

Policy on University External Grants Process

Responsible Official: Director of the Office of Research Support, Integrity and Sponsored Programs

I. Introduction

The purpose of this policy is to guide faculty, administrators and staff in the successful pursuit of external grant funding to support both the accomplishment of institutional objectives and the advancement of programs, individual research and professional development. A mission of the Office of Research Support, Integrity and Sponsored Programs (“the Office”) is to find appropriate funding opportunities through coordinated efforts among the various Indiana Wesleyan University (“the University”) Principal Academic Units (PAUs) and administrative offices, assist faculty/staff in developing successful grant proposals, and coordinate the management of grant awards. The Office is the locus and conduit for all university grants and as such is responsible for overseeing all external grant activities of the University.

II. Definitions

A. Grants are external funding usually in the form of awards and typically from a government agency or foundation source to be used to carry out the functions of the University through such means as capital improvements, program implementation, research and professional development.

B. Project Directors or Principal Investigators are the leaders and typically the initiators and implementers for the proposed initiatives for which funding is sought.

C. Funders or Grantmakers are typically government agencies and private foundations that award monies in response to issued Requests for Proposals or program interests of the agencies or foundations.

III. Notifications

The Office is to be notified as soon as possible of the intent to file a grant proposal. The Office is to be provided relevant information including the name of the potential funder, a project description, name(s) of project managers/principal investigators and the proposed project budget. (See the External Grant Submission Approval Form and its accompanying flow chart for more information.)

The Office is to be notified as soon as possible of the receipt of a grant award. The Office is informed of and appropriately involved in all post-award, grant-related transactions and discussions, including changes in scope of services, changes in dollar amounts of budget line items and schedule changes.

IV. Office Accountabilities

The Office will coordinate with the principal investigator/project director in the preparation of the grant proposal. The Office will offer suggestions to strengthen proposals, assist with budget preparation and the completion of forms, supply boilerplate sections of the proposal, and handle the electronic and/or paper submission of proposals to the grantmaker.

The Office will ensure that grant proposals reflect the values and fit with the mission of the University.

The Office will work with appropriate parties to ensure that agreed-upon timelines and deadlines for grant submittals are met.

The Office will ensure that appropriate parties are informed of notices of grant awards, disbursements of funds, timelines for submittal of required reports to the funder and other post-award requirements.

V. Course Load Releases and Grant Payments

The University understands that carrying out the scope of services of a grant award entails extra work on the part of the project director/principal investigator. Prior to acceptance of a grant award, the project director/principal investigator must obtain approval from the academic supervisor for load releases and/or payments from grants.

VI. Use of Human Subjects and Animals in Research

All grant funded projects involving human subjects must follow the policies and procedures of the Institutional Review Board as outlined in the most recent edition of the University's *Institutional Review Board Manual*. All projects involving the use of animals must follow the policies and procedures of the University's Institutional Animal Care and Use Committee.

VII. Financial Conflict of Interest

Prior to acceptance of an award, project managers/principal investigators must provide documentation to the Office that full disclosure of any potential financial conflicts of interest has been acknowledged and approved by the academic supervisor. Refer to the Conflict of Interest policy in the Faculty Manual.

VIII. Matching Funds and/or Exceptional Use of University Resources

Projects that require the contribution of matching funds (cash or in-kind contributions) and/or the exceptional use of University Resources (including but not limited to facilities and human resources) must be approved by the appropriate Budget Manager for the PAU or administrative office, the PAU leader and the Controller.

IX. Projects with Exceptional Technology Requirements

Projects that include significant technology components must have the approval of the Assistant Vice President, Information Technology (or the officer's designee).

X. Indirect Costs

Some funders allow for the recovery of indirect costs. In cases where indirect costs are allowable and received as part of a grant award, it is at the discretion of the Vice President, Business Affairs/Chief Financial Officer and the Executive Vice President, Academic Affairs as to how those funds may be directed.