

Overview of the Pre-Award Grant and Contract Process

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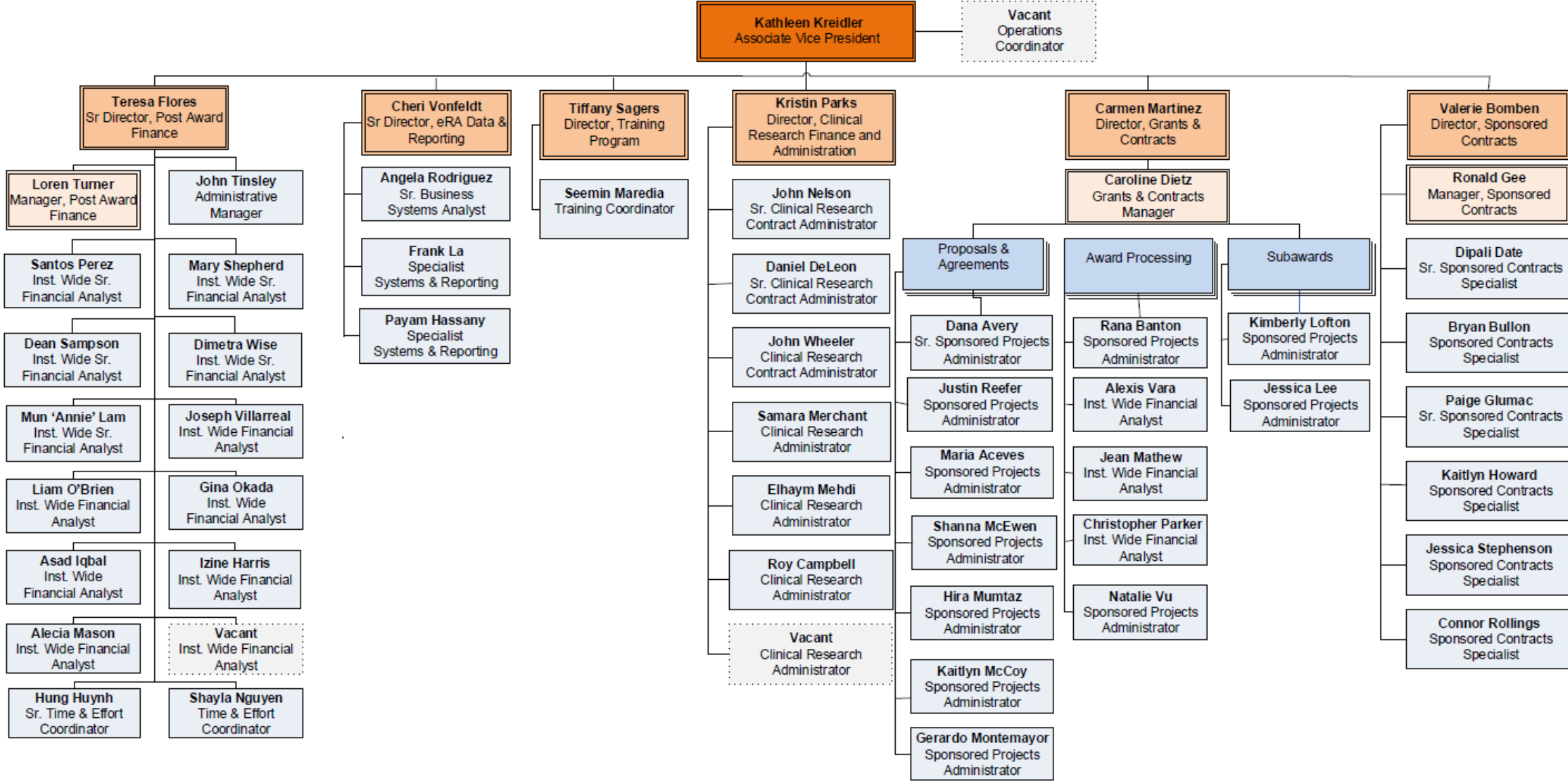


Sponsored Projects Administration (SPA)

Supports UTHHealth faculty, staff, and students in the acquisition and administration of programs funded from sources outside the University.

SPA is the central point of coordination and tracking for sponsored projects and is UTHHealth's authorized representative for grants, contracts, and other agreements from government agencies, private industry, and non-profit foundations.

Sponsored Projects Administration



SPA Grants and Award Management Team



- General pre-proposal guidance
- RFP guideline interpretation
- Review and approve administrative and financial components of a proposal for Grants, Cooperative Agreements, & Subcontract Proposals ([HOOP 64](#))
- Ensures grants meet sponsor, UT System and institutional guidelines
- Serves as liaison between PI and sponsor on administrative/financial issues
- Award Processing and Setup
- Subaward Processing and Issuance
- Authorized signing officials ([HOOP 124](#)).

Purpose of the Institutional Review

Grants and contract awards are made to the institution. The institution is legally and financially responsible for committing facilities and managing awarded funds.

Who is Responsible?

Department/PI

- Eligibility of Principal Investigator (PI)
- Scientific merit within scope of department
- Proposal meets sponsor requirements
- Financial (Budget development, Cost Sharing, Salary Verification)
- Willingness of co-investigators and consultants to participate
- Subcontract documents from collaborators
- PI must approve application for submission via UTSTART
- Assurances (Animal, Human, Biological Agents, etc.)
- Compliance (Conflict of Interest & PI Responsibility Training)

School

- Scientific merit within research and educational objectives
- Meets financial interests of school
- Additional space, renovations, equipment installations
- Approval of indirect cost waivers and cost-sharing

Sponsored Projects Administration (SPA)

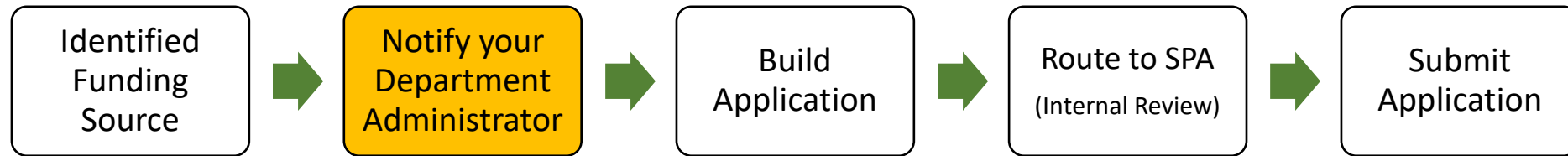
- Administrative & Financial (A&F review) for accuracy and compliance to sponsor guidelines
- Review for compliance with institution and UT System
- Review assurances & Conflict of Interest Forms
- Secure institutional approval of cost sharing and indirect cost waivers
- Provide the Authorized Signing Official Signature (ASO)

SPA Internal Deadlines

HOOP 64 - Applications/Proposals or Contracts for Sponsored Projects

- Requires Sponsored Projects Administration review proposals prior to their submission to an agency
- SPA request that proposals are submitted for Administrative and Financial Review (A&F) review 10 working days prior to submission
 - Proposals meeting the published 10 business day deadline will be given priority as proposals are reviewed in order received.
 - Proposals received within 3 business days (or less) of the sponsor deadline are not guaranteed to be reviewed in time for submission
 - Proposals will not be signed or submitted without a review by SPA.

Proposal Development

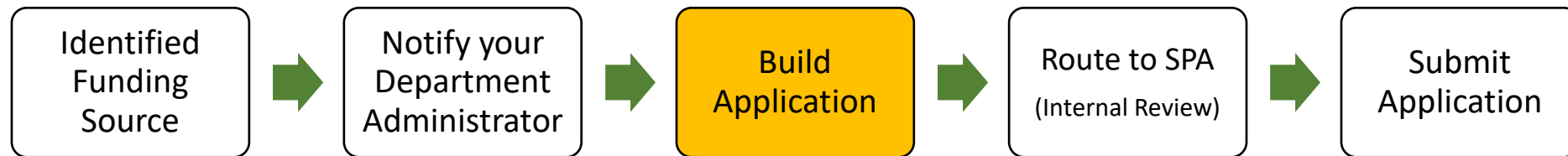


Notify Department Administrator

Find them by asking Dept. Chair or DMO or contact SPA.

Locating your Department Admin - Completes Half the Battle

Proposal Development



Build Application

Complete administrative and financial section of the grant application.

[Institutional Information](#)

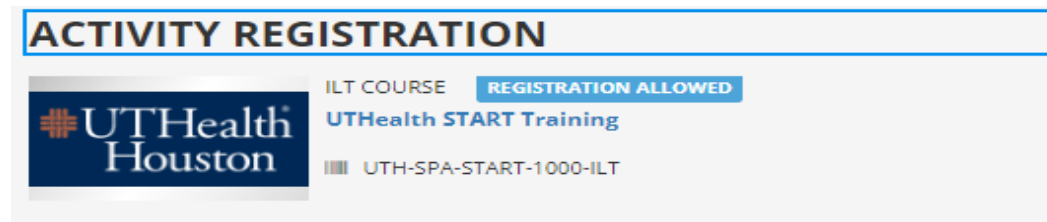
Draft final budgets (obtaining docs from collaborators, subcontracts, etc.)

[Budget Development](#) / [Simple Detailed Budget](#)

Complete application in UHealth START system. (training is required to gain access)

UTSTART Training

Research Administrators – Monthly in-person training held at School of Medicine computer lab. Register via iLearn.



Faculty/Postdocs – 1:1 teams training. Register by contacting SPA Training team.

Proposal Development



Route Application to SPA

Route administrative and financial portion of the application to SPA 10 Business days prior to the deadline. (Note: must include biosketches and project narrative.)

Route using UHealth START. 

- System to System (S2S) grants and contracts management system used to submit electronic proposals to federal agencies (NIH, DoD, HRSA, CDC – grants.gov)
- SF424 forms based, auto fills, stores information, tracks errors

[Assigned Sponsored Projects Administrator](#) will review:

- Agency guidelines, Budget, Budget Justification, Administrative and science pages.

Proposal Development



Submit Application

For Federal applications – PI/Dept. Administrator uploads final science documents and routes for final review. SPA will submit after PI certifies and attests to the correctness of the application and upon final compliance review by SPA administrator.

For non-Federal applications – Sponsored Projects Administrator will:

- Provide signatures from an Authorized Signing Official.
And/or
- Submit all non-system to system submissions (Fastlane, CPRIT, EHB, Komen, CDMRP, AHA, THECB); the department is responsible for hard copy submissions.

Remember



Start early

Training is required to gain access to the UTSTART system.

- Faculty/Postdoctoral Fellows can receive a 1 hour, 1:1 training; which is conducted by SPA Training via Teams. [Contact the SPA Training Team](#)
- Training for all other research staff is held monthly; in-person, at the School of Medicine. Register for the course via [iLearn](#)

SPA Internal Deadline (HOOP 64)

Notify Departmental Research Administrators

Contact : [Carmen Martinez, MHA](#) (Director – Grants and Contracts)
[Caroline Dietz, PhD](#) (Manager – Grants and Contracts)

Sponsored Projects Contracts / Agreements



Sponsored Projects Administration - Contract Assistance

3 Preaward Teams that negotiate SPA contracts

- **Clinical Research Finance Administration**
 - *Clinical Trials, Coverage Analysis and Confidentiality Agreements*
- **Grants & Award Management**
 - *Subcontracts Out and Subcontracts In*
- **Sponsored Contracts**
 - *Material Transfer Agreements*
 - *Data Use Agreements*
 - *Sponsored/Collaborative Research Agreements*
 - *“Other” Sponsored Projects Agreements*
 - *Salary Reimbursement Agreements*

Why do central offices negotiate contracts?

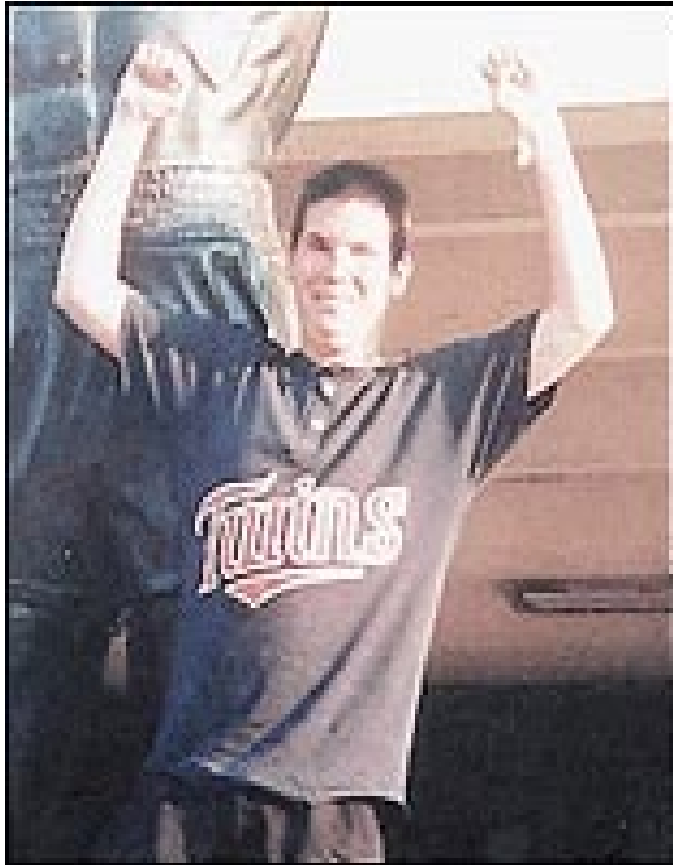
UTHealth is a state institution

- We must conform to state law requirement; The University of Texas System requirements; UTHealth policy (RCOI, compliance, finance requirements)

Parties to the agreement are NOT the PI and the sponsor. The institution takes on the risk and governance of an award.

- Insurance
- Even NIH awards are conditional. By accepting the award, we agree to several federal laws and regulations in the maintenance of the project.

Protecting the patients; Protecting UTHealth; Protecting the PI



Jesse Gelsinger, 19 years old

1999 - First person known to have died from experimental gene therapy

Lawsuit against Univ. of Pennsylvania

PI was heavily invested in the company, Genova, Inc.

What can go wrong?

When expectations in a contract aren't met, the contract typically has language on what the other party can do.

May result in:

- Returned funds
- Ruined professional relationship
- Impeded research progress



What SPA needs to know?

The more information we have, the better we can match the agreement terms

- Any materials/data being exchanged?*
- What do YOU want the project to look like?*
- What does the Sponsor want the project to look like?*
- Who wrote the work scope?*

Internal documents help SPA gather information

- creating record in Grants & Contracts System - UTSTART*

Contract Assistance

[Kristin Parks](#) – Director, Clinical Research Finance
Administration

[Valerie Bomben](#), PhD – Director, Sponsored Contracts

General Information

Contact SPA with any questions during the pre-award process: preaward@uth.tmc.edu; (713) 500-3999

Visit [SPA Website](#) for Additional Resources

Join the SPA List Serve – “AURA” for research administration updates and information, complete the form page [here](#).

Thanks!

Contact SPA Training
SPA.Training@uth.tmc.edu