

PROPOSAL PROCESSING

Eligibility to Submit a Proposal

The University of Texas at Tyler takes on considerable financial and legal obligations when it submits proposals and accepts awards for research and sponsored programs from external sponsors. Awards to support sponsored projects are granted on the basis of the professional expertise of the PI or PD submitting the proposal, however, the actual award is made to The University of Texas at Tyler. When accepted, The University of Texas at Tyler assumes the responsibility for administering the award according to the regulations of the sponsor, the University, the UT System, and the State of Texas. Thus, shared responsibility is created between the PI or PD and The University of Texas at Tyler in accepting funds and implementing the program for which the funds were awarded, while The University of Texas at Tyler assumes the general oversight and authority for the award. Therefore, The University of Texas at Tyler must ensure that personnel submitting proposals for external funding on its behalf have the required competence and capability to conduct the research or sponsored project.

Personnel eligible to submit proposals and act as PIs or PDs include tenured and non-tenured Full, Associate, and Assistant Professors. Other university staff and faculty (e.g., Professors Emeritus, Visiting Professors, or Research Faculty) must be approved by the appropriate Dean, Associate Vice President for Research, and the Provost and Vice President for Academic Affairs, when appropriate. This is due to the responsibility PIs must maintain regarding the intellectual direction of the research and for the training of undergraduate and graduate students. Two additional exceptions are permitted to this policy.

1. Written approval for someone other than faculty or academic staff to act as a PI or PD must be obtained by the relevant Dean and Associate Vice President for Research, both of whom have oversight responsibility of the potential PI or PD. Projects that will be considered under this exception include:
 - Short conferences, exhibits, workshops, or public events of a nature appropriate to the University;
 - Training projects (either student and/or faculty);
 - Specific projects that are interdisciplinary;
 - When no member of The University of Texas at Tyler associated with the project is qualified to take responsibility for the direction of the research or program, when more than one faculty member is involved, when expertise in more than one discipline or technical area is required, when no incremental space is required for the project, or when the expected duration of the project is beyond the involvement of any faculty participant; or
 - Projects related to career development awards that will advance the individual's career, carried out under the mentorship of an established principal investigator, and conducted within the overall intellectual scope and laboratory space of the faculty advisor.
2. Approval for specific projects with a specific project period, such as proposals submitted by visiting faculty or scholars, or research faculty, special cases of sponsored instruction, and situations where a faculty member investigator ceases to

be available and it is necessary for a faculty member to oversee an orderly phase-out of a project.

Note: At times, a sponsor may have restrictions on who may serve as a Principal Investigator on a particular project or program. When this occurs, the sponsor's requirements will take precedence over the policy set by The University of Texas at Tyler for that project.

Responsibilities of the PI

The ultimate responsibility of conducting a funded research, service, or sponsored project rests with the PI or PD including, but not limited to:

- technical and fiscal responsibilities of a sponsored project;
- accountability for safety and compliance as stipulated by the funding agency and The University of Texas at Tyler;
- accountability with all policies and regulations related to the use of human subjects in research and/or service projects; and
- adherence to all policies and regulations related to the use of laboratory animals;
- adherence to all policies and regulations related to the use of biohazards and radiation; and
- timely completion of the Time and Effort Report

All procedures and policies described are the responsibility of the PI or PD unless otherwise indicated.

Note:

The PI or PD on large-scale projects can delegate responsibility for particular aspects of the project to other project members (faculty or non-faculty) if approved by the sponsoring agency.

Reviewing and Submitting Proposals

Once a funding source is determined, a Pre-Proposal Notification Form should be completed and submitted to the OSR. This form will provide information to personnel in the OSR that is necessary for them to prepare to receive and process an upcoming proposal. In addition, this form will allow the OSR staff to ensure that The University of Texas at Tyler is able to commit to the financial obligation and intent of the funding source. Along with the Pre-Proposal Notification Form, a copy of the grant or sponsored project announcement and the application itself should also be submitted. This form is provided under "Forms" on the OSR website.

Once the proposal is written and ready to be submitted, a Proposal Approval Form should be completed and submitted to the OSR along with the proposal. These two items should be submitted no later than one week before the proposal is due. In addition, if the proposal is submitted to the OSR within approximately three weeks before the due date, the OSR will fund a pre-review of the proposal from an external source cognizant in the specialty area of the proposal. This pre-review will provide the PI with a valuable critique of the proposal before it is submitted and with enough time for the PI to make requisite changes in order to make the proposal more competitive.

UT Tyler Research Policies and Procedures - Proposal Processing

The Proposal Approval Form must be completed in full and signed by the appropriate Department Chair and Dean. Personnel in the OSR will then obtain all further approval signatures and will contact the PI when the proposal has been processed. At this point the OSR will submit the proposal on behalf of the PI. A copy of the Proposal Approval Form is provided under "Forms" on the OSR website.

When and if the OSR receives notification that a proposal has or has not been awarded, the PI will be notified. Should the PI be notified instead of the OSR, the PI must send a copy of the award notice to the OSR so that the appropriate accounts can be set up and the award can be processed.