

## **Grant Policies and Procedures**

Effective: June 1, 2018  
Revised: November 5, 2024

### **I. Purpose of Grants**

Benedictine University (University) encourages the efforts of faculty and staff members and departments to secure funding for research and special projects that enhance teaching, learning, and campus initiatives through grants and contracts. Grant funds received from governmental agencies, corporations, and private foundations provide the University, its faculty, staff, students, and community with program opportunities not ordinarily funded by the University budget.

The Director of Institutional Effectiveness is Benedictine University's representative and delegated coordinator and liaison for all grant submissions by faculty/staff/departments. The Office of Institutional Effectiveness (OIE) serves as the University's central registration office for all grant applications and awards, including collaborative and subcontract grant awards. The OIE maintains University records on grant submissions, awards, renewals, and reports. Therefore, all grant applications must be submitted through the OIE, and all renewal or continuation grants must be reviewed and recorded by this Office before any application is submitted.

### **II. University Grant Approval**

Programs funded by grants involve the efforts of Benedictine University faculty, administration, staff, and occasionally, students – as well as the use of University facilities and resources – to advance the mission of the University. Grants are awarded to the University, not to individual faculty or staff members or departments. Accordingly, the University has the responsibility of monitoring the grant process to assure that no proposal is submitted that would impose budgetary or academic obligations on the University that it is not completely prepared to fulfill, or that the University finds to be inconsistent with its mission. Therefore, appropriate University officials, including Department Chairs, Deans, and the Provost must approve all grant proposals for academic research, programs, projects, etc. *before* being submitted.

### **III. Work Performed in Grant Preparation and Execution**

Work performed by faculty or staff members in preparing grant proposals and in carrying out grant programs/research on behalf of Benedictine University is considered to be part of the faculty/staff member's duties and responsibilities. Funds requested for salary reimbursement for time spent on an awarded grant project must reflect the actual salary(ies) of the individual faculty/staff member(s) involved.

#### IV. Ownership of Grant Products and Indirect Costs

Benedictine University encourages research and scholarship and upholds the basic right of any individual within the University to write and publish. On work performed during normal contract periods, all grant products (including copyrights and patents) shall be shared *equally* between Benedictine University and the individual Principal Investigator/Project Director, unless otherwise specified in the grant, contract, or research agreement.

Benedictine University has a negotiated indirect cost rate agreement (NICRA) with the U.S. government. The rate agreement is on file with the Business and Finance Office. The negotiated rate must be included in all federal and non-federal budgets submitted, where allowable. For grants of an academic nature, indirect costs received from said grants are to be divided between (1) the college submitting and administering the grant [50%] and (2) the University's central administration [50%] to support facilities and administrative costs.

#### V. Internal Proposal Approval Process/Responsibilities

- A. All proposals initiated by University faculty and staff members and departments must have completed an internal pre-submission form (*Proposal Pre-Submission Form-1*) and if necessary, a conflict-of-interest form (*Significant Financial Interest Disclosure Form-2*). Completed, signed forms must be on file in the OIE and the Office of the Provost. The University will not accept grant awards from proposals not approved by senior administration. These forms are available on the University website <https://ben.edu/grants-office/>. They can also be requested directly from the Director of Institutional Effectiveness.
- B. The Principal Investigator (PI) or Project Director (PD) (the person most closely involved with the proposed project) should notify the Director of Institutional Effectiveness of the intent to apply for a grant as early as possible but at least one month prior to submission deadline for the grant. The OIE will inform the PI/PD of necessary forms that need to be submitted and discuss the project budget and timeline with the PI/PD.
- C. The PI/PD or an administrative delegate must first complete *Proposal Pre-Submission Form-1*. On some occasions, *Significant Financial Interest Disclosure Form-2* may be required for each new project/program grant proposal submitted to US HHS agencies (including the NIH, CDC, and AHRQ), NSF, AHA, and ACE; and all agencies associated with industry-sponsored research or trials.
- D. After completing *Proposal Pre-Submission Form-1*, the PI/PD signs the form and submits it to the Director of Institutional Effectiveness at least one calendar month prior to the grant submission deadline. The Director of Institutional Effectiveness then coordinates obtaining necessary department- and college-level approval signatures. If the proposal requires matching funds/cost sharing or other University resources, including teaching release, this form must also be signed by the Provost. When all necessary signatures are obtained, the project can move forward. Note: it is understood that not all information may be

available (e.g., detailed budget, project timeline) early in the grant proposal preparation process and the form should be completed to the fullest extent possible.

- E. Once the full grant proposal application is completed, *Proposal Pre-Submission Form-1* is resubmitted with the full grant proposal for approval signatures, clearly noting any changes from the initial submission of the form. The signed form, along with all application documents (narrative, budget, attachments, etc.) must be submitted to the Director of Institutional Effectiveness at least one calendar week prior to the grant deadline date. The Director of Institutional Effectiveness will coordinate obtaining a second round of necessary signatures and then forward to the Provost for final signoff before the grant is submitted to the funder. The signatures obtained verify that Benedictine University administration has approved these components of the grant.
- F. All forms should be completed within the timeframes requested above ensuring that the project is consistent with University mission and with the availability of University resources. This is especially critical when a grant award requires cost sharing or matching funds. Any budget-relieving, facilities and administrative indirect cost recovery and/or cost sharing funds or other institutional commitments must be identified and clearly stated in the *Proposal Pre-Submission Form-1*. Note: exceptions may be made to the stated timeframes, when necessary and with cause, such as a short turnaround time from the application solicitation to application due date.

## **VI. Research, Grant Writing, and Submission Responsibilities/Assistance**

- A. The Grants Office is available to conduct research on behalf of the PI/PD to find a potential match of funding agency to a specific project. The project must align with the institution mission and provide institutional benefit. Priority will be given based on a "first come, first serve" basis. Projects will be prioritized based on the level of institutional benefit. Prior to the internal proposal approval process outlined in Section V, the PI/PD should prepare a summary of need and submit it to the Director of Institutional Effectiveness. Please allow up to four working weeks for the OIE to provide funding opportunities. (Time may vary but will be communicated with the PI/PD at the time of submitted summary of need.)
- B. The OIE provides advice on the most effective presentation of the material in the proposal and is available for consultation and assistance with the development of the proposal throughout the grant writing process. However, there is no substitute for the PI's/PD's expertise in their work area or academic discipline covered by the proposal and *responsibility for proposal writing lies with the PI/PD*.
- C. The OIE is responsible for providing all necessary assurances, compliance statements, etc. and is responsible for ensuring that the University has on file all appropriate compliance assurances required by funding agencies.
- D. *The ultimate responsibility for meeting the funding agency's submission deadline lies with the PI/PD*. If the funding agency specifies a deadline date for submission,

the PI/PD is responsible for delivering the proposal, to the OIE *five business days before the proposal deadline*. The Director of Institutional Effectiveness will work with the PI/PD to submit the proposal to the prospective funder and, if necessary, submit the proposal as an authorized institutional representative. The Director of Institutional Effectiveness shall be made privy to all follow-up contacts with the funding agency prior to a funding decision.

## **VII. Post-Award Responsibilities**

- A. The PI/PD has the primary responsibility for managing the budget of the grant. Upon announcement of a successful award, the OIE will relay the notice of grant award to the PI/PD and Business and Finance Office. The Director of Planning and Analysis will assist the PI/PD in setting up the grant budget account. Unless otherwise stipulated, the PI/PD is accountable for managing the affairs of the grant.
- B. The PI/PD is responsible for meeting the deadlines for all grant project reports required by the funding agency. The OIE will be available to send out reminders and provide advice and editorial and other assistance, if requested. *A copy of all project reports must be forwarded to the OIE for University records.*