XAVIER UNIVERSITY
Seeking External Grant Funding

Effective: 5/9/16
Last Reviewed: 1/9/25
Last Updated: 8/18/21
Responsible University Office: Office of Grant Services
Responsible Executive: Provost and Chief Academic Officer
Scope: Faculty and staff

A. REASON FOR POLICY

Requests for external grant funding require institutional commitment and endorsement. A routing system assures appropriate review and signatory approval, and promotes discussion to determine how proposed projects relate to the teaching, scholarship and/or service goals of Xavier University.

Funded projects carry with them financial, regulatory and other legal obligations. Because awards are made to Xavier University, the University must assure the funded projects adhere to funding source guidelines and that all compliance issues are met.

B. POLICY

Requests for external grant funding, as well as letters of intent for seeking external grants, must obtain University approval (i.e. faculty, chair, dean, provost; staff-supervisor, director, executive staff) prior to submission. All requests must be processed through the Office of Grant Services, as specified on the website. The early involvement of the Office of Grant Services ensures that appropriate offices are aware of the project and approval is obtained. When a proposal requires ongoing University commitment or personnel it is particularly important that the divisional leader(s) is involved early in the process and University procedures be followed. In cases in which two or more project submissions are proposed for one funding source and only one application is appropriate, the divisional leader(s) will determine the project to be submitted based on the University's strategic goals.

C. DEFINITIONS (if applicable)

Externally Funded Grants – Externally funded grants generally include the following characteristics: primary intent is for the public good; source of funding is government, private foundation, or other organization (not individuals); and specific terms are required such as a proposal, detailed period of performance, separate budget accounting, and programmatic and financial reports. Externally funded grants may take the form of sub-grants, contracts derived from grants, and cooperative agreements.

D. PROCEDURES

Prior to submission of requests for external grant funding, the University requires that the Transmittal Form for External Grant Proposals and the Financial Conflict of Interest Policy forms be completed. The Transmittal Form serves to document the approvals and certifications necessary for submission and acceptance of grant awards. The Financial Conflict of Interest Policy form provides disclosure of any significant financial interest that may present an actual or potential conflict of interest in relationship to externally sponsored projects.

Official notification of funding should be sent directly to Grant Services. If signatures are required on grant agreements, the provost or other relevant signatures will be secured. Project directors of funded projects must sign the internal Grant Award Summary form certifying acceptance of the terms and conditions, including restrictions and reporting requirements, of the award.

Direct responsibility for project management rests with the project director. Expenditures on sponsored projects must be consistent with the actual progress of the project, as proposed to the funding source. Every effort should be made to incur expenditures in a timely manner that reflects consistent programmatic progress. Expenditures applied to funded projects must meet the tests of allowability under the terms of the funding source.

Progress reports required by the funding source are the responsibility of the project director. Financial reports required by the funding source are the responsibility of the Controller's Office in coordination with the project director. Copies of all reports should be forwarded to the Office of Grant Services prior to submission to the funding source.

E. EXHIBITS (if applicable)

F. HISTORY

1998 policy- Seeking Grants from External Agencies

Other applicable policies and/or resources: