



THE UNIVERSITY of
NEW ORLEANS

**ADMINISTERED BY: Office of Vice
President for Research and Economic
Development**

Policy No: AP-RE-01.3
TITLE: Grants and Contracts –
Evaluation and Approval
Procedures
EFFECTIVE DATE: February 14, 2014*
(*Policy Revised, see below)
CANCELLATION:
REVIEW DATE: Fall 2023

PURPOSE

To differentiate between a gift and sponsored research and establish the proper routing for all grant and contract proposals submitted by faculty and/or staff members requesting external support for teaching, service, or research activities.

AUTHORITY

University of Louisiana System Policy and Procedure Memorandum FB-IV.III.-1 (Private Grants and Federal Funds Authority); FB-IV.-6a (Guidelines for Approving an Affiliated Organization's Payments to or on Behalf of Employees); M-10 (Grant Applications/Contract Documents); M-15 (Authorizing Contracts Between the University and a Member of the Faculty, Research Staff, or Coaching Staff or a Company in which the Employee has an Interest Under Specified Circumstances).

DEFINITIONS

1. **External Support** is any form of aid to or through the university provided by an individual, group, or organization, either private or public, not affiliated with the UNO campus.
2. A **gift** is the voluntary transfer of funds or property to the university as a charitable donation with no expectation or receipt of economic benefit or other tangible compensation other than recognition and disposition of the donation according to the expressed wishes of the donor.
3. **Individual Authorized to Sign** proposals for the University is the Vice President for Research and Economic Development unless the funding source or System regulations require the signature of the President.
4. **Principal Investigator (PI)** is the project manager who created the proposal and will manage any resulting award.
5. **Sponsored Awards** are grants or contracts from an external entity such as a foundation, corporation or governmental agency for some activity with a negotiated scope and purpose undertaken by the university in expectation of a benefit to the sponsor or its mission.

GENERAL POLICY

The correct classification, processing and monitoring of external funds (gifts, contracts and grants) is an essential part of the fiduciary management by the university. All university employees seeking or receiving external funding are required to use these policies and procedures.

Gifts and sponsored awards reflect the diversity of sponsors and their purposes, which can make the proper classification a complex endeavor that requires informed judgment in cases where the nature of an award is not immediately clear. There is no single defining characteristic for all externally funded awards.

HOW TO DISTINGUISH GIFT FROM GRANT/CONTRACT

Grant or contract instruments may include some or all of the requirements and conditions listed below. Gifts may be unrestricted or may include some of the requirements listed below. The language used by a donor or sponsor and the benefit it expects is generally the source for making a distinction between a sponsored award and a gift.

Grants and contracts bind the university to a set of terms such as budgetary restrictions, have programmatic objectives to achieve, define responsible parties, have a period of performance and detail ownership rights of intellectual property and data. Generally, grants are to carry out a public purpose of support and do not provide a direct benefit to the sponsor; they usually allow the recipient a greater degree of flexibility than other award mechanisms. In general, contracts are for the procurement of something for the direct benefit of the sponsor and often have more restrictions. Either type of award can be on a fixed price or cost reimbursable basis.

Facilities and administrative costs are assessed at the university federally negotiated rates. Sponsor publicly published policies precluding such recovery must be attached to the routing form.

The Office of Research at the University of New Orleans administers sponsored awards. Proposals and required supporting documentation should be submitted to the Office of Research for approval prior to submitting a proposal to a sponsor.

Gifts may be for specific or general purposes. Gifts are usually donated to a UNO affiliated Foundation or can be made to the university through Business Affairs. There are no contractual requirements but funds can be restricted to a particular purpose such as scholarship or research in a set area. Donations are usually irrevocable. No period of performance is generally specified. Invoices, financial statement, progress reports or technical reports are generally not required, but this requirement does not preclude the classification as a gift. No use of university property is expected in exchange for the donation. Government support (federal, state, local or foreign) is not typically a gift. Funds from an individual or corporation as a charitable donation will typically qualify as a gift; cash, checks, and stock certificates presented to the university with no legal agreement or service requirement would generally be processed as a gift.

	Sponsored Award	Gift
Managing office	Office of Research	A Foundation or Business Affairs
Intent	Public good or economic benefit to the sponsor	No expectation or receipt of economic benefit
Source of funding	Any	Individual, Private, Non-governmental
Reporting & Publication	Required	Generally not required
	Progress/technical reports required	May request acknowledgement in publications or through other mechanisms
	Final progress/technical reports	
	Usually require acknowledgement in publications	
Acct & Financial Reports	Required	Generally not required
	Require separate account	
	Regular financial reports	
	Final financial reports	
	Line item budget and prior approval for budget adjustments	
Terms	Restrictive	General, non-restrictive, or restrictive
	Revocable	Irrevocable
	Intellectual Property issues	
	Payment contingent based on reports/deliverables	
	Specific period of performance	Generally no period of performance

ROUTING PROCEDURE

All grant or contract proposals must be approved by each division of the University that would be involved if the proposal were funded. Typically, this will require the approval of the PI's Chair and Dean, as well as the Vice President for Research and Economic Development (or designee). Unusual routing situations will be determined on a case-by-case basis. Proposals are reviewed and approved by the responsible parties prior to being submitted to a sponsor given that any award will be made to the university, not to an individual. A new proposal will be routed as follows:

1. The PI initiates UNO's internal routing form.
2. The Department Chair, or Director of a BoR Center/Institute, and the College Dean each evaluates and approves the fiscal and administrative aspects of the proposal for academic units. The Department Head and relevant Vice President each evaluates and approves the fiscal and administrative aspects of the proposal for non-academic units. The College Dean or Vice President must approve the proposal before it is forwarded to the Vice President for Research and Economic Development.
3. The Vice President for Research and Economic Development evaluates, approves and authorizes final submission of the proposal (via mail, on-line portal, or other modality required by the funding agency).
4. If the proposal requires new course offerings or a broad institutional commitment, such as new space, then the Office of Research may work with Academic Affairs for approval before the proposal is submitted.
5. If a proposal to any agency or private foundation requires the specific signature of the President and/or the Vice President for Business Affairs, the proposal will be routed appropriately by the Office of Research.
6. Anyone in the UNO internal routing can disapprove a proposal on fiscal, administrative or compliance grounds. The PI can appeal the disapproval to the Vice President for Research and Economic Development, who will communicate with the relevant parties and make a final decision regarding whether or not the proposal will be submitted.
7. Once a proposal has been submitted by the Office of Research, any resulting award is considered a grant or contract, and will be overseen by the Office of Research in order to ensure that all grant/contract, university, local, state, federal, and other requirements and regulations are followed.

Policies and procedures are available to all faculty and staff from the Office of Research on its website, which describes in detail the preparation of grant proposals and contracts, the review and approval procedures at UNO, the UL System, and representative Federal agencies, and the administration of funds awarded by external sources.



John W. Nicklow
President
University of New Orleans

**Policy Updates:*

Revisions:

4/25/2019

7/10/2019