI/PD in Sweet Briar's grants procedures, such as setting up payroll documentation, acquiring supplies/materials, etc.;
- c. The Grants Office will provide the PI/PD with regular updates on fiscal obligations and expenditures, and provide the PI/PD with guidance on allowable changes and assistance in securing approval of modifications.

3. Expenditures (Procedures and Policy Information)

- a. The PI/PD initiates requests for payment of invoices, reimbursements, etc., using the College's accounts payable procedures. Requests for payment must be supported by proper documentation, such as internal purchase orders, supplier's invoices, travel forms and other receipts, as needed.
- b. The Grants Accountant reviews the request to determine that there are funds available in the grant account and that the expenditure is allowable, allocable and appropriate under the grant/contract terms and conditions, and then signs to authorize payment.
- c. Sweet Briar Travel policy applies to all grants and contracts unless the terms and conditions of the award are more restrictive.
- d. Sweet Briar employment policy applies to all grants and contracts, unless prior approval for deviation in policy is approved by the President, Dean of the College, or the Vice President for Finance and Administration.
- e. No changes may be made in salary and wage items or items specifically limited by the grantor without prior approval of the Grants Officer and Grants Accountant and the Dean of the College.
- f. An after-the-fact time and effort report may be required to certify that salaries charged are reasonable and consistent with the work performed.

4. Program and Fiscal Reports

- a. Final fiscal reports will be prepared by the Grants Accountant in cooperation with the PI/PD and the Grants Officer.
- b. With the assistance of the Grants Officer, the PI/PD is responsible for preparing non-fiscal (program) project reports in time to meet the grantor's schedule.
- c. In some cases, it is the responsibility of the PI/PD to submit the fiscal and program reports to the sponsor; in other cases, this may be the Grants Officer's responsibility.

5. General Information

- a. Current fringe benefit and indirect cost rates are available from the Grants Office. The rates are revised periodically under a formula set by the government under OMB ruling 2 CFR 220.
- b. The Department of Health and Human Services (HHS) is the College's cognizant agency. Sweet Briar's external auditors perform a Single Audit of all federal funds.
- c. Monthly summer salaries for faculty are calculated at 1/9 of the academic year base salary unless some other terms are negotiated and agreed to by the grantee and grantor.

- d. Sweet Briar College complies with all applicable federal regulations and guidelines in accordance to 2 CFR 200 (Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards: https://www.ecfr.gov/cgi-bin/text-idx?tpl=/ecfrbrowse/Title02/2cfr200_main_02.tpl)

E. Professional Development Funds:

To encourage professional development and activity on the part of faculty members with a view to continuing benefit for the College, travel grants are awarded to faculty members by the Dean's Office, including those on sabbatical leave but not those on leave without pay, for attendance at professional meetings. The following procedures will prevail:

1. A specified sum shall be designated each year for each of the full-time members of the Faculty, including the professional librarians. The travel grant is currently \$450 per capita. Continuing part-time faculty with more than one year of service qualify for a pro-rated share of the grant, based upon their teaching load.
2. Each faculty member may use up the per capita amount provided. Expense vouchers shall be prepared and submitted to the Grants Accountant, along with receipts for major expenses. Receipts are due within 120 days. The money may be applied to all expenses related to professional development including conference registration, housing, meals, transportation, and materials.
3. At the end of the fiscal year a faculty member who has not used the entire travel grant may accrue funds over a two-year period.
4. If the faculty member reads a paper, presides at a session, performs, is having an exhibit of work, or serves on a committee of a national professional organization, amounts up to a \$600 per capita allowance for the year will be paid by the College.
6. If the faculty member attends a meeting primarily or entirely for institutional purposes, including recruitment, as attested by the program chairman, Dean, and President, all expenses will be met by the College, but will not be charged against the per capita allowance. Not more than one program representative will, however, be thus authorized for recruitment at any one professional meeting.
7. Travel funds advance procedure
 - a. After verifying with appropriate academic assistant that funds are available, submit written advance request memorandum to the Office of the Dean (for faculty) or the President's Office (for administrative personnel) at least ten working days in advance of the trip in order to allow ample processing time in the Business Office. The request should indicate name of organization, place and date of meeting, amount needed or allowable, where check should be sent, and last possible date by which the check should be in the hands of the requester.

- b. Upon return from the trip, a travel expense voucher must be prepared and submitted with all receipts to the appropriate academic assistant within 120 days. It will be recorded and forwarded to the Dean of the College for approval. In the case of an administrative staff member, it should be approved by the office head and then submitted to the Vice President for Finance and Administration.
- c. The balance will be determined at that time and the appropriate adjustments made.

GRANTS-IN-AID APPENDIX

Sweet Briar College Guidelines for Grant Reporting for Faculty Grants

Recipients of Faculty Grants shall submit a final report which includes a section on the work accomplished and a financial report. Receipts and a narrative report are due within 60 days of completion of the project. Unused travel funds must be returned within 30 days. If a project is ongoing, an interim narrative report is required. Faculty who fail to submit receipts (and/or reimburse the committee) or those who fail to submit a written narrative will be ineligible to reapply to faculty grants until they do so.

I. WORK ACCOMPLISHED

1. What was the objective of your original proposal? Describe WHAT you did for the grant as well as WHERE and WHEN. (If you presented a paper, appropriate pages of the conference program would be adequate.)
2. What problems (other than financial) did you encounter in the implementation of your project?
 - Was the amount of time sufficient?
 - In the case of research, did you find what you were looking for?
 - In the case of a conference, in what ways did (or did not) the panels or presentations fulfill your expectations?
 - If you had it to do over again, what changes would you make in your original proposal?
3. What are the results of your project?
 - a. If a publication: please describe the current status: i.e., rough draft completed, ms. sent to publisher/journal, expected date of publication, etc.
 - b. If course preparation: please indicate in detail the nature of the new course or of course revisions
4. Do you expect to pursue this project? If so, please indicate plans. Will additional funds be necessary?

II. FINANCIAL REPORT

The financial accounting shall include a simple balance sheet showing the amount of the grant received, the total amount of grant-funded expenses incurred, and the balance of the grant remaining, if any.

You must provide receipts for all grant-funded expenses. See Attachment B, page 18, of the new travel policy for details. Since meal requests are limited to \$30 per day, you do not need receipts for meals. Grant recipients awarded funds for supporting research assistants must submit timesheets signed by you and the research assistants. You must ensure that the proper paperwork is completed to get the research assistants set up on payroll. The grants office can help you with the required paperwork.

Although it is inconvenient for grant recipients to keep track of receipts, the alternative of having grants-in-aid reported as income is unattractive to recipients. By requiring receipts for grants-in-aid,

the College conforms with IRS regulations. If the College did not require receipts, it would have to report grants-in-aid as taxable income.

NOTE: PLEASE PROVIDE RECEIPTS FOR THE FUNDS YOU WERE GRANTED

Thank you for your willingness to cooperate with these procedures. Please send your narrative and financial report (with original receipts) to the Grants Officer, Kathleen Placidi (kplacidi@sbc.edu). If you send your reports electronically, please be sure to follow up by sending your original receipts to Kathleen. Please call Kathleen (x-6596), if you have any questions about your or the College's compliance with these procedures.

Revised October 2018