

Title: Research and Educational Related Grants and Sponsored Research Contracts Submittal and Oversight

Effective Date: 04/16/2026

Applies to: University Wide

Statement: All proposals for research and educational-related grants and sponsored research contracts (as defined under this policy) - regardless of the source of funding, including federal, state, private, and foundation sponsors - must be reviewed and approved by the Office of Sponsored Programs and Contracts Management (OSPCM) prior to submission to external entities, as outlined in the “Procedures” below. This includes all funding from federal, state, and private sponsors, and all legally binding agreements or hybrid funding mechanisms coordinated or initiated by any university Colleges and Unit supporting research-related efforts that require specific deliverables, reporting requirements, and/or intellectual property provisions.

Philanthropic funding is governed by the University [Fundraising](#) and [Gift Acceptance](#) Policies overseen by the Office of External Affairs. For awards that are not clearly identifiable as either “gift” or “research grant”, the final classification will be determined by the Gift Acceptance Committee within the Office of External Affairs prior to acceptance or submission. This committee includes representatives from across the University, including OSPCM, University Advancement, University Financial Services & Treasury (UFST), Office of Legal Affairs, and the Provost's Office.

Research and Educational-related Grants and Sponsored Research Contracts are made not to an individual but to the University. OSPCM serves as the authorized institutional representative responsible for all Sponsored Projects and Educational-related Grant projects, ensuring compliance with university policies, sponsor requirements, and applicable laws and regulations. In the event that a PI leaves the institution, the grant or contract remains with the university. Should the PI wish to transfer the award, prior approval and coordination with the relevant dean and the Senior Vice President for Research & Biotechnology are required.

Purpose: To protect the university’s interests and reputation by ensuring central oversight for the submission, negotiation, and administration of all Sponsored Projects and research and/or educational-related projects. This central coordination ensures the University:

- Meets its fiduciary and regulatory responsibilities.
- Maintains oversight of externally funded research and proposed budgetary activities.
- Oversees the submission and acceptance of all Research and Educational-related Grants and Sponsored Research Contracts.

Related Information:

This policy applies to all faculty, staff, Colleges and Units involved in submitting proposals for external funding, referred to within this policy collectively as Research and Educational-related Grants and Contracts. For purposes of this policy Research and Educational-related Grants and Contracts are defined as:

- Research Grants and Contracts
- Sponsored Projects
- Training or Educational-related Grants
- Service delivery programs and Grants, excluding contracts for clinical care provision or screenings.
- Fellowship Awards that require deliverables and/or compliance with sponsored terms
- Hybrid Awards: awards from foundations or private entities that contain both gift-like and grant-like elements (e.g., designated deliverables, milestones, or reporting obligations, and therefore require joint review from the Office of External Affairs' Gift Acceptance Committee.

A full definition of the above is located in the Definitions section.

Procedures

1. Submission and Review Process

All extramural proposals for Research and Educational-related Grants and Contracts must be submitted to OSPCM at least two (2) weeks in advance of the sponsor's deadline to allow sufficient time for review, corrections, and institutional approval. Late submissions may not be guaranteed full institutional support or compliance assurance.

2. Coordination and Determination

Faculty and staff should consult with their respective Deans of Colleges or Unit supervisors to determine the appropriate classification of an external funding opportunity prior to developing a proposal or soliciting funding.

- Sponsored Projects that include a defined scope of work, deliverables, and/or reporting requirements must be routed to OSPCM.
- Philanthropic Gift proposals should be directed to the Office of External Affairs. These are governed by the University Fundraising and Gift Acceptance Policy. When such proposals include support for research programs or research infrastructure, a copy must also be provided to the Office of the Vice President for Research & Biotechnology for awareness and coordination.
- All ambiguous or Hybrid Awards should be routed to the External Affairs' Gift Acceptance Committee for an official binding classification.

3. Institutional Authority and Oversight

All extramural Research and Educational-related Grants and Contracts proposals, awards, and agreements must be reviewed, negotiated, and accepted by OSPCM as representing the Senior Vice President for Research & Biotechnology, who is the authorized institutional signatory. Faculty or staff, as well as all university Units may not independently negotiate or accept such agreements on behalf of the university.

4. Recordkeeping and Reporting

OSPCM is responsible for pre- and post-award management of Research and Educational-related Grants and Contracts, including account setup, recordkeeping, financial tracking and reporting. The Office of External Affairs will maintain all records and reporting for Philanthropic Gifts and donor relationships in accordance with the University Fundraising and Gift Acceptance Policy.

Definitions:

- **Research Grant (Sponsored Project):** A financial assistance mechanism providing funding, property, or both to an eligible entity to carry out an approved research project or scholarly activity in exchange for specific deliverables (e.g., data, reports, software, etc.). These awards typically include provisions for intellectual property, a defined period of performance, and require detailed financial reporting.
- **Contract:** A legally binding agreement used to procure services or deliverables, often with defined performance expectations and timelines. WesternU Clinical contracts are not covered by this Policy.
- **Philanthropic Gift:** A voluntary, irrevocable contribution given to the university from a donor or a philanthropic entity for a stated purpose, with no legally binding deliverables, scope of work, or detailed financial reporting requirements, other than general stewardship, as further defined in the University's Gift Acceptance Policy.
- **Hybrid Award:** Awards from external entities that contain both gift-like and grant-like elements (e.g., designated deliverables, milestones, or reporting obligations). These require review by the University's Gift Acceptance Committee for official classification.
- **University Supporting Units:** WesternU is structured around eight colleges (Academic units) and multiple Supporting Units encompassing the multiple offices and centers (i.e., Office of the President, Office of the Provost, Financial Services & Treasury, Research & Biotechnology, Registrar, Institutional Shared Services, External Affairs, etc.).
- **Educational-related Grants:** For purposes of this policy, this includes but is not limited to training or educational grants; service delivery programs/grants; fellowship awards supporting the university research mission.

Responsible Department: Sponsored Programs and Contracts Management

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