



University of Dallas Policy 7.2

GRANTS AND SPONSORED PROJECTS ADMINISTRATION POLICY

- 1.0 Purpose** – The University is committed to ensuring that external funding received in the form of grants or sponsored projects is subject to proper compliance review, administrative oversight and monitoring.
- 2.0 Scope** – Any activity in which the University will act as the fiscal agent, and will be liable in terms of accounting for expenditure of funds or use of property, on any project funded by an entity outside of the University of Dallas is subject to the requirements of this Policy, regardless of whether the project will be conducted by faculty, staff or students.
- 3. Definitions** – The following definitions apply for the purposes of interpreting this Policy.
 - 3.1 Principal Investigator (“PI”)** – The individual who has ultimate responsibility for the design, execution and management of a grant or sponsored project.
 - 3.2 Grant or Sponsored Project** – An externally funded activity that has a defined scope of work or set of objectives which provides a basis for sponsor expectations. A Grant or Sponsored Project generally involves a written agreement representing the voluntary transfer of funds or property by the sponsor in exchange for specifically enumerated performance of services, often including rights and access to results of this performance, and some formal financial and/or technical reporting as to the actual use of funds or property provided.
 - 3.3 Requests for Proposals (“RFP”)** – A solicitation document that formally invites submission of proposals for funding.
 - 3.4 Pre-Proposal Request** – University form prepared by the Principal Investigator to initiate Grants Team review of an application for a Grant or Sponsored Project.
- 4.0 Grants Team** – The University Provost and Vice President for University Advancement will appoint members to a Grants Team to ensure the pursuit of externally funded grants that are related to the mission of the University and are aligned with available resources to support implementation. The Grants team shall meet on an “as needed basis” at the call of the Grants Team.

- 4.1 Except as specifically excused in writing by the University Provost or the Vice President for University Advancement, all applications for Grants or Sponsored Projects, including those pursued in response to a Request for Proposal must be reviewed and approved by the Grants Team in accordance with this Policy prior to submission. Failure to secure approval through the Grants Team may result in the return of any awarded funds or property.
- 5.0 Pre-Proposal Processes** – A Principal Investigator with interest in pursuing a grant, sponsored project or response to an RFP must submit a Pre-Proposal Request to the Grants Team at least ten (10) working days prior to the established funding deadline.
- 5.1 **Prior Approvals** – A Pre-Proposal Request must be approved in advance by the Principal Investigator’s Division / Department Head, Academic Dean, and the University Provost. By their approval, each of these University officials affirm by their signature that: (1) the project and/or funds to be pursued align with the mission of the University and its policies, (2) the information submitted in support of the proposal is accurate and complete, (3) university resources (staff, equipment, infrastructure, renovations, cost-sharing, facilities, etc.) are available to support the Grant or Sponsored Project or will be available if the Grant or Sponsored Project is funded.
- 5.2 **Principal Investigator Certification** – In submitting a Pre-Proposal Request the PI certifies by their signature that: (1) the information submitted with the Pre-Proposal Request is true, complete and accurate to the best of the PI’s knowledge, (2) the PI understands that any fictitious or fraudulent statements or claims on an application for a Grant or Sponsored Project could subject the PI to criminal, civil or administrative penalties, (3) the PI will accept responsibility for the scientific conduct of the project within a drug-free, nondiscriminatory workplace, (4) that the PI will provide the required progress reports and meet all other requisite compliance obligations upon award.
- 5.3 Pre-Proposal Requests seeking federal funding must be submitted to the Grants Team on a timely basis through the University Controller and Preproposal Requests seeking non-federal funding must be submitted to the Grants Team on a timely basis through the Director of Foundation Relations.
- 5.4 Upon confirming alignment with mission, and available University resources to support the proposed Grant or Sponsored Project, the Grants Team will work with the PI to complete the application, develop a preliminary budget and establish a project timeline.

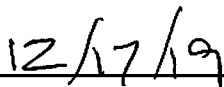
6.0 Responsibilities of a Principal Investigator – The Principal Investigator serves as the primary individual with responsibility for the preparation, conduct and administration of a Grant or Sponsored Project in compliance with applicable laws and regulations and institutional policy. Duties as set forth below may be delegated to others for administrative support; however, the PI remain ultimately responsible for all certifications. The fundamental responsibilities of the PI in the post-award phase of a Grant or Sponsored Project include:

- 6.1 Executing the project as outlined in the funded proposal, using sound management techniques,
- 6.2 Carrying out the project's financial plans as presented in the funded proposal, or making changes to the plan following prescribed policies and procedures,
- 6.3 Reporting on project progress as outlined in the terms of any award,
- 6.4 Maintaining accurate records of project related expenses including:
 - 6.4.1 Effort reports for salaries charged to grants,
 - 6.4.2 Project end certifications,
 - 6.4.3 Quarterly certification of expenses,
 - 6.4.4 Monthly review of transactions,
- 6.5 Complying with all applicable donor or sponsor rules, regulations and/or terms and conditions of the award,
- 6.6 Ensuring that any certifications are completed.

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| Principal Owner: | University Provost and Vice President for University Advancement |
| Adoption History: | Originally approved 11.25.19 |



Signed



Date