

OFFICE OF GRANT & CONTRACT (OGCS) SERVICES

POLICY ON THE REQUIREMENTS TO SUBMIT PROPOSALS FOR GRANTS AND CONTRACTS  
THROUGH THE UNIVERSITY

EFFECTIVE DATE OF POLICY/PROCEDURE: September 1, 1998

REVIEW DATE: September 16, 2011

DEPARTMENTAL DIRECTOR APPROVAL AND DATE: \_\_\_\_\_

VICE PRESIDENT FOR RESEARCH APPROVAL AND DATE: \_\_\_\_\_

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The University of Texas at Arlington (UTA) encourages faculty members, individually or in groups, to seek outside support for research, training and public service that will contribute to new knowledge. However, facilities, equipment, or other resources of a UT System component institution may not be utilized in the performance of a contract or grant that is not administered and controlled by the component institution (Board of Regents Rules and Regulations, Chapter III, Section 31). It is the policy of The University of Texas at Arlington that all employees proposing the use of UTA resources must first submit their grant/contract proposals for extramural support through the Office of Grant and Contract Services (OGCS) prior to submission to an outside agency for review and approval. Extramural awards made to The University of Texas at Arlington specifying future performance conditions and utilizing university resources must be coordinated through the OGCS office and signed by a UTA institutional signature authority. Proposals for gifts/donations and awards made to The University of Texas at Arlington without any future conditions/requirements will be handled through the UTA Development Office in accordance with their procedures.

This requirement is necessary to ensure that all research and other externally funded projects conducted by University employees, or with the use of University resources or facilities comply with relevant federal, state, UT System and University policies, including but not limited to the following:

- Appropriateness of the activity to the University
- Conflicts of interest
- Integrity in Research (Research Fraud/Misconduct Policy)
- Liability, insurance and indemnification issues
- Intellectual Property
- IRS regulations
- Personnel policies including equal opportunity, nondiscrimination, and proper compensation for employees
- Proper reporting of research activity to various federal agencies, the Board of Regents and the state legislature
- Protection of human subjects, animals, and the environment
- Publication rights
- Recovery of direct and indirect (F&A) costs
- Software and copyright issues
- Use of state equipment and facilities
- All other conditions specified in the award document.

To actively encourage research development and networking, the above policy does not apply to letters of intent, concept papers or “white papers” used to facilitate the development of a proposal. However, Principal Investigator’s are asked to send a copy to assist OGCS so that they can begin preparations for the formal submission. Pre-proposals and letters of intent must be routed through OGCS prior to submission if they require institutional approval or contain a detailed budget. Please review carefully the agency/organization's guidelines. In every event, OGCS should always be contacted at the point in time when the funding agency requests a formal, official proposal with a commitment of resources from the University.

In the case of projects to be conducted by the University in collaboration with other universities or organizations, the University can either be the prime contractor, subcontractor, or joint collaborator. However, in all cases, the resources required for the University portion of work will be clearly identified, coordinated with OGCS prior to submission, and included in the award to the University.

Researchers should plan on a minimum of five working days for OGCS to process the proposal. This excludes the time PIs will need to coordinate the proposal's approval with his or hers Chair and Dean. Proposals not submitted five days in advance to OGCS are always accepted but cannot always receive a quality control check due to the limited processing time. Additionally, despite the use of overnight courier service, electronic submission or other means of submission, proposals not submitted five days in advance sometimes do not make the required deadlines. Incorrect or incomplete proposals sent to the funding agency reflect on the creditability of the researcher and university, cause further delays in review and processing. The University reserves the right to withdraw, attempt to modify, or decline awards that were not given to OGCS prior to the five day deadline and as a result do not conform to policy, procedures or guidelines.

Questions concerning this policy should be directed to the Office of Grant and Contract Services (ext. 2105) for clarification.