



Policy Chapter: Chapter 13 Research and Innovation

Policy Number and Title: 13.008 Sponsored Project Proposals

I. Policy Statement

In submitting a sponsored project proposal, UNT 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. In addition, this policy covers proposals for projects performed off campus, including but not limited to those performed at affiliated institutions.

II. Application of Policy

Faculty and Staff Engaged in Sponsored Project Activities

III. Policy Definitions

A. Award

“Award,” in this policy, means a grant, contract, subcontract, sub-grant or cooperative agreement that provides funding from an external sponsor of a sponsored project and is entered into between the sponsor and UNT.

B. Instruction Project

“Instruction Project,” in this policy, 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.

C. Principal Investigator

“Principal Investigator” and “PI,” in this policy, mean 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.

D. Public Service Project

“Public Service Project,” in this policy, means any project involving activities other than instruction or research such as public health and community service programs.

E. Research Project

“Research Project,” in this policy, 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.

F. Sponsor

“Sponsor,” in this policy, means any external entity that provides funding to UNT for sponsored projects. Sponsors may be (i) governmental agencies (for example, federal, state, or local governments or their administrative organizations); (ii) nonprofit organizations (for example, universities, nonprofit corporations, foundations, or associations); (iii) for profit organizations (for example, corporations, partnerships, sole proprietorships, and other business entities); or (iv) individuals. Governmental, nonprofit, and for-profit sponsors are sometimes referred to by themselves and others as “agencies”.

G. Sponsored Project

“Sponsored Project,” in this policy, means a project funded by an external sponsor through an award with UNT, 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):

1. Financial Obligation

UNT 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.

2. Regulatory Obligation

UNT is required to comply with sponsor regulations, which may include federal or state regulations.

3. Reporting Obligation

UNT is required to provide to the sponsor technical performance reports or regulatory or administrative reports that require information beyond stewardship reporting.

4. Performance Obligation

UNT is required to perform within a certain period and may be required to meet other specified requirements related to performance.

5. Accounting Obligation

UNT 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.

IV. Policy Responsibilities

A. Grants and Contracts Administration Role

Grants and Contracts Administration is the administrative office responsible for reviewing and submitting proposals to external sponsors on behalf of UNT.

B. Grants and Contracts Administration Support

With the support of Grants and Contracts Administration, faculty and staff members interested in engaging in sponsored project activities are responsible for seeking out and identifying funding opportunities from external sponsors. Grants and Contracts Administration is responsible to assist in 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.

C. Verification of Eligibility

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 requirements and must comply with procedures for confirming PI eligibility in accordance with the Principal Investigator (PI) Handbook.

D. PI Qualifications

Persons eligible to be PI shall hold the title of professors, associate professors, assistant professors, or be eligible as specified in the PI Handbook, unless an exception has been requested and granted in accordance with procedures in the PI Handbook.

E. Notification Requirement

Faculty and staff members must notify Grants and Contracts Administration of their intent to pursue a funding opportunity.

F. Proposal Preparation

With the support of Grants and Contracts Administration, the PI is responsible for preparing the proposal. Proposals must be prepared in accordance with sponsor guidelines and applicable proposal deadlines of the department, college and Grants and Contracts Administration. Grants and Contracts Administration shall provide support services and guidance regarding the development of a proposal submission.

G. Use of System of Record

The PI must complete and certify a proposal record in Cayuse SP, or other UNT system of record for electronic proposal routing and upload the budget form and any other proposal or administrative forms required by Grants and Contracts Administration. Examples of other forms that may be required are the pre-award cost-sharing form and sub-recipient forms.

H. Review & Approve of Proposals Prior to Submission

As an applicant organization, UNT has an institutional responsibility to review and approve a proposal before submission to an external sponsor. The PI, Department Head, Dean and Grants and Contracts Administration 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. In accordance with the Principal Investigator (PI) Handbook, responsibility

is also shared 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, and for determining that UNT is able to comply with its obligations as set forth in the proposal. Conflicts of interest related to the proposal must be disclosed by the Principal Investigator and other project personnel in accordance with applicable institutional policies. Proposal related approvals and certifications attest to adherence to responsibilities for oversight.

I. Final Submission of Proposals

The Director of Grants and Contracts Administration or his/her designee shall submit the final proposal to the external sponsor and sign as the authorized organizational representative for UNT after approvals and certifications in accordance with the Principal Investigator (PI) Handbook have been completed. In so doing, the Director or his/her designee on behalf of UNT is accepting the obligations and compliance requirements imposed by federal and state regulations and certifying that UNT will comply with all assurances, commitments, and certifications included as part of the proposal in the event of an award.

V. Resources/Forms/Tools

Grants and Contracts Administration Website
 Grants and Contracts Administration Forms
 Principal Investigator (PI) Handbook

VI. References and Cross-References

[UNT Policy 13.002, Award Management of Sponsored Project](#)
[UNT Policy 13.005, Conflict of Interest for Sponsored Projects](#)
[UNT Policy 13.007, Sponsored Projects](#)
[UNT Policy 13.010, Export Controls](#)

VII. Revision History

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