

<b>Policies of the University of North Texas at Dallas</b>	Chapter 13
<b>13.002 Sponsored Project Proposals</b>	<b>Research</b>

**Policy Statement.** In submitting a sponsored project proposal, UNT Dallas is committing itself to fulfill the purposes and requirements of the proposed project through use of University personnel, resources, and facilities. This policy sets out requirements related to the submission of sponsored project proposals to external sponsors, including all proposals for projects carried out in academic departments, laboratories, administrative units and clinics of UNT Dallas. In addition, this policy covers proposals for projects performed off campus, including but not limited to those performed at affiliated institutions.

**Application of Policy.** Faculty and staff engaged in sponsored project activities.

**Definitions.**

1. **Award.** “Award” means a grant, contract, subcontract, subgrant or cooperative agreement that provides funding from an external sponsor for a sponsored project and is entered into between the sponsor and UNT Dallas.
2. **Instruction Project.** “Instruction Project” means any project involving teaching or training activities funded by an externally sponsored grant or contract, excluding research training activities, which are considered research projects.
3. **Principal Investigator.** “Principal Investigator” (PI) means a single individual who, in the event of an award from an external funding agency, shall have the full and final responsibility for the conduct of the sponsored project as proposed and as set forth in the award.
4. **Public Service Project.** “Public Service Project” means any project involving activities other than instruction or research such as public health and community service projects.
5. **Research Project.** “Research Project” means a systematic study directed toward fuller scientific knowledge or understanding of the subject studied. It also involves the training of individuals in research techniques where such activities utilize the same facilities as other research activities.
6. **Sponsored Project.** “Sponsored Project” means a project funded by an external sponsor through an award with UNT Dallas, where one or more of the following obligations apply (examples of sponsored projects include but are not limited to instruction projects, public service projects, or research projects):

- a. Financial Obligation – UNT Dallas is required to comply with conditions imposed when a sponsor awards funding for the performance of services or delivery of products described in a statement of work;
- b. Regulatory Obligation – UNT Dallas is required to comply with sponsor regulations, which may include federal or state regulations;
- c. Reporting Obligation – UNT Dallas is required to provide to the sponsor technical performance reports or regulatory or administrative reports that require information beyond stewardship reporting;
- d. Performance Obligation – UNT Dallas is required to perform within a certain period and may be required to meet other specified requirements related to performance;
- e. Accounting Obligation – UNT Dallas is required to establish a separate accounting record of project accountability, to provide financial reports to the sponsor, and to preserve appropriate records for audit purposes.

**Procedures and Responsibilities.**

1. The Office of Sponsored Projects is the administrative office responsible for reviewing and submitting proposals to external sponsors on behalf of UNT Dallas.

Responsible Party: Office of Sponsored Projects

2. With the support of the Office of Sponsored Projects, faculty and staff members interested in engaging in sponsored project activities are responsible for seeking out and identifying funding opportunities from external sponsors. The Office of Sponsored Projects is responsible for identifying federal, state, foundations, non-profit and other sponsored project opportunities that may be of interest to faculty and staff members engaged in sponsored project activities.

Responsible Party: Faculty and staff members engaged in sponsored project activities; Office of Sponsored Projects

3. At the outset of the proposal submission process, faculty or staff members interested in engaging in sponsored project activities must verify eligibility to serve as the PI in accordance with sponsor and UNT Dallas requirements and must comply with procedures for confirming PI eligibility as established by the Office of Sponsored Projects. Persons eligible to be PI shall hold the title of professors, associate professors, assistant professors, or be eligible as specified in the Principal Investigator Handbook, unless an exception is requested following the PI confirmation of eligibility process and the Office of Sponsored

Projects grants an exception. Faculty and staff members must also notify the Office of Sponsored Projects of their intent to pursue a funding opportunity.

Responsible Party: Faculty and staff members engaged in sponsored project activities

4. With the support of the Office of Sponsored Projects, the PI is responsible for preparing the initial draft of a proposal. Proposals must be prepared in accordance with sponsor guidelines and applicable proposal deadlines of the department, college and the Office of Sponsored Projects. The Office of Sponsored Projects shall provide support services and guidance regarding the development of a proposal submission.

Responsible Party: Faculty and staff members engaged in sponsored project activities; Office of Sponsored Projects

5. The PI must submit the completed proposal with the proposal routing form, the budget builder form and other proposal or administrative forms as required by the Office of Sponsored Projects. Examples of other forms that may be required are the pre-award cost-sharing form and sub-recipient forms (link provided below to the Office of Sponsored Projects forms).

Responsible Party: Faculty and staff members engaged in sponsored project activities

7. As an applicant organization, UNT Dallas has an institutional responsibility to review and approve a proposal before submission to an external sponsor. The PI, Department Head, Dean and the Office of Sponsored Projects share responsibility for determining whether a proposed project and restrictions imposed on the University by the award are consistent with the University's policies, its mission, its capabilities and capacity, and its commitment to free and open inquiry. The PI, Department Head, Dean and the Office of Sponsored Projects also share responsibility for reviewing the proposal and related documents for accuracy, validity, and conformity with federal, state, system, institutional, and sponsor rules, regulations, policies and guidelines with respect to the administrative, fiscal, and scientific information included in the proposal. Finally, the PI, Department Head, Dean and the Office of Sponsored Projects share responsibility for determining that UNT Dallas is able to comply with its obligations as set forth in the proposal and that conflicts of interest related to the proposal have been disclosed and mitigated in accordance with applicable institutional policies. By providing signatures on forms related to the proposal, the PI, Department Head, Dean and the Director of the Office of Sponsored Projects attest to their adherence to the above responsibilities for oversight.

Responsible Party: Principal Investigators, Department Heads, Deans, and the Executive Director and other personnel in the Office of Sponsored Projects

8. The Executive Director of the Office of Sponsored Projects or his/her designee shall submit the final proposal to the external sponsor and sign as the authorized organizational representative for UNT Dallas after the Principal Investigator, Department Head and Dean have signed a proposal approval form certifying approval of the final version of the proposal. In so doing, the Executive Director or his/her designee on behalf of UNT Dallas is accepting the obligations and compliance requirements imposed by federal and state regulations and certifying that UNT Dallas will comply with all assurances, commitments, and certifications included as part of the proposal in the event of an award.

Responsible Party: Executive Director of the Office of Sponsored Projects or his/her designee; Principal Investigator; Department Head and Dean

### **References and Cross-references.**

UNTD Policy 13.001, Sponsored Projects  
UNTD Policy 13.003, Sponsored Project Awards  
UNTD Policy 13.005, Principal Investigators in Sponsored Projects  
UNTD Policy 13.009, Professional Commitment and Conflicts of Interest in Research  
UNTD Policy 13.011, Export Control

### **Forms and Tools.**

Office of Sponsored Projects Website  
Office of Sponsored Projects Forms  
Principal Investigator Handbook

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Revised: