



OFFICE OF SPONSORED PROJECTS

Pre-Award and Post-Award Procedures

Office of Sponsored Projects

- ◆ Staff
- ◆ OSP Responsibilities
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Office of Sponsored Projects Staff

- Carolyn S. Ivey – Assistant Director
- Dina Caplinger – Grant & Contract Specialist III
- Leslie Harper – Grant & Contract Specialist II
- Amanda Miller – Grant & Contract Specialist II

OSP Responsibilities

- ◆ Assist Researchers with funding opportunities, sponsor policies, and procedures.
- ◆ Provide technical assistance to researchers drafting proposals, review proposals, and process proposals for submission to sponsoring agencies.
- ◆ Negotiate terms for awards and contracts.
- ◆ Receive awards and establish accounts with the assistance of Grants and Contract Accounting.
- ◆ Assist in post-award administrative functions such as re-budgeting, time extensions, and submission of technical reports.

Website

Office of Sponsored Projects:

<http://www.utdallas.edu/research/sp/>

- ◆ [OSP Researcher's Guide](#)
- ◆ [Resources and Forms](#)
- ◆ [Policies, Rules, and Regulations](#)
- ◆ [Subcontractor Agreements](#)
- ◆ [Agency Presentations](#)

Pre-Award Process

- ◆ Notification of intent to propose
- ◆ Sponsor rules
- ◆ Budget
- ◆ F&A
- ◆ Collaboration (e.g. subcontractors)
- ◆ Forms
- ◆ Time needed to process properly

Pre-Award Process

Preparing a Proposal

- Timing is Everything: 2 weeks prior notification of your intent to propose and a minimum of 4 working days to complete proposal paperwork.

Pre-Award Process

- ◆ Program Announcement– OSP receives a copy of the sponsor's solicitation and/or website address. (i.e. BAA, RFP, etc)
- ◆ Budget – OSP can assist PI in proposal budget preparation to ensure the funds requested is an adequate amount to conduct project.

Pre-Award Process

Forms—the following internal forms are required in addition to agency forms before proposal submission.

- Proposal Certification Form (OSP-2):
required with every proposal
- Conflict of Interest Form (OSP-3):
required annually

Pre-Award Process

- ◆ **Cost share** – Any proposal requiring cost share, PI will need to obtain approval from Dean as well as an account number to which the cost share will be budgeted from.

Pre-Award Process

- ◆ **F&A Costs**– (also known as indirect cost) Facilities and administrative costs that are incurred for a common or joint objectives, and therefore cannot be identified readily and specifically with a particular sponsored project. F&A costs are resources that are used mutually by different individuals and groups, making it difficult to assess precisely which users should pay what share.

(example: utilities, office supplies, secretarial and accounting staff)

Pre-Award Process

F&A rates:

- ◆ 49.0% – On Campus Organized Research/Instruction (excluding equipment)
- ◆ 26.0% – Off Campus Organized Research/Instruction
- ◆ 28.0% – Other Sponsored Activity (i.e. public service)

Pre-Award Process

Outside Collaborators – if a proposal has a proposed subcontractor, OSP requires the following information:

- Statement of Work (SOW)
- Budget w/ justification
- F&A rate agreement (if applicable)
- Letter of Commitment

Pre-Award Process

Review proposal – OSP will review the complete proposal for compliance with agency guidelines.

Submit proposal – OSP will submit proposal to sponsor.

Post-Award Process

- ◆ Award notification
- ◆ Negotiation of contract
- ◆ Create Account Brief & Original Budget
- ◆ Expenditures (Grant & Contract Accounting)
- ◆ Budget Revisions (998 as of 8/11/05)
- ◆ Technical reports
- ◆ Continuations, Extensions, etc.
- ◆ Close out

Post-Award Process

Award notification:

- OSP notifies PI that an award has been received
- OSP reviews contract to ensure it conforms with UT System Policy

Post-Award Process

Contract Negotiation:

- OSP negotiates terms and conditions of the contract
 - ◆ Intellectual Property
 - ◆ Publication
 - ◆ Indemnification
 - ◆ Governing Law

Post-Award Process

Once award is acceptable to UTD:

- OSP will submit contract for official signatures
- OSP will go over key terms and conditions with PI
- OSP assigns account number
- OSP Provides a copy of the Grant/Contract, Brief and Budget Page to PI, Dept AA, and G&C Accounting

Post-Award Process

Subcontracts:

- OSP negotiates all subcontracts
- Subcontractor must provide UTD with a signed Subcontractor Certification Form (OSP-4)
- Once signed and executed, a copy is sent to the following: PI, Dept AA, G&C Acct

Post-Award Process

Grant and Contract Accounting:

- Reports to Controller (not VPRGE)
- Track all research account expenditures
- Prepare invoices for payment
- Collect time & effort reports
- Prepare financial reports
- POC: Mary Carter x 2173
- Location: MP 3.102

Post-Award Process

Budget Revisions:

- PI requests a budget revision through OSP
- OSP will review award/contract to ensure revision is allowed
- If allowed, OSP will enter revision into FINS

Post-Award Process

Continuations, Extensions, and Amendments:

- Continuations: Competitive and Non-Competitive
- Extensions: No-Cost Extension
- Amendments: OSP will review and update account accordingly

Post-Award Process

Technical Reports:

- Due dates for technical reports are indicated on the Account Brief
- PI submits a copy of the Annual Technical Report to sponsor and OSP
- PI submits a copy of final report to Sponsor and OSP

Post–Award Process

Close Out:

- PI will submit final technical report to Sponsor and OSP
- OSP will assist PI with any additional paperwork that Sponsor requires
- Account is reduced to actual expenditures in FINS
- File remains in the close out files for period specified by agency