

College of Health and Human Services
Sponsored Projects Guidelines

Dear CHHS Faculty and Staff

We are pleased to provide you with an update to the College of Health and Human Services (CHHS) guidelines for extramural research activities. These guidelines are not limited to your ongoing funded initiatives but also extends to support your prospective research endeavors.

Guided by and under the scope of the strategic missions of CHHS and Western Michigan University (WMU), these guidelines are in place to make sure we promote the development and dissemination of scientific discoveries while adhering to all current institutional, Federal, and State research-related policies. It aims to contribute to the training and development of our own personnel so the results of their research work can have a positive impact to the quality of life of our local, regional, and global communities.

For clarification or assistance is needed, please contact us at chhs-officeofresearch@wmich.edu. Our office exists to serve you and your research needs.

Alessander Danna-dos-Santos, PT PhD.
Associate Dean for Research and Special Projects.

Pre-Award Management Procedures

The following information will aid the development and submission of your proposal in an effective manner.

1. **Initial steps.**

   a. **Pre-award step 1.** Know all basic information. It is imperative that before you move forward on any project, you become familiar with all the information found at https://wmich.edu/research/proposals . There, you will find all current policies and procedures established by WMU's Office of Research and Innovation (WMU-ORI) for the development and submission of a proposal.

   b. **Pre-award step 2**. Suggested training. The College of Health and Human Services strongly recommends all PIs and Co-PIs to undergo basic sponsored projects management training. This step, in addition with the description of clearer guidelines proposed here, will ensure more efficient planning and management of all moving parts included in a sponsored project. It will also reduce the risks regarding financial mismanagement and compliance malpractice. Several topics of basic training are currently offered by WMU-ORI at https://wmich.edu/grantscontracts/project-management/training . We strongly recommend the following to be completed before you submit your application:

      i. Post-award responsibilities.
      ii. Appointments on grants.
      iii. Allowability of costs.
      iv. Budgets, backstops and beyond.
      v. Understanding cost share.

   b. **Pre-Award Step 3.** Communication is key. Please communicate with your direct supervisor **before** pursuing any funding opportunity. Your supervisor needs to be aware of all grant's requirements (i.e. time commitments, sharing costs, traveling, space, administrative support, need of graduate student support) before a submission is pursued and during the entire period of funded work. This will allow for efficient logistics regarding your department's operation as well as development of your funded project.

   c. **Pre-Award Step 4**. Contact and work with your assigned WMU-ORI Research Program Officer (You can find your current Research Program Officer at https://wmich.edu/research/directory/proposals-contracts). These officers are trained individuals who will guide you in all aspects of the application process, budgeting, and recognition of deadlines. Without their involvement you will likely not be able to submit your application.

2. **Timelines and approvals.** WMU adheres to a structured timeline for applications. This structured timeline ensures sufficient time for institutional review and approval, allowing for any necessary revisions or adjustments. Your assigned WMU-ORI Research Program Officer will guide you during this process. Please visit https://wmich.edu/research/proposal-submission for further information.

    a. **7 Business Days Before Submission:** Submit the completed Proposal Approval Form (PAF) electronically to WMU-ORI. The PAF should include a description of the proposal, names of key personnel, the proposed budget, and other administrative details.

    b. **5 Business Days Before Submission:** Finalize all administrative and financial details, including confirming the budget and securing signatures from all relevant parties (e.g., department chair, financial officers, collaborators).

    c. **2 Business Days Before Submission:** Submit the finalized proposal to ORI, including any required documents (e.g., bio-sketches, letters of support, budget justification).

3. **Late proposals.** Proposals submitted after the internal deadlines may not have adequate time for review and approval. In such cases, the College Associate Deans or Dean will need to provide an endorsement explaining the reason for the delay and make sure resources for reviews are in place. You may request this endorsement via e-mail directed to the College Associate Dean for research.

4. **Limited submission funding opportunities.** Since October 2026, The Office of Research and Innovation (ORI) administers internal procedures regarding limited submission funding opportunities. "Limited Submission" is a funding opportunity (grant, contract, etc.) where the sponsor caps the number of applications that an institution can submit. ORI follows the procedure on this page https://wmich.edu/research/limited-submissions-procedure to assure an equal and fair procedure for all who are eligible for a limited submission opportunity. All open limited submission applications will be available on InfoReady. When a faculty or staff member decides to apply for a limited submission opportunity, they should first check if there is already an application available in InfoReady at https://wmich.infoready4.com/ . If not, interested grant seekers should complete the Limited Submission Interest Form on InfoReady as soon as possible to alert ORI of the opportunity and to determine next steps.

5. **Cost sharing and backstop***. Primarily, any cost sharing or backstop will be provided by the School or Department of the principal investigator. Requests for cost sharing or backstop can be made to the College of Health Human Services Office of Research only by the units' leader. These requests will be reviewed by the College leadership (Associate Dean for Research and Dean) and a decision will be provided in 10 business days. *(* Backstops are financial advancements or emergency funds provided internally to support research initiatives temporarily.)*

6. **Time allocation for funded work.** Time allocation for funded work carried by CHHS employees is at the discretion of unit leaders and the Dean of the College. Any buyout time permitted by the

sponsoring agency needs to be established in advance and described in details in the proposal budget, and **agreed between the faculty member and its department leadership**. Please discuss these details with your unit leader in advance.

7. **Ensure Compliance with Regulations.** Research activities at Western Michigan University adhere to all applicable federal, state, local, and institutional regulatory requirements. PIs and Co-PIs are responsible for all compliance regarding their awarded work.

    a. Human and Animal studies. If the research involves human participants or animals, you will need to obtain approval from the Institutional Review Board (IRB) or the Institutional Animal Care and Use Committee (IACUC). Proposals may require you to submit an ethics review or include documentation of IRB or IACUC approval with the proposal. If necessary, please consult with CHHS Associate Dean for Research to aid you in this task.

    b. Conflict of interest. All researchers must be familiar and follow all conflict of interest policies by WMU, Federal, and State agencies. They are found at https://wmich.edu/policies/conflict-interest-research-investigators . In case there is any potential conflict of interest expected, please submit in advance a written conflict of interest statement to your direct supervisor and to the WMU ORI who will then review the statement and direct the PI through the next steps to be taken.

    c. Financial and human resources management. All financial and human resources management of the research initiative is under the PIs responsibility and must comply with WMU's policies and procedures; including but not restricted to purchases, hires, and timekeeping. Please refer to https://wmich.edu/grantscontracts/project-management for further clarifications and contact CHHS Associate Dean for Research if any questions remain.

    d. In case your study involves any type of professional services that requires a professional license in Michigan, please make sure your license is current. Your license information will need to be validated by the CHHS Associate Dean of Research. Please visit https://www.michigan.gov/lara/bureau-list/bpl for more information.

    e. Environmental Impact. Some proposals may require an assessment of the project's environmental impact, especially if the research involves fieldwork or physical interventions in the environment.

    f. Export Control: Ensure that the research complies with U.S. export control laws, especially if it involves international collaborations or the dissemination of certain types of information. Please consult https://wmich.edu/research/compliance/exportcontrol AND contact ovpr-export-control@wmich.edu before any international collaboration is started.

8. Feedback and consultation on your proposal.

a. Peer review and feedback. Before submitting the proposal, we strongly encourage you to engage with colleagues, mentors, or external experts for feedback on the clarity and strength of the research plan, as well as the quality of the writing. Consider feedback not only on the content but also on how well the proposal adheres to the sponsor's requirements. Make sure you provide plenty of time in advance for such reviews.

b. Revision process. Revise the proposal to incorporate constructive feedback and strengthen the narrative. Pay special attention to areas that could be unclear, such as methodological details or the explanation of the significance of the research. Proofread the document carefully to ensure it is error-free and aligns with the guidelines set by the funding agency.

c. Extra support. CHHS Office for Research also offer basic technical support to assist faculty, staff, and graduate students in developing their grant proposals. These services will include **funding opportunity consultation and searches, methodology conception, and basic statistical support**. They will be provided by appointment accordingly to the information below:

i. Location: CHHS building, room # 2480 or on-line at https://wmich.webex.com/meet/alessander.santos
ii. Hours: Mondays, 8am to 4pm
iii. Scheduling: email to alessander.santos@wmich.edu
iv. Officer available: Alessander Danna-dos-Santos

Alongside technical assistance, the CHHS Office of Research will also provide areas dedicated to **initial development of pilot studies or concept development**. One such area, CHHS building room #3245, is a centralized facility dedicated to the initial development of projects and strategic development of scholar initiatives. **NOTICE**: Availability of space is not guaranteed and will depend on space limitations and nature of studies. All services described depend directly on the availability of financial and human resources provided by the College of Health and Human Resources and F&A recoveries collected from past awards.

Please note the CHHS Office of Research does NOT offer any services regarding technical and/or creative writing.

9. Support thorough Hanover Research.

Both WMU-ORI and the CHHS are now partners with Hanover Research. This partnership aims to provide additional support to Principal Investigators (PIs) pursuing external funding. Services from Hanover is available to any member of the CHHS who will be PI on a submission, including faculty of all ranks and staff. Hanover Research's expertise in proposal support and development will help position WMU competitively, furthering strategic initiatives that will grow the university's research impact.

Requesting Hanover Research support. Requests are done electronically via Infoready at https://wmich.infoready4.com/ . All requests will be reviewed by WMU-ORI (with additional feedback from Deans as needed) in order to gauge alignment with institutional priorities. While these services are open to all and we will accommodate as many requests as possible, some requests may not be able to be assisted. If denied, we encourage you to reapply in the future when the timing and priorities might align more favorably. Please notice the request form should be completed at least four weeks in advance of date PIs hope to meet with Hanover Consultants.

Through the CHHS faculty/staff can find have access to Hanover's Digital Research environment including database to search for funding opportunities, training sessions on preparation of proposals, and other general information aiding the faculty/staff on finding opportunities and preparing their proposals. Please note we have a limited number of accesses to this electronic resource and access need to be requested directly via email to the Associate Dean for Research. Once requested, the ADR will provide the faculty/staff with the appropriate link, login and password information for accessing the material. The PI will have access to this for 10 business days. Continuation of access can be requested but approval will depend on the number of faculty/staff interested in utilizing the resource. When multiple requests are received, a waiting list will be created.

10. Support through library databases – including CANDID (the Foundation Data Base).

The WMU library provides an extensive list of data bases that can be utilized by faculty and staff aiming for development of proposals. The can be found at https://libguides.wmich.edu/az/databases?a=c . Among them, the library offers access to CANDID (Foundation Directory Online). This database provides access to detailed profiles on over 228,000 private and corporate foundations, corporate giving programs, grantmaking public charities, and federal agency funders.

11. Monthly training and information sessions.

Starting on January 2027, the CHHS Office of Research will offer monthly training sessions to any faculty and staff interested in learning more about the **procedures of preparing and submitting proposals as well as post-award management procedures**. These sessions will happen every **second week of month on Mondays at room# 2088 from 4pm to 5pm.**

Post-Award Management Procedures

The following information will aid the execution of your project in an effective manner.

1. **Initial steps.**

   a. **Post-award step 1.** Once approved for funding, the principal investigator is responsible for the management of all aspects of the award, ensure the work is completed as awarded, compliance is fully achieved on all institutional and external applicable regulations. Please make sure you are familiar with all information described at https://wmich.edu/grantscontracts and https://wmich.edu/grantscontracts/policies .

   b. **Post-award step 2. Contact your WMU-ORI Research Program Officer**. This officer starts the process of awarding your grant internally. A restricted fund accountant at WMU Grants and Contracts Office is designated for your award and will reach out to you once your fund and cost center has been set up. Once the restricted fund accountant is notified of your award, it can take 10-14 business for them to set up a fund and cost center. You can find your assigned officer at https://wmich.edu/grantscontracts/directory/assignments-department .

   c. **Post-award step 3. Schedule a meeting with your restricted fund accountant to review all award-related documents and reporting requirements of your grant or contract.** You should discuss how these documents are managed by the PI and/or Co-PI.

   d. Post-award step 4. Communicate in writing with WMU ORI and your direct supervisor in case any potential conflict of interest exists. Please consult https://wmich.edu/policies/conflict-interest-research-investigators for further information of COI policies.

   e. **Post-award step 5. Please provide a copy of the following documentation to the CHHS Office of Research at** chhs-officeofresearch@wmich.edu . This is valid for both new and renewed awards.
      a. Copy of all proposal documents submitted to the agency.
      b. Personnel planned effort forms for review, approval, and routing.
      c. Copy of approval from the Institutional Review Board (IRB) or the Institutional Animal Care and Use Committee (IACUC).
      d. Copy of any applicable professional license (when applicable)

Once work starts, the PIs, Co-PIs, and their project managers (when applicable), work directly with both CHHS Office of Research and their WMU-ORI Research Program Officer. Please visit https://wmich.edu/research/post-award-responsibilities for further details. To avoid miscommunications and facilitate the processing of all paperwork related to your award, the following procedures shall be followed at all times.

2. **Purchases.** All purchases are performed by the PI department or school and follow the WMU current guidelines found at https://wmich.edu/logisticalservices/purchasing/purchase-process . The PI and Co-PIs are responsible for maintaining compliance with their sponsoring agency guidelines.

3. **Monitoring Sponsored Projects.** The Principal Investigator or Co-PIs are responsible for ensuring that only allowable costs related to the project are charged or transferred to the sponsored account and monitoring any subrecipients. Please visit https://wmich.edu/grantscontracts/project-management/monitoring-sponsored for more details and tools available for this task.

4. **Federally funded Equipment policy.** WMU Purchase Process has procurement standards that must comply with the Federal Office of Management and Budget when a purchase is made on a Federal award. Please visit https://wmich.edu/grantscontracts/project-management/fed-funded-equipment for more details.

5. **Travel.** University travelers using grant or contract funds must comply with all University policies and procedures regarding travel. There may be additional restrictions on travel when using grant or contract funds, such as Fly America Act, foreign travel and per diem restrictions. The travel should be included in the approved budget for the grant or contract. The Grants and Contracts office needs to sign off on international travel plans but does not sign off on domestic authorization forms, but will review all travel vouchers for allowability. All travel to be performed under any given award are arranged and monitored by the PI department or school and will follow the current WMU guidelines found at https://wmich.edu/grantscontracts/project-management/travel . Please consult with your unit administrative personnel to procure for your travel authorizations in advance of your travel.

6. **Hiring of personnel.** Hiring personnel on a grant follows WMU Human Resources hiring policies and should be initiated and managed by the PIs' academic unit with no exception. Administrative associates in the PI's unit will follow the current guidelines for hiring. Please visit https://wmich.edu/grantscontracts/project-management/hiring for more details and keep in mind that:
    a. PIs, Co-PIs, or project managers are not allowed to hire any type of personnel for their funded grant via other methods.
    b. PIs will be responsible for following all mandatory WMU and related compliance regarding personnel hired under their awards.
    c. Grant employees must have their appointments categorized as temporary positions and must have a termination date no later than the end date of the sponsored project.

7. **Payment for services and non-WMU employees (Generic Vouchers).** Payment for services provided by third parties (non-WMU employees) is procured by the PI's academic unit. The PI shall provide all invoices, procure any accompanying documentation necessary (for example, have an independent contractor form signed and completed; etc.) to their unit's administrative associate who will generate a generic voucher (GV). All GVs will then be routed to the CHHS Office of Research for approval and signatures. Each GV submission must be compiled as a single PDF file and include the following documents in order:
    a. Completed GV form;
    b. Invoice;
    c. Signed Independent Contractor form
    d. Accompanying documentation when applicable (e.g., W9 forms).

    Once assembled, the package shall be submitted to the CHHS Office of Research for signature by the Associate Dean for Research. After signing, the CHHS Office of Research will route the documents to Accounts Payable office, with copies provided to the units Business Manager, CHHS Business manager, PI, and the ORI Post-Award Manager.
    Submissions found to be incomplete will be returned to the PI for correction and resubmission. to be submitted to accounts payable. Please visit https://wmich.edu/payroll/accounts-payable for more details.

8. **Compensation for WMU employees included in sponsored projects.** Processing of award related compensation will be performed by the PIs unit business manager.
    a. Hourly employees will have their time and effort sheets generated and signed by the PI before submitted to their unit's administrative associate.
    b. Full-time employees compensations will be based on the previously approved time effort forms cited on item 1.c. Any amendments to such forms shall be previously approved by the CHHS Office of Research as described on item 15 of this chapter.

9. **Maintenance of records.**
    a. Active awards. PIs will keep all technical, financial, and compliance records for an active award in a safe, secure environment. Electronic records shall be kept in a protected electronic environment approved by WMU. Non-electronic records shall be kept in a safe and locked cabinet located on the CHHS premises.
    b. Expired awards. All records, including technical, financial, and compliance records shall be kept for the period of time required by the sponsor or a minimum of 10 years after project expiration, whichever comes first. Electronic records shall be kept in an external hard drive deposited in the CHHS Office of Research. Non-electronic records shall be transferred to the CHHS Office of Research.
    c. Clinical research records developed in any auxiliary units. Clinical records shall be kept in the auxiliary units and compliant with all HIPPAA federal regulations.
    d. Special cases. It will be at the discretion of CHHS Dean and Associate Dean for Research to clarify any special cases that may arise.

10. **Amendments to award.** Any amendments to an active award including but not limited to budget amendments of any value, request for no cost extensions, requests for budget rollovers,

changes to effort times, inclusion or exclusion of personnel, etc. shall be previously communicated and authorized by the CHHS Office of Research. Authorizations shall be obtained via email directed to Associate Dean for Research at alessander.santos@wmich.edu and contain the request, and rationale for the request. Once approved, the PI can then request the changes to its WMU-ORI Research Program Officer. A copy of all amended documents shall be submitted to the CHHS Office of Research so it can be filed and monitored accordingly.

Notice: Unauthorized amendments executed by the PI and/or failure to provide a copy of amended documentation will incur in automatic pause to processing of all payments and documentation executed by the CHHS Office of Research.

11. **F&A distribution.** With the discontinuation of the SRM budget model, since 1st of July 2026 WMU is returning to the historical F&A distribution methodology for FY2026–27, as follows:

    10% – Principal Investigator
    10% – Department
    20% – College or Executive Unit
    10% – Office of Research and Innovation
    50% – University General Fund

    Please note, WMU-ORI's current process is to distribute indirect costs to PIs/co-PIs once a year, in early July, after the fiscal year has closed. Funds will be transferred to dedicated WRAP funding cost centers opened in the name of the PI. For those PIs who do not have a WRAP funding cost center set at the time of distribution, the WMU-ORI will create one in your name, transfer the funds, and send your college Business Manager the details so that they can share them with you for your use.

12. **Project Closeout. Please review the current policies at** https://wmich.edu/grantscontracts/project-closeout .

Summary of Research Management Responsibilities for Funded Projects

In summary, the following paragraphs outline the primary responsibilities associated with the management of externally funded research projects. These responsibilities are distributed among the **Principal Investigator (PI)**, the **School or Department Administrative Assistant**, and the **College of Health and Human Services (CHHS) Office of Research**. Note these are based on current WMU guidelines that can be found at https://wmich.edu/grantscontracts/project-management/training and https://wmich.edu/research/proposals-0/manage

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Principal Investigator (PI)

The PI bears the ultimate responsibility for the overall scientific, ethical, and administrative conduct of funded projects. Specific responsibilities include, but are not limited to:

- Conducting all research activities in accordance with the proposal approved by the sponsoring agency.
- Adhering to all ethical standards and principles established by Western Michigan University (WMU), the sponsoring agency, local government, the State of Michigan, and the Federal Government.
- Securing and documenting all compliance requirements (e.g., IRB approvals, professional licenses, certifications) from WMU, the sponsoring agency, local, state, and federal authorities prior to the initiation of the project.
- Proactively renewing compliance requirements in advance of their expiration to maintain continuous validity (e.g., IRB approvals, professional licenses).
- Monitoring the work and performance of all project personnel.
- Communicating in advance with the CHHS Office of Research and the WMU Office of Research and Innovation (ORI) regarding any proposed modifications to the approved budgetary plan.
- Leading all processes related to the proper closure of the project.
- Collaborating with the School or Department Administrative Assistant to manage:
    - Hiring and termination of grant-supported personnel.
    - Travel authorizations that are related to the grant activities.
    - Procurement of supplies and services.
    - Payments to third-party vendors or contractors.
    - Compensation for all research personnel, including researchers, managers, and students.
    - Tracking and documenting time, effort, and hours worked by all project personnel.
    - Tracking and documenting all project expenditures.

- Securing required signatures and approvals from the department chair or school leader prior to submitting documentation to the CHHS Office of Research and/or the Dean's Office.

School or Department Administrative Assistant

The Administrative Assistant supports the PI and project managers by ensuring that administrative and financial procedures are carried out in accordance with institutional requirements. Responsibilities include:

- Collaborating with PIs and project managers in the execution of:
  - Hiring and termination of grant-supported personnel.
  - Preparation and submission of travel authorizations.
  - Procurement of supplies and services.
  - Payments to third-party vendors or contractors.
  - Processing compensation for all research personnel, including researchers, managers, and students.
  - Tracking and documenting time, effort, and hours worked by all project personnel.
  - Tracking and documenting project-related expenditures.
  - Securing required signatures and approvals from the department chair or school leader prior to routing documentation to the CHHS Office of Research and/or the Dean's Office.

CHHS Office of Research

The CHHS Office of Research is responsible for oversight, compliance assurance, and facilitation of research administration across funded projects within the College. Responsibilities include:

- Overseeing and ensuring that all funded projects comply with requirements established by WMU, sponsoring agencies, local government, the State of Michigan, and the Federal Government.
- Ensuring adherence to all internal policies and procedures established by WMU
- Obtaining approval from the CHHS Dean and/or Associate Dean for all applicable procedures identified in this manual and those published by the WMU Office of Research and Innovation (https://wmich.edu/research).
- Assisting PIs, project managers, and administrative assistants in fulfilling their responsibilities by providing guidance, clarification, and interpretation of current policies and procedures.
- Approving documentation and paperwork as part of the research management workflow.

- Working in collaboration with the WMU Office of Research and Innovation to:
  - Improve guidelines for CHHS research initiatives.
  - Enhance the effectiveness of research-related policies and procedures.
  - Coordinate reimbursements from sponsoring agencies.
  - Address compliance issues and audit requirements (internal and external).
  - Resolve compensation and payroll matters related to funded projects.

CHHS Office for Research offers direct support to assist **faculty and staff** in managing funded projects. These services include all aspects of project management already presented here as well as those found in the links mentioned in this document. They are provided by appointment according to the information below:

i. Location: CHHS building, room # 2480 or on-line at https://wmich.webex.com/meet/alessander.santos
ii. Hours: Mondays, 8am to 4pm
iii. Scheduling: E-mail alessander.santos@wmich.edu
iv. Officer available: Alessander Danna-dos-Santos

And once more, in the event of additional clarification or assistance is needed, please contact us at chhs-officeofresearch@wmich.edu. Our office is open to serve you and your research needs.
