

I. SCOPE

This policy applies to all employees who develop sponsored program proposals and manage awards on behalf of the University.

II. POLICY STATEMENT

The University has designated the Office of Grants and Sponsored Programs ("the Office") as the locus and conduit for all university sponsored programs, responsible for managing and coordinating all grant activities of the University. The Office is responsible for finding appropriate funding opportunities through coordinated efforts among the various University offices, assisting faculty/staff in developing successful proposals, and managing awards.

III. REASON FOR THE POLICY

The purpose of this policy is to guide employees in the successfully pursuing external funding to support both the accomplishment of institutional objectives and the advancement of programs, individual research, and professional development.

IV. PROCEDURES

- A. **Notifications.** The Office will be notified as soon as possible of the intent to file a 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.
 1. The Office will be notified as soon as possible of receiving an award. The Office is informed of and appropriately involved in all post-award transactions and discussions, including changes in the scope of services, changes in dollar amounts of budget line items, and schedule changes.
- B. **Office Accountabilities.** The Office will coordinate with the project director/principal investigator to prepare a proposal. The Office will offer suggestions to strengthen proposals, assist with budget preparation and the completion of forms, supply general institutional sections of the proposal, and handle the electronic and/or paper submission of proposals to the sponsor.
 1. The Office will ensure that proposals reflect the values and fit with the mission of the University.
 2. The Office will work with appropriate parties to ensure that agreed-upon timelines and deadlines for submittals are met.
 3. The Office will ensure that appropriate parties are informed of notices of awards, disbursements of funds, timelines for submittal of required reports to the sponsor, and other post-award requirements.
- C. **Course Load Releases and Grant Payments.** The University understands that carrying out the scope of services of an award entails extra work from the project director/principal investigator. Prior to acceptance of a grant award, the project director/principal investigator must obtain approval from their academic supervisor for load releases and/or payments from grants.
- D. **Use of Human Subjects and Animals in Research.** All sponsored 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.

- E. **Financial Conflict of Interest.** Before 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 University's Code of Conduct.
- F. **Cost Sharing and/or Exceptional Use of University Resources.** Projects that require a cost share contribution (cash or in-kind matching) and/or the exceptional use of University Resources (including but not limited to facilities and human resources) must be approved by the University's Chief Financial Officer and the Chief Academic Officer.
- G. **Projects with Exceptional Technology Requirements.** Projects that include significant technology components must have the approval of the University officials responsible for Information Technology and Facilities Services.
- H. **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 Chief Financial Officer and the Chief Academic Officer as to how those funds may be directed.
- I. **Limited Submission:** When the funder has limited the total number of grant applications per organization, interested principal investigators will be required to submit a preproposal to the Grants Office for internal review to ensure that IWU can submit the strongest application possible to the sponsor for funding consideration. The final decision on which preproposal will be accepted and which principal investigator will be allowed to submit a full application to the sponsor will be determined by the Chief Academic Officer in consultation with the President.
- J. **Grant Funds and Interest:** All grant funds and any interest earned on grant funds are overseen and managed by Central Administration and allocated at the discretion of Central Administration in compliance with the grant contract agreement where required. Interest earned on all grant funds is restricted to Central Administration.

V. DEFINITIONS

- A. **Sponsored Programs.** External funding usually in the form of awards and typically from a government agency or foundation source to execute a mutually agreed upon scope of work through such means as capital improvements, program implementation, research, and training. Sponsored programs include grants, cooperative agreements, research contracts, and may include gifts with significant reporting or compliance requirements.



AA-09

INDIANA WESLEYAN UNIVERSITY

GRANTS & SPONSORED PROGRAMS MANAGEMENT POLICY

- B. **Project Directors or Principal Investigators.** The leaders and typically the initiators and implementers of the proposed initiatives for which funding is sought. Project directors and principal investigators must be full-time employees of the University. A full description of PI Eligibility is detailed in IWU's Principal Investigator Eligibility Policy.
- C. **Sponsors.** Typically, government agencies and private foundations that award monies in response to issued funding announcements or program interests of the agencies or foundations.

Effective: 03/09/2012

Last Revised: 03/19/2026

Responsible Executive: Chief Academic Officer

Contact Information: 765-677-2493