Texas Woman's University
University Regulation and Procedure

Regulation and Procedure Name:	**Proposal Submission**
Regulation and Procedure Number:	**URP: 02.445**
Policy Owner:	**Academic Affairs**

POLICY STATEMENT

Texas Woman's University ("TWU" or "University") is committed to the collaborations of faculty members and researchers with external funding agencies while providing responsible stewardship of University commitments and resources. Such collaborations stimulate scientific discovery and support educational and training activities that improve the lives of TWU students and the university community. This policy outlines requirements for submission of funding proposals to external sources to facilitate compliance, tracking, and management of proposals submitted by the University.

APPLICABILITY

This policy is applicable to TWU Faculty, Staff, and Students.

DEFINITIONS

1. "Employee" means an individual who is employed part-time, full-time, or in a temporary capacity as faculty, staff, or who is required to be a student as a condition of employment, undergraduate or graduate.

2. "Faculty" means a person who is employed by TWU as a member of the faculty and whose duties include teaching, research, service, and administration. Professional librarians and graduate assistant titles are excluded from the definition of faculty.

3. "Principal Investigator ("PI")" means the person in charge of a sponsored project. The PI has primary spending authority and primary responsibility to fulfill the technical, scientific, fiscal, administrative, and reporting obligations required by the funding agency.

4. "Staff" means each classified, administrative, and professional employee who is appointed to work at least 20 hours each week for a period of four

and one-half months, excluding students employed in positions for which student status is required as a condition of employment and those employees holding teaching or research positions classified as faculty.

5. “Student” means a person taking courses at TWU, a person who is not currently enrolled in courses but who has a continuing academic relationship with TWU, or a person who has been admitted or readmitted to TWU.

REGULATION AND PROCEDURE

I. General Information

A. All proposals for funding to external agencies will be submitted through the Office of Research and Sponsored Programs (“ORSP”) if they include one or more of the following elements:

1. Governmental source (city, state, or federal);

2. Research;

3. Indirect (facilities and administrative) costs;

4. Peer review requirements;

5. Contracts or subrecipients; and/or

6. Specific reporting requirements.

B. Proposals for private funding that do not include the above elements are typically submitted through University Advancement. ORSP can help determine through which of the two offices a proposal should be processed.

II. Proposal Preparation

A. Adequate time for review allows TWU officials to understand the proposal and thoughtfully consider the ability of the University to participate in the program. The timely submission of proposals for review allows for the identification of any elements of a proposal that are at variance with TWU policy, practice, or priorities.

B. The complete and final proposal, accompanied by any other attachments or approvals required by either the sponsor or the University, must be received by ORSP prior to the due date and in time to process the proposal.

III. Principal Investigator

A. The PI must be a regular salaried TWU employee at the time of proposal submission and at the time of award and is generally a full-time faculty member. A request for exception to this requirement must be made to the Vice Provost for Research, Innovation, and Corporate Engagement ("VPRICE"). A student may serve as PI on a project with a faculty advisor as Co-PI. Any proposal from a student requires a faculty Co-Investigator, with the faculty member maintaining fiscal responsibility for the grant.

B. PIs are expected to work with the ORSP early in the proposal development process to ensure that guidelines are followed, regulatory approvals are initiated, internal commitments are obtained, and appropriate budgets are developed.

C. PIs are responsible for:

1. Adhering to the proposal timeline;

2. Engaging ORSP and departmental administrators as early in the process as possible;

3. Preparing proposal narrative in sufficient detail and sufficiently in advance to allow adequate review; and

4. Collaborating with departmental administrators (e.g., chair, director, associate dean, dean) and ORSP in the development of project budgets and administrative elements of proposals such as course release, cost share, compliance, co-investigator(s), and collaborator commitments.

D. Grants awarded are the property of TWU. In the event that a PI leaves the employment of the University, TWU has the option to retain the grant. Any decision regarding the disposition of an active grant is based on the wishes of the sponsor and the University's ability to provide a qualified replacement for the PI.

IV. Administrative Requirements/Approvals

A. All proposals must be signed by a TWU authorized official (vice president) or designee prior to submission. Proposals must also be signed by the component administrator, the dean, and the VPRICE or their designee prior to submission to the vice president and the sponsoring agency. Projects

containing technology support may require review by the Office of IT Solutions. Projects containing special space requirements may require review by Facilities Management. Projects requiring special financial requirements require review by the Office of Finance and Administration.

B. The signatures of the component administrator and the dean signify approval of the proposal and agreement to the following:

    1. Financial commitments in the proposal are appropriate and available.

    2. Faculty and staff commitments are compatible with departmental workloads.

    3. Space and specialized equipment required for the project will be available and adequate for the proposed activity.

V. Office of Research and Sponsored Programs

A. Staff in ORSP work closely with PIs in preparation of proposals, analyze the responsiveness of the proposal to the requirements of the sponsor's announcement including the adequacy of budgets and budget justifications, compile required University documents/attachments, obtain the authorized official's signature, and submit proposals.

B. Engagement of ORSP staff allows TWU investigators to submit proposals of the highest quality and with the highest probability of success. ORSP professionals review proposals for the following:

    1. Compliance with all regulatory requirements;

    2. Accuracy and reasonableness of the proposed budget; and

    3. TWU's capacity to complete the project as proposed.

REVIEW

This policy will remain in effect and published until it is reviewed, updated, or archived. This policy is to be reviewed once every six years. Interim review may be required as a result of updates to federal and state law or regulations, Board of Regents policies, or internal processes or procedures.

REFERENCES

None

FORMS AND TOOLS

None

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