UNT Dallas Grants Management Guidelines

These guidelines are intended to identify the respective roles and responsibilities at UNT Dallas with regard to externally sponsored projects. The guidelines apply to both public and private grants, unless otherwise noted. They are intended to serve as an overview and are not intended to replace process and procedure documents, which may exist in each of the responsible areas.

UNT Dallas grants management is decentralized. Those involved in managing grants and their general duties are as follows:

**UNT Office of Research and Economic Development (ORED) or ORS**- Responsible for overall grants management, compliance, and reporting, both pre and post award. This responsibility is defined through an intra-system agreement between the two institutions. See Appendix 1, which describes the grant proposal process at UNT.

**UNT Dallas Office of the Associate Provost for Academic Excellence** - Responsible for coordinating research, grants, and contracts activities with UNT under the intra-system agreement and aiding all faculty and staff at the university in the pursuit of grants. This office is the clearinghouse for grants at UNT Dallas and should be informed of all grant related activities. It also will be a liaison with the UNT Dallas Office of University Advancement and the UNT Dallas Foundation on grants from public and private foundations and with Academic Excellence and Student Success in promoting and facilitating the development of the university’s agenda in research, grants, and contracts, graduate programs, economic development and public engagement.

**UNT Dallas Principal Investigator (PI) and Project ID owner**- Responsible for achieving the grant objectives, complying with all research policies, managing the funds according to sponsor, state, federal, and UNT Dallas guidelines. In carrying out these duties the PI will rely on support from UNT ORED and UNT Dallas Accounting.

**UNT Dallas Accounting**- Responsible for supporting and advising the PI on financial matters and serving as the official point of contact to UNT ORED including general ledger accounting, project ID set up, establishing indirect cost rates, and other accounting and administrative matters.

**UNT Dallas University Advancement**- Responsible for supporting the PI in the communications role when submitting proposals to public and private foundations and facilitating communication to the UNT Dallas Foundation, as required.

Grants are to be managed in accordance with the policies in Chapter 13 and Chapter 16 of the UNT Policy Manual. (http://dallas.unt.edu/offices-and-people/departments-and-services/human-resources/university-policy-handbook)

UNT Dallas Policy 13.001 Use of Human Subjects in Research

UNT Dallas Policy 13.002 Care and Use of Animals in Research
UNT Dallas Policy 13.003 Export Controls
UNT Dallas Policy 13.004 Research Conflict of Interest
UNT Dallas Policy 13.005 Research Misconduct
UNT Dallas Policy 13.006 Sponsored Projects
UNT Policy 16.12.3.7 Sponsored Projects;
UNT Policy 16.12.3.8 Proposal Submission to External Sponsors;
UNT Policy 16.12.3.9 Grants and Contracts Related to Sponsored Projects;
UNT Policy 16.12.3.10 Award Management of Sponsored Projects; and,
UNT Policy 16.12.3.11 Recovery and Distribution of Facilities and Administration Funds

The PI is responsible for informing all parties of proposal submissions and awards. Further, the PI is expected to have knowledge of, and ensure compliance with, all UNT Dallas policies and related processes and procedures. For awards, the PI (and Co-PIs, if applicable) must complete mandatory training from UNT ORED before being assigned a project ID and assuming grant awards management responsibilities. Similarly, personnel on staff with the UNT Dallas Office of Finance and Administration and the Office of University Advancement who have responsibility working with PIs on grants should complete mandatory training from UNT ORED. Likewise, all new university personnel who will work with PIs on grants will be required to complete this training prior to assuming this role. Vice Presidents will be responsible for ensuring that all applicable team members involved with grants are adequately trained. This will enable all involved with research, grants and contracts at UNT Dallas to have the necessary knowledge for grants compliance.
Appendix 1  GRANT PROPOSAL PROCESS AT UNT

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Footnotes:

1. In some cases, the program to which a PI intends to apply is a “limited submission” that restricts the number of UNT applications. In such cases, José Grimaldo will advise the PI how to compete within UNT for one of the limited slots.

2. If cost-sharing (matching) is required or planned, the PI must discuss such needs with the Chair and Dean as far in advance as possible during development of the proposal. If the research involves compliance areas (human subjects, animal use, lasers, bio-hazards, etc.), work with the GO as early as possible to determine required steps.
Appendix 2 PROCEDURE FOR EXECUTING RESEARCH RELATED CONTRACT DOCUMENTS

The following process outline is a guide for executing research-related contracts.

Purpose: To establish a contract signature procedure to use when a UNTD contract is received by the Office of Research Services (ORS) at UNT.

Procedure: Upon receipt of a contract from a UNTD sponsor, ORS will process the contract in the same manner as UNT contracts as follows:

CONTRACT PREPARATION

• ORS is the official business liaison to external sponsors and will handle all negotiations with the Sponsor.
  ▪ A final contract document will be prepared for signature.
• ORS will provide updates through execution to the Principal Investigator (PI) regarding the status of the agreement.
• An Office of General Counsel (OGC) routing form will be prepared and signed by the Senior Contracts Manager documenting the level of legal review required according to the document entitled “Criteria for Exemption from Legal Review” which can be found at the following link:
  ▪ [http://untsystem.edu/generalcounsel/pdf/Contracts%20Exempt%20from%20Legal%20Review.PDF](http://untsystem.edu/generalcounsel/pdf/Contracts%20Exempt%20from%20Legal%20Review.PDF)
• When a legal review is required, ORS will complete the negotiation process with the sponsor and then send the contract to OGC for review and signature. OGC will return the contract to ORS for execution.

SIGNATURE PROCESSING

• ORS will forward fully negotiated and processed contracts to UNT Dallas for signature.
• Signature authority designated and delegated pursuant to UNT System Regents Rule 03.900 will be followed.
• The transmittal will be electronic by e-mail and will include the following information/attachments:
  ▪ A statement describing the contract to be signed.
  ▪ A statement showing that the contract has been prepared by ORS in accordance with ORS guidelines.
  ▪ A copy of the contract for execution.
  ▪ A statement advising whether the executed contract should be returned to ORS via email, or alternatively, that the contract with original signature should be returned to ORS.
  ▪ A copy of the OGC Review form.
  ▪ The transmittal message sent to the signatory and copied to all parties identified to be recipients/coordinators for UNT Dallas.
  ▪ Upon signature, the contract will be returned to ORS for execution in the same manner as UNT contracts.
Appendix 3 GRANTS MANAGEMENT TRAINING OVERVIEW

Purpose: To provide grant management training and guidance to PIs responsible for externally sponsored projects.

Procedure: Upon receipt of an award notice or executed contract, and prior to receiving a project ID, ORS will schedule one-on-one training session conducted by the ORED staff for the PI. Co-PIs or other key personnel related to the grant must attend the training along with the PI, if they have not previously attended training.

Sample Training Agenda

<table>
<thead>
<tr>
<th>Time</th>
<th>Activity</th>
</tr>
</thead>
<tbody>
<tr>
<td>8:00-9:00</td>
<td>Travel to UNT campus in Denton</td>
</tr>
<tr>
<td>9:00-10:00</td>
<td>General Business Practices and Concepts for Sponsored Projects</td>
</tr>
<tr>
<td></td>
<td>Britt Krhovjak, Assistant Director for Research Accounting</td>
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<tr>
<td>10:00-10:15</td>
<td>Break</td>
</tr>
<tr>
<td>10:15-11:45</td>
<td>Getting Started</td>
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<tr>
<td></td>
<td>Grant Administrator</td>
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<tr>
<td>11:45-1:00</td>
<td>Lunch</td>
</tr>
<tr>
<td>1:00-1:45</td>
<td>Billing, Financial Reporting, Progress Reporting</td>
</tr>
<tr>
<td></td>
<td>Grant Accountant</td>
</tr>
<tr>
<td>1:45-2:30</td>
<td>Contracts</td>
</tr>
<tr>
<td></td>
<td>Barbara Lindley, Sr. Contract Manager</td>
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<tr>
<td>2:30-2:45</td>
<td>Break</td>
</tr>
<tr>
<td>2:45-4:00</td>
<td>Effort Reporting</td>
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<tr>
<td></td>
<td>Linda Velasquez, Cost Accounting Manager</td>
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<tr>
<td>4:00-5:00</td>
<td>Travel to Dallas</td>
</tr>
</tbody>
</table>