

## **Policy Title: Proposal Review and Approval Process: Extramural Grants**

This policy establishes a review and approval process for proposals submitted for extramural funding by School of Nursing faculty, students and staff.

### **Research Projects**

1. A faculty member planning a research project meets with the Associate Dean for Research and the appropriate department chairperson to discuss the proposed research for scientific direction, potential collaborations, and appropriate award mechanisms for application. Students and staff planning a research project should meet with their advisor or supervisor, as appropriate, to discuss the proposed research for scientific direction and appropriate award mechanisms for application.
2. The pre-award services in the Center for Nursing Research (CNR) are available after the research plan and funding mechanism have been determined. The pre-award staff assists the Principal Investigator (PI) in preparation of the budget, budget justification, biosketches, letters of support from collaborators and agencies, and required institutional forms; the CNR staff also acts as liaison with subcontracting agencies as appropriate.
3. Faculty, students and staff competing for award mechanisms with  $\geq$  \$100,000 annual direct costs submit their entire research application for mock peer review. Mock peer reviews are scheduled several times a year for scientific merit review. The CNR submits the application through the institution for approval after the PI and required signatories on the institutional review and approval form have approved the submission. (Please refer to page 5 of this policy for timeline for grant proposals requesting  $\geq$  \$100,000.)
4. Faculty, students and staff competing for award mechanisms with  $<$ \$100,000 annual direct costs are not required to have a mock peer review. The CNR submits the application through the institution for approval after the PI and required signatories on the institutional review and approval form have approved the submission. (Please refer to page 6 of this policy for timeline for grant proposals requesting  $<$ \$100,000)
5. The Associate Dean for Research is responsible for reviewing all research proposals being submitted for extramural funding for scientific merit. If the Associate Dean for Research determines that a proposal lacks sufficient merit for submission to a funding agency, the PI may request a second opinion from a secondary reviewer selected by the PI and approved by the Associate Dean for Research. The critique of the associate dean will remain confidential and will not be shared with the secondary reviewer. The secondary reviewer will submit a report of the review to the PI and the Associate Dean for Research who will then determine whether to approve the proposal. Copies of the proposal and critiques and documentation of the review process will be submitted to the Dean for a final decision if needed. (Please refer to Policy F8940: Time Frame for Receipt and Processing of Communications and Grant Applications Requiring Dean's Approval).

## Policy Title: Proposal Review and Approval Process: Extramural Grants

---

### Training and Service Projects

1. Faculty, students or staff submitting a training or service project proposal for extramural funding obtain approval for the project by the appropriate associate dean (e.g., academic affairs, practice, community affairs) and other signatories required by the institution of the complete application via the institutional review and approval form. A complete application consists of the proposal, detailed budget, budget justification, biosketches, letters of support, and completed agency forms as required. The Project Director (PD) is responsible for development of the proposal, identification of funding source, and identification of all collaborators. The PD also is responsible for obtaining agency guidelines and forms as appropriate and providing access to that information to the CNR. The pre-award staff in the CNR assists the PD in preparation of the budget, budget justification, biosketches and required institutional forms necessary for submission. The pre-award staff assists in obtaining letters of support from collaborators and acts as liaison with subcontracting agencies as appropriate. The CNR submits the application through the institution after the required review and approval signatories have approved the submission (*Please refer to page 7 of this policy for timeline for training and service grants*).

### General Institutional Agencies

The Office of Sponsored Projects (OSP) handles all applications for standing grant programs from government and private sources, and all contractual relationships, including all clinical studies. The Development Office handles all proposals for gifts or grants from individuals, corporate general headquarters, or foundations with non-standing grant programs. If a proposal is for equipment, scholarships, capital improvements, or endowments, formal approval and prioritization must first be obtained by completing the Development Office's project funding request form.

### Institutional Review Board (IRB) APPROVAL

#### Human Subjects

All applications, continuations, and change requests must be submitted to the Committee for the Protection of Human Subjects (CPHS) via the electronic system (e.g., iRIS). Depending on the funding mechanism, IRB approval is considered just-in-time information. Investigators should wait until proposals have received a fundable score to submit their CPHS applications. If a funding agency requires IRB approval prior to submission of an application, investigators must allow at least one month on their proposal submission timeline.

The CPHS approval process is as follows:

**General proposals submitted by faculty** - Approval via electronic signature of all identified co-investigators and the Department Chair of the principal investigator (PI) is required.

## Policy Title: Proposal Review and Approval Process: Extramural Grants

---

**General proposals submitted by students** - Approval via electronic signature of all identified co-investigators and the student's faculty mentor/advisor (typically thesis or dissertation chair) is required.

**General proposals submitted by deans or department chairs** - Approval via electronic signature of all identified co-investigators and the Associate Dean for Research is required.

**Research proposals submitted by faculty, students or staff for extramurally funded projects** - Approval via electronic signature of all identified co-investigators and either the Department Chair of the PI/student advisor/staff supervisor or the Associate Dean for Research is required. **Please include the CNR Post-award Manager as a study contact on all extramurally funded projects.**

All proposals that involve subjects under the age of 18 years must have a pediatrician assess the risk of the project. A School of Nursing faculty member serves as "pediatrician" for School proposals (Check with the CNR for School faculty member(s) approved to do pediatric risk assessment.).

Researchers who are not UT faculty, students or staff are required to obtain guest accounts to gain access to the system. Information about the process for obtaining a guest account can be found at: <https://oac9.hsc.uth.tmc.edu/jsp/GuestAdmin/>. It is the PI's responsibility to ensure guest accounts are obtained by all external key personnel. It is also the PI's responsibility to identify all study contacts that need to be included on communications between CPHS and the PI.

The CPHS office staff should be contacted for assistance with the centralized, electronic IRB system

### **Animal Subjects**

Protocols involving animals must be approved through the Animal Welfare Committee (AWC). The Animal Protocol Review Form (APRF) is required for approval of all initial research proposals, renewals, and pilot studies, regardless of funding source. A separate form must be completed for each species used in research. The APRF and instructions for submission can be found at <http://www.uth.tmc.edu/orsc/iacuc/index.html>.

All APRFs are required to be reviewed and approved by the Department Chair of the PI. If the PI is the Department Chair, then the Associate Dean for Research will be responsible for review and approval of the protocol.

APRFs for extramurally funded projects should provide a copy of the APRF and approval letter from the AWC to the Post-award Services Manager in the CNR for agency reporting purposes.

Policy Title: Proposal Review and Approval Process: Extramural Grants

---

**Deceased Human Bodies and Anatomical Specimens**

The Associate Dean for Research is the appointed Program Director of the SON Institutional Anatomical Oversight Review Committee (IAORC). The Committee is charged with establishing guidelines and defining accountability for all matters related to the use of deceased human bodies (cadavers) and human anatomical specimens. As Program Director, the Associate Dean for Research will provide and/or coordinate any and all assistance to SON faculty, staff and students in this regard - whether the use is for educational, research or other purposes. (See *HOOP 23.13 for complete institutional policies and procedures.*)

**Policy Title: Proposal Review and Approval Process: Extramural Grants**

**PRE-AWARD TIMELINE FOR RESEARCH GRANT PROPOSALS with ANNUAL DIRECT COSTS ≥ \$100,000**

	Responsible party	Specific tasks	Time
<b>INITIAL PROPOSAL DEVELOPMENT</b>	<b>PI</b>	<ul style="list-style-type: none"> <li>Develop study aims &amp; hypotheses/research questions</li> </ul>	
<b>INITIAL PROPOSAL REVIEW</b>	<b>Associate Dean for Research</b>	<ul style="list-style-type: none"> <li>Review scientific direction, potential collaborations and appropriate funding mechanism(s)</li> </ul>	
<b>INITIAL BUDGET DEVELOPMENT</b>	<b>PI Pre-Award Staff</b>		
<b>PROPOSAL REFINEMENT</b>	<b>PI</b>		
<b>MOCK PEER REVIEW</b>	<b>Faculty</b>	<ul style="list-style-type: none"> <li>Scientific review of complete application</li> </ul>	
<b>REVISION OF PROPOSAL</b>	<b>PI</b>		
<b>COMPLETION OF BUDGET</b>	<b>Pre-Award Staff</b>	<ul style="list-style-type: none"> <li>Complete form budget pages</li> <li>Complete budget justification</li> </ul>	
<b>EXTERNAL BUDGET TASKS</b>	<b>Pre-Award Staff</b>	<ul style="list-style-type: none"> <li>Contact institutions to complete subcontract paperwork</li> </ul>	2 months*
<b>LETTERS OF SUPPORT</b>	<b>Pre-Award Staff</b>	<ul style="list-style-type: none"> <li>Contact all consultants, external collaborators, and study sites for letter of support as required by grant guidelines</li> </ul>	
<b>APPROVED GRANT PROPOSAL</b>	<b>Associate Dean for Research</b>	<ul style="list-style-type: none"> <li>All required edits and changes completed</li> </ul>	
<b>INTERNAL BUDGET TASKS</b>	<b>Pre-Award Staff</b>	<ul style="list-style-type: none"> <li>Complete and distribute review &amp; approval forms to various UT schools as needed</li> <li>Distribute Conflict of Interest Forms to research team</li> <li>Send completed forms/COIs for final review to OSP; Edit grant budget/forms as needed; pick up signed documents</li> </ul>	
<b>FINAL APPLICATION PACKET</b>	<b>Pre-Award Staff</b>	<ul style="list-style-type: none"> <li>Assemble all sections of application as required by grant guidelines</li> <li>Copy &amp; mail application; distribute copy to PI</li> <li>Archive electronic and paper copies of application</li> </ul>	

\*May be less if no other UTHSC-H schools are involved in the project

Policy Title: Proposal Review and Approval Process: Extramural Grants

**PRE-AWARD TIMELINE FOR RESEARCH GRANT PROPOSALS with ANNUAL DIRECT COSTS < \$100,000**

	Responsible party	Specific tasks	Time
<b>PROPOSAL DEVELOPMENT</b>	<b>PI</b>	<ul style="list-style-type: none"> <li>Develop proposal</li> <li>Complete all forms except budget</li> </ul>	
<b>INITIAL BUDGET DEVELOPMENT</b>	<b>PI</b> <b>Pre-Award Staff</b>	<ul style="list-style-type: none"> <li>PI provides Pre-Award staff with needed forms</li> </ul>	
<b>COMPLETION OF BUDGET</b>	<b>Pre-Award Staff</b>	<ul style="list-style-type: none"> <li>Complete form budget pages</li> <li>Complete budget justification</li> <li>Complete review and approval forms</li> </ul>	
<b>EXTERNAL BUDGET TASKS</b>	<b>Pre-Award Staff</b>	<ul style="list-style-type: none"> <li>Contact institutions to complete subcontract development</li> </ul>	1 month
<b>LETTERS OF SUPPORT</b>	<b>Pre-Award Staff</b>	<ul style="list-style-type: none"> <li>Contact all consultants, external collaborators, and study sites for letter of support as required by grant guidelines</li> </ul>	
<b>APPROVED GRANT PROPOSAL</b>	<b>Associate Dean for Research</b>	<ul style="list-style-type: none"> <li>Indicate approval of project by signing the review &amp; approval form</li> </ul>	
<b>INTERNAL BUDGET TASKS</b>	<b>Pre-Award Staff</b>	<ul style="list-style-type: none"> <li>Distribute review &amp; approval forms to various UT schools as needed</li> <li>Distribute Conflict of Interest forms to research team</li> <li>Send completed forms/COIs for final review to OSP; edit grant budget/forms as needed; pick up signed documents</li> </ul>	3* weeks
<b>FINAL APPLICATION PACKET</b>	<b>Pre-Award Staff</b>	<ul style="list-style-type: none"> <li>Assemble all sections of application as required by grant guidelines</li> <li>Copy &amp; mail application (distribute copy to PI)</li> <li>Archive electronic and paper copies of application</li> </ul>	

\*May be less if no other UTHSC-H schools are involved in the project

Policy Title: Proposal Review and Approval Process: Extramural Grants

**PRE-AWARD TIMELINE FOR TRAINING & SERVICE GRANT PROPOSALS**

	Responsible party	Specific tasks	Time
<b>PROPOSAL DEVELOPMENT</b>	<b>PD</b>	<ul style="list-style-type: none"> <li>Develop proposal</li> <li>Complete all forms except budget</li> </ul>	
<b>INITIAL BUDGET DEVELOPMENT</b>	<b>PD Pre-Award Staff</b>	<ul style="list-style-type: none"> <li>PD provides Pre-Award staff with needed forms</li> </ul>	
<b>COMPLETION OF BUDGET</b>	<b>Pre-Award Staff</b>	<ul style="list-style-type: none"> <li>Complete form budget pages</li> <li>Complete budget justification</li> <li>Complete review and approval form</li> </ul>	
<b>EXTERNAL BUDGET TASKS</b>	<b>Pre-Award Staff</b>	<ul style="list-style-type: none"> <li>Contact institutions to complete subcontract development</li> </ul>	1 month
<b>LETTERS OF SUPPORT</b>	<b>Pre-Award Staff</b>	<ul style="list-style-type: none"> <li>Contact all consultants, external collaborators, and study sites for letter of support as required by grant guidelines</li> </ul>	
<b>APPROVED GRANT PROPOSAL</b>	<b>Associate Dean</b>	<ul style="list-style-type: none"> <li>Indicates approval of project by signing the review &amp; approval form</li> </ul>	
<b>INTERNAL BUDGET TASKS</b>	<b>Pre-Award Staff</b>	<ul style="list-style-type: none"> <li>Distribute review &amp; approval forms to various UT schools as needed</li> <li>Distribute Conflict of Interest forms to project team</li> <li>Send completed forms/COIs for final review to OSP; edit grant budget/forms as needed; pick up signed documents</li> </ul>	3* weeks
<b>FINAL APPLICATION PACKET</b>	<b>Pre-Award Staff</b>	<ul style="list-style-type: none"> <li>Assemble all sections of application as required by grant guidelines</li> <li>Copy &amp; mail application (distribute copy to PD)</li> <li>Archive electronic and paper copies of application</li> </ul>	

\*May be less if no other UTHSC-H schools are involved in the project