OFFICIAL

Policy and Procedure Statement 5.01
Contracts and Grants of
Review Cycle: Oct 1, ONY
an Academic Nature
Review Date: October 1, 2015
(42 paragraphs)
Associate Vice President for Research
and Sponsored Programs

PURPOSE

1. The following information establishes criteria and procedures for development and submission of contract and grant proposals of an academic nature. This includes proposals submitted to State, Federal and private agencies. For purposes of this policy, Please note the following: Office of Sponsored Programs (OSP); Associate Vice President for Research (AVPR); UA – University Advancement and the Development Foundation.

2. The Principal Investigator (PI), who may also be the Project Director, bears the primary responsibility for the accuracy of all the material in the proposal and for compliance with all applicable regulations including those found in UPPS 02.02.01.

3. The PI is responsible for informing the department chair/school director and dean of intention to submit and of proposal content.

4. The PI is responsible for the completion of the grant or contract proposal application according to the specifications in the application guidelines and within the University’s proposal management system.

5. The PI checks all financial data with the OSP prior to the submission of the grant or contract proposal through the University’s internal approval process.

6. The PI ensures that the proposal meets all compliance requirements (Institutional Animal Care and Use Committee (IACUC), Institutional Review Board (IRB), Bio-Safety and others as applicable) complies with the Affirmative Action regulations, if applicable, significant financial interest disclosures as found in UPPS 02.02.07 Researcher Conflicts of Interest in Research and Sponsored Program Activities and UPPS 02.02.08 Conflicts of Commitment in Research and Sponsored Program Activities; and meets any other regulations which might apply, such as export controls and rules mandated by the Office of Safety and Health Administration, State Department, etc.

7. The PI ensures that the proposal itself represents the highest quality in purpose, scope, and plan of operation and reflects credit upon all departments involved.

8. At least two weeks ahead of the submission deadline, the PI notifies OSP if the proposal will be sent to a private source or foundation to ensure coordination of efforts. OSP is responsible for managing the foundation submission clearance.
process with UA. These prior approvals require extra time and as such, the PI should plan accordingly.

9. The PI ensures that a single proposal is not submitted to several funding sources simultaneously without prior notification to OSP and all funders.

10. The PI informs OSP if the targeted funding program allows only a limited number of submissions from the university. If multiple proposals are targeted at a program to which the university submissions are limited, it is the responsibility of the AVPR to implement an internal review process to recommend the proposal(s) for submission to the program as noted in AA PPS 5.14 Limited Submissions for Certain Sponsored Programs.

11. The PI keeps department chairs/school directors up to date on expenditures, and clears with him/her all hiring of staff (student or otherwise).

**RESPONSIBILITIES OF THE DEPARTMENT CHAIR/SCHOOL DIRECTOR**

12. The department chair/school director or a named designee checks the proposal for accuracy of content.

13. The chair/director or a named designee verifies that the proposal purpose, scope, and plan of operation represent the best interests of the department.

14. The chair/director or a named designee verifies that the proposal itself is of high quality and reflects credit on the department/school and its members.

15. The chair/director or a named designee verifies that he/she approves of all requests for released time, equipment purchases, information technology support, funds for clerical assistance, use of facilities, proposed cost sharing, and expenditures for travel.

16. The chair/director or a named designee verifies that any request(s) for additional staff lines has been discussed with the appropriate authority.

17. The chair/director or a named designee checks expenditures of funded grants and/or contracts on a periodic basis and, when student assistants are hired, ensures that the regulations regarding nepotism (UPPS 04.04.07, Nepotism and Related Employment) are followed both literally and in the spirit of the rules.

18. Upon approval, the proposal is forwarded to the school dean.

**RESPONSIBILITIES OF THE DEAN OF THE COLLEGE**

19. The dean or a named designee reviews each proposal, paying particular attention to commitments incurred and to the quality of the document.
20. The dean or a named designee verifies that the proposal represents the best interests of the college.

21. The dean or a named designee verifies the proposal is of the highest quality and reflects credit on the college and its faculty.

22. The dean or a named designee verifies that he/she approves of all requests for released time, equipment purchases, information technology support, funds for clerical assistance, use of facilities, and expenditures for travel and other uses of University resources such as proposed cost sharing.

23. The dean or a named designee verifies that any request(s) for additional staff lines has his/her full approval.

24. The dean or a named designee approves and forwards proposals of quality and returns all others to the chair/director for subsequent discussion and possible rewriting with the principal investigator.

25. The dean or a named designee answers questions concerning programmatic commitments.

26. Upon approval, the proposal is forwarded to OSP.

**RESPONSIBILITIES OF THE OFFICE OF SPONSORED PROGRAMS (OSP)**

27. OSP reviews each proposal submitted for completeness and accuracy to the best of its ability.

28. OSP may return the proposal if there are any questions regarding the quality of the proposal and/or with factual accuracy.

29. Upon approval by the required parties, the proposal is submitted for consideration to the potential sponsor.

30. OSP offers technical assistance in proposal development for all sponsored program funding requests.

**RESPONSIBILITIES OF UNIVERSITY ADVANCEMENT (UA)**

31. UA reviews each proposal requesting non-deliverable grants (gifts) from corporations, foundations, and the private sector and pays particular attention to all institutional commitments incurred and to the technical quality of the document.

32. UA will notify OSP in writing of the approval to submit.
SPONSORED PROGRAM PROPOSAL ROUTING

33. Requests for approval of proposals and applications for contracts and grants of an academic nature must be made by utilizing the University’s proposal management system (system). The system will route electronically the proposals to be approved to all appropriate parties which include the following (not in order):

   a. Department chair/School director
   b. Dean of the academic college
   c. OSP
   d. IRB committee
   e. IACUC committee
   f. Graduate College
   g. Center Directors
   h. Vice President Institutional Technology or designee
   i. AVP-Research
   j. University Attorney or designee
   k. Director of Risk Management or designee
   l. Director of Physical Plant or designee
   m. Vice President for Student Affairs or designee
   n. Vice President for University Advancement or designee
   o. Vice President for Finance and Support Services or designee
   p. Others as needed

   An e-mail notification will be sent to the individuals who are required to approve. Please note: Not all individuals above will see all proposals.

34. The following calendar should be adhered to as closely as possible:

   Activity and Suggested Timelines for Internal Routing Approval
   a. Submit complete proposal(s) to chair/director 5 days before mailing
   b. Processing by Chair/Director – up to 1 day
   c. Processing by Dean – up to 1 day
   d. Processing by others in approval process – up to 2 days
   e. Processing by OSP –3 days

THE OFFICE OF RESEARCH DEVELOPMENT

35. The Office of Research Development assists with the identification of state and federal funding; collaborations and other areas of pre-proposal support.

FISCAL APPROVAL

36. The Associate Vice President for Research or a named designee is responsible for certifying that the proposal is within institutional, state, and federal financial guidelines.
LIAISON FUNCTIONS FOR RESEARCH

38. The Director of Sponsored Programs is responsible for liaising with all state, federal, and private sector funding services regarding all aspects of sponsored programs.

39. University Advancement is responsible for liaison with all corporations, foundations, and private sector funding sources as regards all aspects of gifts.

40. OSP and the Associate Vice President for Research will continually assess the advantages associated with the University’s membership in research-related agencies and organizations and annually will recommend initiation, renewal, or termination of such membership.

ANALYSIS AND REPORTING

41. OSP will furnish the Associate Vice President for Research with a report about funded grant expenditures annually. The report will consist of data gathered to complete the annual National Science Foundation and The Higher Education Coordinating Board research reports. Other reports will be available on an as needed basis.

CERTIFICATION STATEMENT

42. This PPS has been approved by the reviewer listed below and represents Texas State’s Division of Academic Affairs policy and procedure from the date of this document until superseded.

Review Cycle: ______________________ Review Date: ______________________

Reviewer: ________________________ Date: _____________________________

Approved: ________________________ Date: _____________________________

Gene Bourgeois
Provost and Vice President for Academic Affairs

Texas State University
Last Updated: July 9, 2014
Send comments and questions to: tg12@txstate.edu