

University of St. Thomas Policies

EXTERNALLY FUNDED GRANTS AND CONTRACTS

Policy Number: F.05.01

Scope: All faculty

Purpose: To establish policies to guide faculty in the development and management of externally funded grants and contracts.

POLICY

Definition

Grants and contracts are sponsored awards that provide funds and resources for specific research, scholarly, professional or creative projects, curriculum development, workshops, physical plant resources, meetings, or program development initiatives. External sponsors include government agencies, private foundations, professional organizations, corporations and businesses. While sought by an individual faculty member or group of faculty and/or staff, the awards are usually awarded to the University who assumes final responsibility for their management.

1. The University of St. Thomas encourages and supports faculty initiatives seeking externally funded grants and contracts that further the mission of the University, the enhancement of a specific school, department or academic program, and/or the pursuit of the professional development of individual faculty members.
 - a. Faculty who seek external funding are encouraged to clearly articulate their roles, accountabilities, and the relationship of their proposal to their professional goals.
 - b. Faculty who seek external funding as members of a group are encouraged to clearly identify the roles and responsibilities of each participant at the beginning of the project to ensure fairness in attribution of achievements.
2. Proposals for grants or contracts are initiated at the department or school level and are initially approved by the dean of the school.
 - a. It is the dean's responsibility to assess the impact of the proposal on department or school resources and commitments and identify adjustments to be made in both should the proposal be approved for an award.
 - b. The dean submits a recommendation for pursuit of this proposal to the Vice President for Academic Affairs documenting department or school plans for adaptation should the proposal be approved for an award.
 - c. The dean develops a plan to ensure that the financial needs of the department or school will not be compromised after the infusion of funds from a grant or contract conclude.
 - d. The dean develops written documentation of the proposal's congruence with the mission of the University and the goals of the department or school.
 - e. When the proposal involves the use of University facilities and/or personnel, the dean also seeks the approval of the President.
3. Proposal development involves accessing the University's support services.
 - a. The Office of Grants and Sponsored Research is a campus resource that assists in:
 - i. Preparing and submitting compliant proposals
 - ii. Creating and reviewing budgets for compliance

University of St. Thomas Policies

- iii. Providing support for the engagement with the University's Institutional Review Board/Human Subjects Committee
 - b. The Business Office approves the budget of the proposal.
 - c. The Office of University Advancement reviews the proposal for congruence with University mission, goals and related initiatives. Faculty who wish to prepare proposals seeking funding from private donors must consult the Office of University Advancement for approval to approach the private donor for funding.
 - d. The Institutional Review Board/Human Subjects Committee must approve the proposal where human subject research is involved, with the approval completed prior to the approval of the President.
4. Upon successful award of a grant or contract, the dean of the school, in collaboration with those who have been awarded the grant or contract, monitor the progress of the awarded project. Deans are required to report on the progress of the project annually or upon request to the Vice President for Academic Affairs and the President.

APPROVED: Board of Directors

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