

THE UNIVERSITY OF TEXAS AT DALLAS OFFICE OF SPONSORED PROJECTS

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INTRODUCTION

Faculty and authorized professional research staff are encouraged to seek external financial support for specific projects undertaken to further the mission of the University in teaching, research and public service. Sponsored projects enhance and expand the educational opportunities available to undergraduate and graduate students at the University, permit research, scholarly inquiry, and the development of new knowledge, contribute to the academic achievement and stature of the institution, and assist the University in fulfilling its responsibilities to the state and the nation.

The primary responsibility for the origination, development and preparation of proposals rests with the Principal Investigator (any full time employee of the university who has their Dean's approval to do research). While awards for successful projects are made to the University, the Principal Investigator is responsible for the management, execution, and completion of the project, including submission of all required reports.

As a public institution, the University will not conduct proprietary research, develop exclusive or proprietary data for a sponsor, conduct any "work-for-hire", or permit a sponsor to direct or control research on campus. University facilities and equipment may not be used by a sponsor's employees or for the specific benefit of a sponsor. The purpose of University research is the discovery and dissemination of new knowledge; the University cannot assume the role of an advocate or a social action agency.

PUBLICATIONS

Publication of new knowledge developed under sponsored projects is a fundamental responsibility of the University. The University retains the right to publish all work done under sponsored projects and Principal Investigators are encouraged to use all appropriate channels to disseminate the results of their work. Publication delays of a reasonable period are allowed to permit filing of a patent application, to permit review for possible premature disclosure of patent application information and to review for inadvertent disclosure of a sponsor's confidential information. In all cases, the final decision to publish rests with the University.

COST OF RESEARCH

The University expects external sponsors to pay the actual costs of conducting the sponsored project. These costs include both the direct and the facilities and administrative (also known as indirect) cost obligations incurred by the University in the conduct of a project. The direct costs, that is, those costs that are clearly identified with and benefit a specific research project, include salaries, fringe benefits, equipment, supplies, travel and other expenses. The facilities and administrative costs are those institutional research infrastructure costs that cannot be readily attributed to an individual project or monitored on an individual basis and include building and equipment use, operations, maintenance and utilities, general, departmental and sponsored projects administration, library, and capital improvements. Each sponsored project is expected to pay its proportional share of these research infrastructure costs. This payment is based on the facilities and administrative cost rate that is negotiated annually (or multiple years) between the University and the U.S. Department of Health and Human Services. Since the facilities and administrative cost rate is based on the level of existing facilities and administrative costs associated with research, the facilities and administrative cost income received by the University (and all other institutions of higher education) is a reimbursement for actual costs incurred. All research project budgets should include facilities and administrative costs as determined by this federally negotiated facilities and administrative cost rate. Exceptions to this policy may be considered if the sponsor has an established, written policy applicable to all potential proposers which deviates from these rates. All deviations are subject to UTD administrative approval in advance. The following link contains information concerning the University's rate agreement: <http://www.utdallas.edu/research/osp/documents/RateAgreement.pdf>

INTELLECTUAL PROPERTY

The development, ownership, management, use and marketing of intellectual property developed at the University are governed by The Intellectual Property Policy of The University of Texas System. The policy may be found at the following site:

UT System: <http://www.utsystem.edu/OGC/IntellectualProperty/polguide.htm>.

UTD: <http://www.utdallas.edu/utdgeneral/provost/memos/PM-36.doc>

Intellectual property is any invention, creation, discovery, scientific or technological development, computer software, or other forms of expression of an idea arising from the activities of personnel covered by System policy. The System policy does not apply to faculty-authored written or visual work, except computer software, produced in the author's professional field, and such faculty-authored work is owned by the creator.

When intellectual property results from work at the University that the creator believes may be of value, the creator must disclose such intellectual property to the University's Intellectual Property Advisory Committee. Additional information regarding the process of invention disclosure is available through the

Committee.

Negotiations with sponsors relating to intellectual property matters are the responsibility of the Office of Sponsored Projects and the University of Texas System as appropriate. Licensing agreements for the technology are handled by the Office of Technology Transfer. (<http://www.utdallas.edu/research/tt.htm>).

RESEARCH INTEGRITY

Scholars and research personnel of the University are expected to adhere to the highest ethical standards for all research and scholarly work. It is the responsibility of every research investigator to maintain the integrity of research projects by keeping accurate, permanent, and auditable records of all experimental protocols, data, and findings. Misconduct in science and other scholarly activities is absolutely incompatible with the standards of the University and all allegations of such behavior will be handled promptly. The University's policy regarding research integrity may be found at the following site:

<http://www.utdallas.edu/utdgeneral/provost/memos/PM-50.doc>

CONFLICT OF INTEREST

This policy is established to comply with the regulations of the Public Health Service (PHS) and the National Science Foundation (NSF), and the responsibility of The University of Texas at Dallas, to promote objectivity in research by requiring that an employee of the University who applies for grants or cooperative agreements from the federal government for research or other educational activities or otherwise submits a proposal for sponsored research funding from any entity ensures that there is no reasonable expectation that the design, conduct, and reporting of research will be biased by any Significant Financial Interest of an Investigator responsible for the research or other educational activity. Researchers must have an approved, current, signed Conflict of Interest Form on file with OSP before a proposal can be processed. Based upon federal regulations and the University's objective to maintain a research environment that promotes faithful attention to high ethical standards, this policy relating to conflicts of interest is to be administered in conjunction with Texas laws setting forth standards of conduct, Texas Government Code, Chapter 572, and the Code of Ethics of The University of Texas System, Part One, Chapter III, Section 4, Regent's Rules and Regulations (see Attachment One to HOP § 5.11).

UTD Policy: <http://www.utdallas.edu/utdgeneral/provost/memos/PM-69.doc>

OFFICE OF SPONSORED PROJECTS

The Office of Sponsored Projects (OSP) serves as the coordinating office for externally funded research projects submitted by The University of Texas at Dallas. The goal of the OSP is to assist faculty and professional research staff in their efforts to secure external funding.

The OSP staff provides technical assistance to Principal Investigators during proposal preparation (budget, special instructions, etc.), serves as an information source for and monitors compliance with applicable University and sponsor policies and requirements, handles all administrative matters with sponsors, including contract negotiations. The staff reviews proposals before submission to the sponsor and advises the Principal Investigators of any omissions, necessary corrections or other items that might strengthen the presentation to the funding agency. OSP requests a lead time of at least four working days to fully process proposals.

GENERAL INFORMATION

Campus/Overnight Delivery Address:	The University of Texas at Dallas Office of Sponsored Projects MP 15 2601 N. Floyd Rd. Richardson, TX 75083
Mailing Address:	The University of Texas at Dallas Office of Sponsored Projects PO Box 830688 MP 15 Richardson, TX 75083-0688
Web Page URL:	http://www.utdallas.edu/research/osp/index.html
Telephone Number:	(972) 883-2313
Fax Number:	(972) 883-2310
Areas of Assistance:	<ul style="list-style-type: none"> • Application kits, materials, and program and proposal submission guidelines • Research opportunity announcements and potential sponsor directories • Proposal check-in • Compliance with Animal Welfare and Human Subjects requirements • Budget review • Industrial negotiations, model contracts • Subcontract/subrecipient agreement award preparation • Intellectual property policies • Award notices and processing • Special programs, such as - The Welch Foundation; Advanced Research Program (ARP) and Advanced Technology Program (ATP) administered by the Texas Higher Education Coordinating Board.

Key Areas of Responsibility for OSP

Assist the University research community in processing research proposals to

outside funding sources

- Review of sponsor guidelines
- Review of compliance issues
- Representations and Certifications
- Review budget
- Negotiate Revised Budget
- Additional budget detail

Serve as liaison between University and sponsor

- Check status of pending proposals
- Notify principal investigator if additional technical information is requested by sponsor

Receive and negotiate incoming awards

- Read and review terms and conditions of incoming awards
- Contact sponsor and negotiate unacceptable terms
- Notify principal investigator of special terms and conditions and obtain approval of final document.
- Prepare and negotiate subcontracts to outside entities
- Collect and report award information

Serve as liaison between principal investigator and Contracts and Grants

- Initiate requests for pre-award costs, credit and authorization to spend available funds to facilitate continuity of research.

Serve as liaison between principal investigator and sponsor

- Assist with routine requests to sponsor (no cost extensions, rebudgeting requests, leave of absence of principal investigator, etc.)
- Remind principal investigators of specific requirements for submission of progress reports for non-competing award
- Assist principal investigator transferring to another institution with the transfer of active research projects
- Assist in the submission of final reports to sponsor by notifying the principal investigator of delinquent reports

Serve as the repository for information pertaining to research funding

- Provide monthly report of proposals and awards to colleges and organized research units
- Provide annual report of proposals and awards to the Vice President for Research
- Provide annual report of faculty awards to the Office of the Provost
- Prepare and disseminate information to faculty, departments, organized research unit, etc as requested.

Boilerplate Information for Proposals

Submitting Organization:	The University of Texas at Dallas
Address for all Official Correspondence:	The University of Texas at Dallas Office of Sponsored Projects PO Box 830688 MP15 Dallas, TX 75083-0688
Type of Organization:	State Related Institution of Higher Education
Congressional District:	<i>UTD Campus</i> – Third <i>Callier</i> – Thirteenth
County:	<i>UTD Campus:</i> Collin <i>Callier:</i> Dallas
Authorized University Official for all Proposals, Certifications, and Agreements:	Rafael Martin Associate Vice President for Research Phone: 972-883-2313 Fax: 972-883-2310
Principal Investigator:	Faculty Name (or investigator to serve as project correspondent if there are co-investigators)
Employer ID Number:	75-1305566
DUNS Number:	80-018-8161
DHHS Entity Number:	1751305566A1
Contractor Establishment Code:	80-018-8161
Commercial and Government Entity Number (CAGE):	OW921
FICE:	009741
Federal Wide Assurance Number (Human Participants):	FWA 00005412 (July 17, 2003 – Feb 9, 2009)
Animal Welfare Assurance Number:	A3329-01 (May 20, 2002 – April 30, 2007)
Institutional Review Board Number:	00000076
Institution Profile No.:	578409
Cognizant Agency/Contract Administration Office:	Department of Health and Human Services Region IV 1200 Main Tower Bldg Dallas, Texas 75202
Date of Last Negotiation of Indirect Cost Agreement:	June 5, 2006
NSF Institutional Code:	00 3569 1 000
Max Rate for Consultants:	\$453/day

Mileage:	\$0.445/mile
Misconduct in Science:	Annual Report Filed Feb 2007

SPONSORED PROJECTS

Proposals to external funding sources for sponsored projects must be submitted through the Office of Sponsored Projects and awards received must be processed by the OSP when one or more of the following criteria are met. Most frequently these proposals involve research projects but any program requesting support by an external sponsor that satisfies these criteria shall be submitted through the OSP.

- A specific program of work or research is proposed to or required by the sponsor;
- The sponsor requires an authorized institutional signature;
- The sponsor requires or expects one or more progress reports, a final report, financial reports and/or a formal accounting of how the funds were expended;
- There are intellectual property, confidentiality and/or publication conditions associated with the receipt of funds.

GIFTS

The University is pleased to accept unrestricted gifts of funds to support the general research of a Principal Investigator. Solicitation of philanthropic gifts from foundations, individuals or other sources for research or non-research activities and the processing of non-cash gifts of equipment and other items of use in research programs are coordinated through the Office of University Development. When unrestricted funds are provided by a donor to the University without any terms, conditions or other obligations, the funds are not subject to facilities and administrative costs charges. The original gift award letter from the donor and the accompanying check should be forwarded to the Office of University Development. For further information on gifts, please go to the following website:
<http://www.utdallas.edu/advancement>

SERVICES AND RESOURCES AVAILABLE

The Office of Sponsored Projects goal is to assist Principal Investigators in their efforts to secure external funding. This is accomplished by providing the following services and resources to faculty and professional research staff:

- UT Dallas internal Proposal Certification Forms, facilities and administrative cost rate agreements, IRS determination letters proving our non-profit status, and other required certifications;
- standard guidelines and application materials for major funding agencies such as the National Science Foundation and the National Institutes of Health; and assistance in obtaining other sponsor materials;
- information about and interpretation of special procedures or policies related to sponsor requirements
- assistance in development of cover letters and special sponsor-required assurances and certifications;

- Intellectual Property Policy information and guidance;

PERSONS AUTHORIZED TO BE PRINCIPAL INVESTIGATORS OR CO-PRINCIPAL INVESTIGATORS

When the University accepts a grant or contract from an external sponsor, the University assumes responsibility for the proper performance of the stated project, for the fiscal management of the funds received, and for accountability to the sponsor. Since the institutional responsibility for meeting these obligations is vested in the Principal Investigator, only individuals who are full time university employees and have the approval of their Dean are allowed to do research at the University.

PROPOSAL PREPARATION

In the event that the Principal Investigator plans to respond with a proposal to a sponsor's program opportunity (i.e. Requests for Proposal [RFP], Requests for Quotations [RFQ], Broad Agency Announcements [BAA], etc.) they should notify The Office of Sponsored Projects of their plans.

Proposal Format

Many agencies have prescribed formats for proposal preparation, including the required forms for text, biographical data, and budget. Many agencies also have page and type size and character per inch (cpi) limitations for the body (text) of the proposal. For agencies which do not have specific formats, the OSP suggests that the Principal Investigator organize the proposal as follows:

- Transmittal Letter (will be prepared by the OSP during processing of the proposal)
- Title Page
- Technical Abstract
- Table of Contents
- Statement of the Proposed Research Project
- Review of Relevant Literature
- Brief Description of Proposed Activities or Objectives
- Project Design or Procedures
- Project Evaluation
- Project Management
- Personnel Resources
- Institutional Equipment and Facilities
- Project Budget
- Budget Justification
- Curricula Vitae
- References (literature cited)
- Appendices

PREPARING THE BUDGET

Preparation of the budget is, for many researchers, the most difficult section of the

proposal. Granting agencies see hundreds of proposals yearly and are proficient at comparing level of funding requested to the research work proposed. Therefore, it is important that the budget section of the proposal reflect, as accurately as possible, the funding needed to carry out the proposed research. The investigator should neither overestimate the funds required nor underestimate budgetary needs. Either of these strategies may lead to proposal rejection. A budget, accurately detailing the funds necessary to carry out the technical statement of work, can strengthen the total proposal and increase the likelihood of funding. Furthermore, a carefully prepared budget can often identify weak areas in the proposal narrative and result in improvement of the technical proposal.

Personnel in the OSP are experienced in preparing budgets, and encourage investigators to contact them when they have a draft of the budget. The OSP staff can provide expertise in completing a budget request, applying fringe benefit and facilities and administrative cost rates, documenting subcontracts/subrecipient agreements, consultants, matching funds, and cost-sharing. In the case of more complicated proposal requirements, the OSP will complete sponsor assurances and certifications, and when requested, will assist the investigator in interpreting RFP guidelines.

Direct Costs

Salaries and Wages

To determine total salaries and wages, list the amount of time to be spent by each person who will be working on the project. Time should normally be shown in terms of a percent of full-time effort. Show breakdown between summer and regular academic year for faculty.

- No employee may be scheduled for activities in excess of 100% of effort in any given month.
- Sponsored activities may not result in any employees receiving compensation at a rate in excess of their authorized salary or academic rate. For multi-year projects, the budget should take into consideration any possible salary increases.

Fringe Benefits

Fringe benefits are a direct cost to a sponsored project, are clearly related to the salaries and wages to be paid, and are shown as a separate entry in the budget. The Department of Health and Human Services (DHHS) no longer negotiates fringe benefit rates for the University. Fringe benefit costs have been calculated based on historical data. The actual costs for fringe benefits are charged (billed) to the sponsored project at the time the costs are incurred; the amount charged is based on salary, selected benefit package, and other variables applicable to the individual employee.

If the actual fringe benefit expenses for a project exceed the projected amount included in the budget, it is the responsibility of the Principal Investigator to pay these actual costs from the direct award funds provided by the sponsor. The OSP can provide advice in the preparation of budgets.

Consultants

Normally, consultants are paid a consulting fee plus travel expenses. Many Sponsors do not permit payments to consultants and some restrict or limit such payments. If in doubt as to whether consultants are allowed or rates paid to consultants, refer to the Sponsor's program literature or contact the OSP. Whenever possible, identify the proposed consultant by name, indicate the number of days of work, daily rate, and provide a curriculum vitae for the consultant in the proposal.

The participation of paid consultants in a sponsored project for periods longer than two weeks should be discussed with the OSP prior to submission of the proposal. Institutional consulting policies are contained in the following:

http://www.utdallas.edu/utdgeneral/business/admin_manual/pdf/e24500.pdf

Capital Equipment

Equipment means an article of nonexpendable, tangible personal property having a useful life of more than one year and an acquisition cost of \$5,000 or more per acquisition components, other than on-campus machine-shop labor, used to fabricate an item of capital equipment may be considered as capital equipment for budgeting purposes and should be identified for inventory purposes.

Expendable Equipment and Supplies

These are items costing less than \$5000. Normally, a research project will consume expendable supplies such as laboratory items, teaching aids, computer software, and office supplies. A reasonable amount should be budgeted for these items.

Faculty who anticipate the use of a particularly large number of research animals or animals requiring special care should consult with the Animal Resources Center staff to see whether the funds estimated will be adequate and whether the Animal Resource Center has adequate facilities to accommodate the animals.

Publication Costs

Budget the anticipated cost of publishing the results of the research, keeping in mind that page charges may vary from journal to journal. Consider both page charges and reprint costs.

Travel

If foreign travel is anticipated it must be specified. Travel costs expected to exceed institutional guidelines must be specified. For travel rates, refer to the following website:

<http://www.window.state.tx.us/comptrol/san/fm.notices.date.html/fm02/fm02-16.html>

Subcontracts/Subrecipient Agreements

When a proposal contemplates a subcontract/subrecipient agreement to a named

subcontractor, the subcontractor's letter of commitment, statement of work and detailed budget with justification, signed by the subcontractor's authorized institutional representative, should be provided with the "Proposal Certification Form." If the Principal Investigator(s) has any direct or indirect financial or other interest in the subcontractor/subrecipient organization, a disclosing statement must be submitted to the OSP as well.

Other Direct Costs

Consider, as appropriate, costs for copying, long-distance telephone calls, postage, reference books and materials, tuition and required fees for participating graduate students, equipment maintenance, and contracted services. Revisions of OMB A-21 relevant to office supplies, postage, local telephone costs, and memberships: The Principal Investigator needs to justify the need for these items in relation to the project, and it is the Principal Investigator's judgment that this is the best way to spend the funds.

Facilities and Administrative Costs

Facilities and administrative costs must be included using the University's federally-negotiated rates unless the sponsor has a written policy applicable to all potential proposers which deviates from these rates. All deviations are subject to UT Dallas administrative approval. Sponsor guidelines limiting facilities and administrative costs must be provided with your proposal.

To calculate the facilities and administrative costs for a project, do the following:

F&A

- a) Calculate the Total Direct Costs (TDC) which is simply the sum of all direct costs:
 - salaries
 - benefits
 - supplies
 - equipment
 - etc...
- b) Calculate the Modified Total Direct Cost (MTDC) by subtracting the following exempt items from the TDC:
 - capital equipment
 - graduate student tuition and required fees
 - stipends
 - subcontract/subrecipient agreement costs in excess of the first \$25,000 of each subcontract/subrecipient agreement over the life of the subcontract/subrecipient agreement
- c) Multiply the F&A rate against the MTDC base to calculate the facilities and administrative costs for the project.
- c) Add the TDC to the F&A costs to calculate the Total Project Costs.

Summary:

- $TDC - \text{exemptions} = MTDC$
- $MTDC \times F\&A \text{ rate} = F\&A \text{ costs}$

- TDC + F&A costs= Total Project Costs

Please note that since the federally-negotiated facilities and administrative cost rates are subject to change annually, Principal Investigators should be prepared to make adjustments in budgets for such changes. See or contact the Office of Sponsored Projects, (972) 883-2313, for more specific information.

On and Off-Campus Rates

Off campus rates are generally used when the principal investigator or other research staff is actually conducting research away from the campus for a period of no less than one long semester or all three summer months. Prior to submitting your proposal, please contact the Office of Sponsored Projects for assistance.

Matching Funds/Cost-Sharing

If sponsor guidelines require cost-sharing or matching funds (cash contribution or donation of in-kind services such as contributed time and effort by the Principal Investigator and research group members), provide appropriate letters of commitment from UT Dallas or third-party source for cost-sharing. All matching funds or cost-sharing commitments based on the faculty member's academic time and effort must be approved in advance by the Principal Investigator's department chair and dean and be documented in writing to the Office of Sponsored Projects with the proposal. Proposals will not be processed unless there is an assigned account number cost share.

SPECIAL APPROVALS - Animal Welfare, Human Subjects, Radiation/Radioisotopes; Infectious Agents, Human Blood or Extreme Toxins; and Recombinant DNA

Animal Welfare

The University of Texas at Dallas has the responsibility to ensure that experimentation with all animals conducted under its auspices (warm/cold-blooded and vertebrates/invertebrates), except human subjects, follows the regulations and guidelines as established by the Animal Welfare Act, P.L. 89-544 and its amendments, and NIH Publication 85-23

Researchers and/or teaching faculty who are planning projects involving the use of any animal should contact the Research Compliance Manager at (972) 883-4579 in the early stages of planning. Required forms for animal utilization are available from the Research Compliance Manager. The forms are also available on the Office of the Vice President for Research homepage: <http://www.utdallas/research> . Proposals involving the use of animals must be reviewed and given preliminary approval for submission for funding by the Research Compliance Manager prior to being brought to the OSP for processing. The number of copies required is detailed on the animal form. Day-to-day supervision and monitoring of all animal related activities on the University of Texas at Dallas campus are the responsibility of the Research Compliance Section. These requirements apply to both funded and non-funded research.

Human Subjects:

UT Dallas faculty, staff, students or employees who propose to engage in any research involving the use of human subjects must have prior review and approval of that activity by the Institutional Review Board (IRB). It is UT Dallas policy that all protocols involving the use of human subjects be reviewed and approved by the IRB. The IRB is responsible for safeguarding the rights and welfare of subjects who may be at risk through participation in such activities. These requirements apply to both funded and non-funded research regardless of whether the research is performed at the UT Dallas or other locations and regardless of whether another IRB has reviewed the protocol.

Information about the review process, required forms, agenda deadlines and meeting dates are available from the Research Compliance Section website:

<http://www.utdallas.edu/research/rc.htm>

Recombinant DNA:

Projects involving the use of recombinant DNA molecules require initial and subsequent annual review by the Institutional Biosafety Committee (IBC). These requirements apply to both funded and non-funded research. For more information and required forms and certifications please contact the UT Dallas Safety Office (x2113).

<http://www.utdallas.edu/utdgeneral/business/safety/>

Radiation and Infectious Agents

Radiation/Radioisotopes and Infectious Agents, Human Blood or Extreme Toxins: Researchers who are planning projects involving radiation/radioisotopes and/or infectious agents, human blood or extreme toxins should contact the UT Dallas Safety Office. Required forms and certifications are available at the following website:

<http://www.utdallas.edu/utdgeneral/business/safety/>

Administrative Review and Approval of Proposal

Before transmittal to the sponsor, the proposal must be approved sequentially by the following the UT Dallas administrative levels:

- Research Compliance Manager (if animals are involved),
- the UT Dallas Safety Office Coordinator and Dean's Office for Radiation/Radioisotopes and Infectious Agents, Human Blood or Extreme Toxins, Recombinant DNA (if any of these are involved)
- Research Compliance Manager for Human Subjects, (if any of these are involved),
- the OSP,

- Development Office (if proposal is being submitted to any non-governmental entity),
- Department Chair's (or Unit Director's) and Dean's signatures
- the Office of the Vice President for Research.

All proposals must be accompanied by the "[Proposal Certification Form](#)". The summary information contained on the completed form facilitates administrative review and approval, and thus helps to expedite processing. Copies of this form can be obtained from the Office of Sponsored Projects website: <http://www.utdallas.edu/research/osp>

For each sponsor, a "[Proposal Certification Form](#)" and original proposal, should be delivered to the OSP for processing at least **four working days** prior to the date the proposal must be transmitted to the sponsor. Failure to supply OSP with the original signed proposal will delay the processing of the proposal. Advise the OSP of any proposal submission deadline (distinguish between "be there" date versus "postmark" date). If you wish the OSP to mail the proposal, supply the appropriate number of copies to be mailed to the sponsor together with the original. Overnight mail delivery is done at the Principal Investigator's expense.

Proposal Process Checklist

The following is a checklist of information the Principal Investigator should provide to the OSP when submitting a proposal for University administrative review and approval.

- Complete, signed "Original" proposal;
- Completed, signed "Proposal Certification Form";
- RFP, RFQ or special solicitation guidelines;
- Additional copies for sponsor if the OSP is to mail;
- Animal Welfare documentation as applicable;
- Radiation/Radioisotopes; Infectious Agents, Human Blood or Extreme Toxin documentation as applicable
- Human Subjects documentation as applicable;
- Recombinant DNA documentation as applicable;
- Matching funds/Cost-share letter(s) of commitment and account number as applicable;
- Subcontracts/Subrecipient Agreements documentation as applicable.

The OSP Processing Time

The OSP requests a lead time of at least **four working days** to fully process proposals.

POST-PROPOSAL/PRE-AWARD ADMINISTRATION

Budget Negotiations with the Sponsor

Preliminary budget negotiations are often conducted between the Principal Investigator and the technical contact for the sponsor in order to determine an appropriate level of funding for the program proposed by the Investigator. Such preliminary discussions are encouraged. The Principal Investigator should contact the OSP, however, for established rates for fringe benefits, facilities and administrative costs or other budgetary matters that may impact upon the total support required for the project.

The Principal Investigator should not attempt to negotiate rates for facilities and administrative costs (or fringe benefits) that are different from the federally-approved rates for the University, nor should it be implied that a reduction in the approved rates would be acceptable to the University. Facilities and administrative costs represent substantial, real expenditures incurred by the institution to support each research program, and if these costs are not fully paid by each sponsor, the University must subsidize them from other institutional resources. In the event that a sponsor indicates to the Principal Investigator that it does not wish to pay these costs in full, the OSP should be contacted in order that this office may contact the sponsor for further negotiation regarding this issue.

If formal budget negotiations are required, the OSP will conduct the negotiations, including the confirmation of approved salary, benefits, computer and facilities and administrative cost rates. The OSP will seek the Principal Investigator's input and concurrence for any modifications proposed by the sponsor.

Business Negotiations

The OSP reviews the terms and conditions of every award received. Terms and Conditions are negotiated in accordance with UT Dallas policies and The Intellectual Property Policy of The University of Texas System.

Federal Awards:

- Terms and Conditions are usually pre-determined, however, negotiations may be required.

Non-Federal Awards:

- Normally, most non-Federal projects require negotiations, especially those agreements with industrial sponsors. Such topics as inventions, publication rights, liability, and ownership of research results are usually the subject of negotiation. The negotiations are coordinated between the OSP personnel, the sponsor, the Principal Investigator, and, as appropriate, the UT System Office of General Counsel. The

OSP leads the negotiations with the sponsor.

THE AWARD PROCESS

Award Acceptance and Post-Award Administration

Award documents take many forms depending upon the type of sponsor and project. These documents require review and signature by the official institutional representative authorized to sign on behalf of the institution. The OSP is responsible for award document processing. The Principal Investigator is notified of each new award and its terms and conditions and is asked to accept the award and responsibility for complying with all award requirements by returning a signed acknowledgment to the OSP.

Upon receipt of fully executed award documents or other proof of award, the OSP establishes an account for the funds and notifies the Principal Investigator.

The Office of Sponsored Projects plays a dual role in the post-award phase of sponsored project activity. The OSP serves as a central point of contact for sponsor grant or contract officers regarding administrative matters throughout the duration of the project. The OSP also serves as facilitator and advocate for Principal Investigators in all matters pertaining to the non-technical management of their grants and contracts. In addition, the OSP coordinates compliance with each sponsor's requirements for interim and final technical reports. Principal Investigators are responsible for submission of all required reports in a timely fashion.

If the award documentation is delayed, procedures are available to obtain a pre-award letter for a limited period of time. Contact the OSP with information regarding the amount of credit needed. After the award information is verified by a representative of the sponsoring agency with the authority to commit funds, overdraft approval may be given. Credit will be limited to emergency expenses. Many Federal agencies allow pre-award costs up to 90 days prior to the start date of a grant. If pre-award costs are required, the above procedures for verification will be followed and pre-award costs may be approved.

Subcontract/Subrecipient Agreement Award Development

The OSP has the overall responsibility for issuing and monitoring subcontracts/subrecipient agreements under sponsored project awards. The OSP will maintain documentation relative to subcontract/subrecipient agreement placement and any modification thereof. The accounting and payment function is performed by the Office of Contract and Grant Accounting.

OSP will negotiate all subcontracts and subrecipient agreements in accordance with standard business practices and, as appropriate, the Federal

Acquisition Regulation and/or OMB Circulars A-21, A-110, and A-133, and the negotiation shall be documented in a negotiation memorandum to the subcontract/subrecipient file. These agreements will comply with all standard and special provisions of individual awards. After the subcontract/subrecipient agreement is fully executed and work has commenced, it is the responsibility of the principal investigator to: 1) review all invoices from the subcontractor/subrecipient to determine if the charges are appropriate; 2) prepare a voucher to make payment for all appropriate charges; 3) monitor the progress of the subcontractor/subrecipient and; 4) obtain all required deliverables from the subcontractor/subrecipient.

POST AWARD ISSUES

Extensions:

One of the most frequently asked questions from Principal Investigators or their assistants is what do I need to do in order to extend my project without additional funds. The answer to that question depends on the source of funding. The following should assist you in answering that question.

Federal Funds - If the award is from a Federal sponsor and the terms and conditions of the award are noted as Federal Demonstration Partnership (FDP), the University has the option of extending the project for a period up to 12 months without having to contact the sponsor for permission. The following sponsors usually issue FDP awards: National Science Foundation, National Institutes of Health, National Aeronautics and Space Administration, Department of Energy, Environmental Protection Agency (only if the extension will not cause the project period to exceed 5 years). If you want an extension on a project which qualifies under the above conditions, contact the Office of Sponsored Projects.

If the one-year extension has already been used, subsequent extension requests must be submitted through OSP. The request should be in writing and should provide a justification for the extension. The justification should relate to the completion of the scientific objectives not that funds are remaining. Requests for no cost extensions to NSF must be submitted through FastLane. Sponsor approved no cost extensions must be submitted prior to the expiration date of the grant. NSF requires that the request be submitted 45 days prior to expiration. Please note that these requests generally take one to two months to process and approve. Consider the processing time when deciding when to submit your request. Non-Federal Requests for extension should be submitted in writing and routed through OSP. The requests should include a programmatic justification for the extension. The University has no provision for extending these projects without sponsor approval. As with federal awards, these requests should be made prior to the expiration date and with ample lead-time. A three-month lead time is suggested in order to have an approved extension prior to the original expiration date.

Budget Changes:

If you want to revise your budget and the sponsor guidelines do not allow for

it, you will need to request your revisions in writing. The request must be processed through OSP. If budget revisions are allowed, simply email your assigned Specialist in OSP.

Supplemental Funds Requests:

Requests for additional funding on an existing project are processed as proposals through OSP. You will need the following items: 1) Proposal Certification Form; 2) budget; 3) statement of work for the additional effort; and 4) updated certification for all compliance issues if necessary.

Change of Principal Investigator:

If a change of principal investigator is required on a project, a letter must be sent to the sponsor. The letter should be endorsed by the current PI, the proposed PI, and OSP. The letter should outline the qualifications of the new PI.

Leave of Absence:

If you plan to be away from the University and you have a sponsored project, you will need to notify your sponsor in writing of your absence. Your letter will need to address how you plan to maintain oversight of your project during your absence. This letter needs to be signed by OSP.

I'm leaving. How do I take my grant with me?

Transferring a grant to another institution is a complicated process and requires proper timing to allow for the transfer and to allow for start-up at the new institution. Some sponsors have specific forms which must be completed to obtain a transfer. Other sponsors have no formal guidelines for transfers. There are general procedures that need to be followed here to prepare for a transfer. Please note the following steps in preparing for a grant transfer:

- Select an arbitrary expiration date for your project
- In order to relinquish the project, the Office of Contract and Grant Accounting must be able to determine the residual funds remaining after all obligations have cleared. It takes at least 30 days after the expiration date to obtain this information.
- If you purchased equipment and want to take this equipment with you when you move, you must obtain approval from your Chair, Dean, and the OSP. You will need to submit non-competing continuations for the next year's funds through your new institution. Grants from the National Institutes of Health require the completion of an NIH Relinquishing Interests Form.
- Grants from NSF require completion of an NSF Grant Transfer Form. Once the grant has been relinquished, the sponsor will re-award the grant to the new institution.