RESEARCH AND SPONSORED PROJECTS

A. Purpose

The University of Texas-Pan American encourages faculty to seek external support for sponsored projects related to the overall mission of the University including teaching, research and public service. The purpose of this policy is to set forth guidelines for all externally-funded grant proposals and awarded projects at the University.

B. Persons Affected

This policy applies to all funds received from federal, state, and local governments; private and public foundations; private and public corporations; and, private groups and individuals that award grants to, contract with or otherwise enter into an agreement with the University to provide funds to support specific projects.

C. Definitions

1. "Sponsored Research" is any research where external (extramural) funding partly or wholly supplements a research project.

2. "Sponsored Project" is any project or program that receives external (extramural) funding that either partly or wholly supports that project or program.

3. "Proposal/Award Authorization Form" is the institutional routing sheet that accompanies any grant proposal. This form is available in the Office of Research and Sponsored Projects or the Office of Grants and Contracts or can be found on the Website. All grant proposals must be accompanied by a Proposal/Award Authorization Form.

4. "Limited Submission" refers to a funding agency limiting the number of proposals that can be submitted from the same institution and the University's procedures to approve proposals under such limitations that support the long-term goals of the department, college, and institution.

D. Responsibilities of the Office of Research and Sponsored Projects

The Office of Research and Sponsored Projects shall provide a wide range of pre-award services for project funding and shall be responsible for final proposal review and approval and electronic proposal submission to the funding agency.

E. Proposals

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A proposal for external funding must be formally approved before it is submitted to the funding organization. Proposals which have not been formally approved may not be delivered to a funding agency. Any proposals delivered to a funding agency which have not been formally approved by the University may be withdrawn by the University.

1. A grant or contract proposal shall be approved by the appropriate University administrators, including the department chair, dean, and the Research and Sponsored Projects Administration.

2. No changes shall be permitted to proposals after they have received formal approval, except when specifically authorized by the Research and Sponsored Projects Administration. If a proposal is submitted to a funding agency with changes that were made after the proposal was approved and the changes were not authorized by the Research and Sponsored Projects Administration, the University may withdraw the proposal.

3. Proposal Forms. All proposals shall be accompanied by the "Proposal/Award Authorization Form." If cost sharing is being proposed, a "Proposal/Award Cost Sharing/Matching Funds Recap Form" must accompany the documentation. Finally, if there is a request to waive indirect costs, a "Request for Waiver of Indirect Cost Recovery" must be completed. Copies of each form can be obtained at the Office of Research and Sponsored Projects.

4. Proposals to Foundations. Proposals to foundations shall first be approved by the University Development Office in accordance with *Handbook of Operating Procedure* 8.7.2. The Development Office approval form should be included with the proposal documentation.

5. Limited Submission Proposals. When the funding agency limits the number of University proposals that can be submitted, a pre-proposal process must be followed. The Office of Research and Sponsored Projects can assist with the procedures for limited submissions.

6. Human subjects: Federal regulations require a careful and comprehensive review of research involving human subjects or possible risk to human subjects. All such projects must be submitted to the University's Committee for the Protection of Human Subjects prior to award acceptance and/or commencing the project.

7. Animal research: Federal regulations require a review of any research involving the use of warm-blooded animals. All research involving animals must be submitted to the University's Committee for the Protection of Animals.

8. Other Disclosures: Federal regulations require a review of biohazards, hazardous chemicals, controlled substances, radioisotopes, etc. All proposals/contracts must identify such use in the Authorization Form.

F. Responsibilities of the Principal Investigator and Project Director

"Principal Investigator (PI)" or "Project Director (PD)" is the individual who will direct the project and who is designated by the institution as responsible for completing it as agreed upon.

The responsibility of the PI or PD is to manage an externally funded project in accordance with the requirements of the sponsoring agency as well as the policies and procedures established by the University. The PI or PD shall also submit all award documents, including the original award document, when a proposal is funded to the Office of Research Sponsored Projects for processing.

G. Responsibility of the Office of Grants and Contracts

The Office of Grants and Contracts manages the "post award" process. The office assigns account numbers and account managers, oversees all fiscal activity, and monitors compliance with project terms and requirements.

H. Signature Authority

The Associate Vice President for Research or delegate is authorized to sign agreements for all proposal documentation (pre-award) while the Vice President for Business Affairs or his/her delegate is authorized to sign award documentation (post-award). No one other than the University Authorized Representative is allowed to sign official documents (i.e., contracts) on behalf of the University.

I. General and Administrative Cost Recovery and Indirect Cost

The University maintains a negotiated indirect cost rate with the federal government for the purpose of identifying allocable general and administrative costs and applying those costs to externally funded projects. Unless otherwise stipulated by the offering funding agency, the University will apply this rate to the full extent allowable for every project proposal. Redistributed indirect cost procedures established by the University can be found in The University of Texas-Pan American *Indirect Cost Funds Apportionment Policy* located in the Budget Office.

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J. Related Policies and Resources

1. The University of Texas System Board of Regents' *Rules and Regulations*

   Series 30104

   Series 10501

   Series 90000

2. The University of Texas-Pan American *Handbook of Operating Procedures*

   2.4.1, Compliance with Laws, Regulations, Contractual Obligations, and Policies

   3.3.4, Administrative and Non-Academic Committees and Councils

   3.3.7, Centers and Institutes

   4.8.1, Drug-Free Workplace

   4.10.3, Misconduct in Scholarly Activity

   8.1.4, Movable Equipment Acquired under Grants from the Federal Government

   8.7.2, Soliciting, Accepting, and Processing Gifts and Grants from the Private Sector

3. Institutional Animal Care and Use Committee
   http://oire.utpa.edu/committees/Institutional%20Animal%20Care%20and%20Use%20Committee.pdf

4. Institutional Review Board for Human Subjects in Research
   http://oire.utpa.edu/committees/Human%20Subjects%20Committee.pdf

5. "Do the Right Thing: Standards of Conduct Guide for Employees of The University of Texas-Pan American"
   http://portal.utpa.edu/utpa_main/pres_home/auditscomplianceconsulting_home/compliance_home/training

K. Review

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This policy shall be reviewed every five years or as laws or Regents' *Rules and Regulations* change by the Associate Vice President for Research.