Welcome to The University of Texas at Dallas! We hope this guide will be of use as you navigate the sponsored research protocols and procedures at The University of Texas at Dallas. Please note that all of the information contained in this guide is available online in greatly expanded form on the Office of Research website as well as the Office of Sponsored Projects website.

The Office of Sponsored Projects is here to help you obtain and manage your sponsored research funding. Please don’t hesitate to contact us. Again, WELCOME!

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CHECKLIST:
Once you get settled at UTD
✔ Find your Grants & Contracts Specialist and make contact
✔ If you are not on the list, send an email to osp@utdallas.edu and a GCS will be assigned.
✔ Sign up for PIVOT to receive funding alerts
✔ Attend any one of our many training sessions

We appreciate your feedback: please let us know how we can improve this guide for you.
What is OSP and how can we help you?

What is OSP?
The Office of Sponsored Projects (OSP) provides assistance to faculty and staff in obtaining and managing sponsored awards while assuring proper stewardship of those funds. The office is charged with review and approval of proposals sent to all external sponsors. We provide the following services to the UTD faculty community:

- Notify researchers regarding funding opportunities and sponsor policies and procedures;
- Provide technical assistance in drafting, reviewing and processing proposals for submission to sponsoring agencies;
- Assist faculty with several types of contracts — those that support and fund research (e.g., Sponsored Research, Collaborative Research and Research Services), as well as non-funded agreements needed to facilitate research (e.g., Material Transfer, Non-Disclosure and Memoranda of Understanding);
- Receive award documents from Sponsor and forward to Post Award Management for creation of a cost center; and
- Assist with non-financial post-award administrative functions.

How can OSP help you?
As a new faculty member, be sure to rely on the expertise of your OSP Grants & Contracts Specialist. OSP’s website has a wealth of reference information that will help you in preparing your proposal and managing your award. In addition, sign up for the appropriate training sessions to help you prepare, submit, and manage your proposals successfully. Finally, familiarize yourself with the related departments such as the Office of Post Award Management (OPM), Office of Research Compliance (ORC) and the Office of Technology Commercialization (OTC).

- **Grants & Contract Specialists (GCS):** Every faculty member who submits a proposal will be assigned a GCS who can assist with:
  - Finding funding
  - Proposal, budget and internal form preparation
  - Proposal review and compliance check
  - Contract and Award negotiation and acceptance
  - Non-financial post-award administrative functions

To find your GCS, go to the [Specialist list](mailto:emily.lacy@utdallas.edu). If you are not on the list, send an email to emily.lacy@utdallas.edu and a GCS will be assigned.
• **Training:** The Office of Research provides various workshops and events for the campus community. Sign up to any relevant classes or contact OSP to request a specific topic or one-on-one training. Departments and colleges can request training sessions for their faculty and staff members. Training sessions include:
  - PIVOT funding search
  - NSF CAREER preparation
  - Industry contracting
  - Responsible Conduct of Research series
  - IRB Protocol Assistant Workshops

• **Related Departments:** OSP works closely with other departments within the Office of Research. Each department has a specific role to play in Sponsored Research Administration. Familiarize yourself with their functions and policies:
  - **OPM** – Office of Post Award Management
  - **OTC** – Office of Technology Commercialization
  - **ORC** – Office of Research Compliance:
    - IACUC – Institutional Animal Care & Use Committee
    - IRB – Institutional Review Board
    - Environmental Safety
    - Export Control
    - COI - Conflict of Interest
    - RCR – Responsible Conduct of Research

• **OSP's Web Site:** To learn more about OSP and the services provided, be sure to bookmark [OSP](#). OSP’s web site contains:
  - PIVOT to search for funding opportunities, including limited submission information
  - Proposal Preparation instruction
  - Frequently requested information for proposals
  - Types of contracts and contract resources
  - Grant award numbers and recipients by quarter
  - Resources and forms (UTD and Sponsor)
  - Policies and checklists (UTD References)
  - Template Library of successful proposals
  - Frequently asked questions
Finding FUNDING

An excellent way to identify potential sponsors is to network with faculty, industry representatives, and government agency personnel. In addition, PIVOT is available to faculty and staff to locate potential funding sources. Links to these resources and more can be found on OSP’s website at: https://research.utdallas.edu/osp/funding-opportunities

PIVOT

Register for PIVOT to receive funding alerts. PIVOT contains over 26,000 funding opportunities and 3 million profiles from around the world. It suggests potential funding opportunities for you based on your PIVOT profile (harvested and maintained by PIVOT editors). This search system provides a modern full-text search that is run against the entire funding record. Results are returned to the user in relevancy ranked format, and can be further sorted, grouped, or filtered by the results grid column headers. An individual funding profile can be setup to receive regular funding alerts and it is available to UTD faculty, staff and students.

Grants.gov

Faculty and staff can also search Grants.gov for funding opportunities and to sign up for funding alerts.

Foundation Funding

A foundation is a non-governmental, non-profit organization established for the principal purpose of making grants. Foundations can range in size from large organizations with highly structured giving programs like the Gates Foundation to small family foundations that serve as vehicles for individually-motivated giving. Your approach to any foundation will vary greatly based on their size, interests, and application procedures. Contact the Office of Foundation Relations if you are interested in submitting to a Foundation or if the proposal must be submitted by a 501(c)(3) organization.

UTD Funding Quick Facts for Fiscal Year 2017

For current year Funding Quick Facts and Top Funders, go to: https://research.utdallas.edu/osp/grant-award-numbers.

- Combined Funding of $67M
  - Federal Funding of $46M
  - State Funding of $3.7M
  - Corporate, Foundation & Other Funding of $15.3M
- Research Expenditures of $106M
- Restricted Research Expenditures of $50M

Top Federal Funders for FY 2017

- NSF: $11.3M
- NIH: $18.4M
- DARPA: $10.2M
Preparing your PROPOSAL

Moving Through University Channels - From Faculty to the Sponsor

*Faculty must submit all externally funded research proposals and awards through OSP.* Proposals must be accompanied by the University’s internal certification and export control forms containing the appropriate signatures. Approval of the proposal is demonstrated by appropriate signatures on the certification form.

Contact your GCS as soon as you decide to submit a proposal to a funding opportunity. Your GCS will need to know the RFP, funding opportunity announcement, or the URL for the RFP or program announcement, as well as the due date. Your GCS will work with you to create a budget, identify any issues in the RFP, prepare internal forms and establish timelines to meet deadlines.

In order to provide faculty with responsive, high-quality service and address any potential issues, all submissions will be subject to the following requirements:

- All submission materials and paperwork, including internal forms, must be submitted to OSP at least 4 business days prior to the submission deadline.
- Incomplete submissions and/or submissions received after this deadline will be processed only after all complete and timely applications have been processed.
- All submission materials received after the 4-day window will require the approval of the Vice President for Research or the Associate Vice President for Research before OSP will submit the application. An explanation of the extenuating circumstances that resulted in the late proposal must accompany the request for such approval.

Adherence to this policy will ensure OSP and your individual specialist can assist you in submitting timely and high quality applications.

When all submission materials and paperwork are provided to OSP at least four (4) business days prior to the deadline, the Grant Specialist will provide a thorough review of all proposal requirements. If less than two (2) business days, the Grant Specialist will review the budget for correct rates and cost share, verify internal approvals are obtained and check for compliance issues. With less than one (1) day notice, the Grant Specialist may only be able to verify the internal forms are signed and only after all complete and timely applications received by OSP have been processed.

Electronic Submissions

Many sponsors, including all Federal agencies, are allowing or requiring proposals to be electronically prepared and submitted. All Federal agencies use the find and apply system Grants.gov as well as other submission systems. Principal Investigators should refer to the individual sponsor guidelines for information about the required method of submission. The sponsor guidelines will also include information about the necessary file format for documents submitted with the proposal.

Some electronic systems, such as NSF’s FastLane and NIH’s eRA Commons, require the PI to create accounts before using the system. You can request an account for these systems by contacting your GCS or sending an email to OSP.
Agency Guidelines/Forms

In a Request for Quotes (RFQ), Request for Proposal (RFP), or Funding Opportunity Announcement (FOA), guidelines can be very detailed with specific forms accompanying proposal text. Many agencies have prescribed formats for proposal preparation, including the required forms for text, biographical data, and budget. Many agencies also have page, font, margin, type size and character per inch (cpi) limitations for the body (text) of the proposal. More information on preparing your proposal can be found on our website.

For agencies which do not have specific formats, OSP suggests that the Principal Investigator organize the proposal as follows:

- Title Page
- Technical Abstract
- Table of Contents
- Statement of the Proposed Research Project
- Review of Relevant Literature
- Brief Description of Proposed Activities or Objectives
- Project Design or Procedures
- Project Evaluation
- Project Management
- Personnel Resources
- Institutional Equipment and Facilities
- Project Budget
- Budget Justification
- Curricula Vitae
- References (literature cited)
- Appendices

See examples of successful proposals and outlines by accessing the Proposal Library.

Deadlines

Some sponsoring agencies have specific deadlines for proposal submission. This information is available directly from the sponsor and contained in the funding opportunity announcement. Note that all Requests for Proposals (RFP) have strict deadlines that cannot be modified; this information is always in the RFP application package obtainable from the issuing agency.

Classified Research and Restrictions of Publication

The University of Texas at Dallas does not enter into agreements to carry out research if the grant, contract, or other award instrument restrains the freedom of the University and its faculty to disclose the existence of the grant or contract, the general nature of the inquiry to be conducted, or the identity of the sponsor. The University reserves, for its faculty, the right to publish the results of the research without the prior approval of the sponsor.

Industry Contracts

Prior to engaging with an industry sponsor, gain an understanding of the processes and policies in place at The University of Texas at Dallas that manage industry funded research:

IP Policy: https://policy.utdallas.edu/utdpp1002
Publication Policy: https://policy.utdallas.edu/utdpp1065
Contact Brian Scott, Research Contracts Specialist, in OTC to begin discussions. Early involvement with Brian can expedite negotiations and mitigate potential issues involving problematic clauses such as publication rights, IP, licensing, governing law, foreign national exclusion, export control and compliance with UT System policy. For additional information, visit the website at: https://research.utdallas.edu/osp/contracts

**BUDGET**

*Estimating your Budget - Frequent Rates and Expenses*

_SALARIES_ are established by the University. Multiple year budgets should include estimated salary increases. A 3% increase may be projected unless the sponsor specifies salary inflation rates.

_GRADUATE ASSISTANT STIPENDS_ are set by the departments. Consult your Administrative Assistant or School Fiscal Officer for current stipend levels and estimated fringe benefit rate.

_FRINGE BENEFITS_ are applicable to all University salaries and wages. The University does not have a fringe benefit rate agreement. The actual costs for fringe benefits are charged (billed) to the sponsored project at the time the costs are incurred; the amount charged is based on salary, selected benefit package, and other variables applicable to the individual employee.

If the actual fringe benefit expenses for a project exceed the projected amount included in the budget, it is the responsibility of the Principal Investigator to pay these actual costs from the direct award funds provided by the sponsor.

Typical rates are: 20% for full-time faculty and graduate students; 25% for post-doctoral associates, and 5% for undergraduate assistants. Consult your Administrative Assistant or School Fiscal Officer to verify the correct rates to be applied.

_FACILITIES and ADMINISTRATIVE COSTS (F&A)_ (also known as Indirect Costs) must be included using the University’s federally-negotiated rates unless the sponsor has a written policy applicable to all potential proposers which deviates from these rates. All deviations are subject to UT Dallas administrative approval. Sponsor guidelines limiting facilities and administrative costs must be provided with your proposal. UT Dallas calculates its F&A cost rates based on an approved agreement with the U.S. Health and Human Services Audit Agency acting on behalf of all federal agencies. The current research rate is 53%. For the current rate agreement, go to the website.

F&A costs are calculated based on the project’s Modified Total Direct Cost (MTDC). The MTDC is an adjusted figure and not always equal to the direct costs requested.

For more help with budgets, including a checklist of key budget categories, see the OSP website and the Budget Preparation Template.
<table>
<thead>
<tr>
<th><strong>FREQUENTLY ASKED QUESTIONS ABOUT GRANT APPLICATIONS</strong></th>
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<tbody>
<tr>
<td><strong>Submitting Organization</strong></td>
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<tr>
<td><strong>General Business Address &amp; Address for Official Correspondence</strong></td>
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<tr>
<td><strong>Type of Organization</strong></td>
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<td><strong>Congressional District</strong></td>
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<td><strong>County</strong></td>
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<tr>
<td><strong>Official Authorized to Sign Proposals</strong></td>
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<tr>
<td><strong>Financial Contact and Sponsored Project Payment Address</strong></td>
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<tr>
<td><strong>Federal Cognizant Audit Agency</strong></td>
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<td><strong>Grants &amp; Contracts Specialist</strong></td>
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<tr>
<td><strong>Institutional Assurance Numbers</strong></td>
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<tr>
<td><strong>Employer Federal ID Number/IRS Number (also known as EIN/TIN)</strong></td>
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<tr>
<td><strong>DUNS Number (Dun &amp; Bradstreet Number)</strong></td>
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<tr>
<td><strong>CAGE Code (Commercial and Government Entity Code)</strong></td>
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<tr>
<td><strong>NAICS Code (North American Industry Classification System Code) (Formerly SIC - Standard Industrial Code)</strong></td>
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<tr>
<td><strong>NIH Institutional Profile Number</strong></td>
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<tr>
<td><strong>NSF Institution Code</strong></td>
</tr>
<tr>
<td><strong>Date of Facilities &amp; Administrative Cost Agreement</strong></td>
</tr>
<tr>
<td><strong>Standard F&amp;A Rates – calculated as percentage of Modified Total Direct Cost (MTDC) see website for agreement.</strong></td>
</tr>
<tr>
<td><strong>Fringe Benefits – there is no standard rate, actual costs are charged</strong></td>
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</table>

Contact your OSP Grant and Contracts Specialist for assistance if sponsor requires information not provided above.
MANAGING Your Sponsored Research

Award Negotiations & Acceptance

Awards are received by The University of Texas at Dallas on behalf of the Principal Investigator (PI). While the PI assumes the responsibility for financial oversight and completion of the work, the University remains legally responsible for the award. Therefore, all awards must conform to University policy and procedure. Acceptance of an award requires a number of steps:

- OSP receives award notification from the sponsor and begins reviewing the terms and conditions.
- Sponsor-initiated pre-award negotiations require OSP to verify budget details and confirm all rates quoted in the proposal.
- OSP enters into formal negotiations with the sponsor, including reviewing and negotiating the terms and clauses such as copyrights, patents, indemnification, default and termination clauses, deliverable schedule, invoicing, data rights, etc.
- After all parties agree upon the contract’s content, the University accepts the award.
- Once all terms are negotiated, and mutually acceptable, signatures are obtained from the sponsor and UTD, and then a cost center can be created.
- The Principal Investigator will receive a New Award Notification from Rebecca Everett containing pertinent award information and the cost center number established for the project.

Start Date

The University is not authorized to spend funds prior to the official start. This date is predicated upon acceptance of all terms of the award by both parties. Effective dates for grants are usually set by the sponsor in the award. Faculty members have access to the funds as soon as the cost center number is issued by the Finance Office. Contracts are not as predictable; in some cases the start date is specific and in others it is determined by the final signature date. The final signatory may be the University or the sponsor, depending on the contract.

Expenditures and Financial Records

Accounting and Financial Reporting (AFR) prepares and submits standard financial reports to the sponsor as required. Financial records are maintained in PeopleSoft (PS). The Principal Investigator is responsible for assuring that all approved expenses in support of a project are properly charged to it. The Principal Investigator is expected to keep sufficient internal records to control expenditures, particularly those budgetary lines which may not be exceeded without special approval.

Some federal sponsors have granted universities expanded authorities, e.g. DOD, DOE, EPA, NASA, NIH, NSF, USDA. In these cases, the PI can request pre-award costs, travel costs, and no-cost extensions and OSP can approve these requests. Pre-award spending may be granted prior to an award’s acceptance when there is a written commitment from the sponsor of the project’s start date and funding amount. The PI’s department assumes all risk in covering expenditures in advance of receipt of the award.
**General Responsibilities**

Individual departments manage award funds and initiate and monitor all expenditures. The University assumes legal responsibility for funded projects.

**Faculty Responsibilities**

- The PI is responsible for the management and conduct of research activities.
- All technical reports and project deliverables, including subawards, are the full responsibility of the PI.
- The PI must initiate budget revisions, cost transfers and extension requests with OPM and OSP.
- The PI is responsible for monitoring subrecipients, managing subaward performance, reviewing and approving subaward invoices.

**Personnel**

Personnel assigned to sponsored projects, like all other personnel, must be appointed and compensated in keeping with State and University personnel rules. The U.S. Office of Management and Budget (OMB) requires that the University maintain records that will substantiate the effort of each individual charged to a sponsored project. Each project year, the PI will need to certify the Compensation Confirmation Certification verifying the personnel salaries charged to each individual project.

**Subcontracts**

Once an award has been received, signed and approved, the GCS will work with the PI to establish any relevant subcontracts. OSP will prepare, negotiate and issue the subcontract. Once the subcontract has been signed by the PI, University and the subcontractor, the OSP Business Process Analyst will send a copy of the executed subcontract to the PI, Administrative Assistant and School Fiscal Officer. The PI, in conjunction with the Administrative Assistant, will need to initiate a Purchase Order. For more information on subcontracting, go to [https://research.utdallas.edu/opm/guidelines/subrecipient-monitoring](https://research.utdallas.edu/opm/guidelines/subrecipient-monitoring)

In order for vendors to be paid, invoices from the subcontractor must be reviewed and approved by the PI/Department first, and then forwarded to the Accounts Payable Office for payment.

**Policies and Specified Guidance**

Faculty should be familiar with several key University Policies concerning research, including policies on:

- Intellectual Property
- Conflict of Interest
- Export Control
As a new investigator, the following resources will prove helpful as you embark on your professional career at The University of Texas at Dallas:
- Contact your GCS. They will be able to establish your PIVOT profile, guide you through internal paperwork and deadlines, highlight internal and external resources, and share tips and tricks.
- View awarded proposals in the Proposal Template Library to see various full sample proposals submitted to different agencies.
- Ask your Dean about mentor opportunities.
- Below is a sample list of funding opportunities geared toward new investigators. See more at: https://research.utdallas.edu/blog/federal-funding-opportunities-for-new-and-young-faculty

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<thead>
<tr>
<th>PROGRAM TITLE</th>
<th>AGENCY</th>
<th>ANTICIPATED DEADLINE</th>
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<tbody>
<tr>
<td>Defense Advanced Research Projects Agency Young Faculty Award (YFA)</td>
<td>DARPA</td>
<td>January</td>
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<tr>
<td>Air Force Young Investigator Research Program (YIP)</td>
<td>DoD, AFOSR</td>
<td>Summer</td>
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<tr>
<td>AFOSR Young Investigator Program (YIP)</td>
<td>DoD, AFOSR</td>
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<tr>
<td>Army Research Office, Young Investigator Program (YIP)</td>
<td>DoD, ARO</td>
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<tr>
<td>Office of Naval Research Young Investigator Program, (YIP)</td>
<td>DoD, ONR</td>
<td>January</td>
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<tr>
<td>Early Career Research Program</td>
<td>Dept of Energy</td>
<td>Fall</td>
</tr>
<tr>
<td>Fellowships for Early Career Researchers</td>
<td>NASA</td>
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<tr>
<td>New Investigator Program in Earth Science (ROSES program element)</td>
<td>NASA</td>
<td></td>
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<tr>
<td>Director’s Early Independence Award Program</td>
<td>NIH</td>
<td>August</td>
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<tr>
<td>New Director’s New Innovator Award</td>
<td>NIH</td>
<td>Fall</td>
</tr>
<tr>
<td>Mathematical Sciences Program Young Investigators Grant</td>
<td>NSA</td>
<td>September</td>
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<tr>
<td>Faculty Early Career Development Program (CAREER)</td>
<td>NSF</td>
<td>July</td>
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<tr>
<td>Computer and Information Science &amp; Engineering (CISE), Research Initiation Initiative (CRII)</td>
<td>NSF</td>
<td>September</td>
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<tr>
<td>Presidential Early Career Award for Scientists and Engineers (PECASE)</td>
<td>Departments of Agriculture, Commerce, Defense, Energy, Education, HHS: NIH, VA, EPA, NASA, NSF, and the Smithsonian Institution</td>
<td>Submitted in October by participating agencies</td>
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<tr>
<td>Research Grants for Independent Investigators</td>
<td>American Cancer Society</td>
<td>April and October</td>
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<tr>
<td>Doctoral New Investigator Grants</td>
<td>American Chemical Society Petroleum Research Fund</td>
<td>March</td>
</tr>
<tr>
<td>American Heart Association Scientist Development Grant</td>
<td>American Heart Association</td>
<td>February</td>
</tr>
<tr>
<td>Beckman Young Investigators Program</td>
<td>Arnold and Mabel Beckman Foundation</td>
<td>August</td>
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<tr>
<td>Human Frontier Science Program Young Investigator’s</td>
<td>Human Frontier Science Program</td>
<td>March</td>
</tr>
<tr>
<td>Klingenstien-Simons Fellowship Awards</td>
<td>Esther A. and Joseph Klingenstien Fund, Inc.</td>
<td>March</td>
</tr>
<tr>
<td>Sloan Research Fellowship</td>
<td>Alfred P. Sloan Foundation</td>
<td>September</td>
</tr>
<tr>
<td>Grants-in-Aid</td>
<td>Whitehall Foundation</td>
<td>June, September, February</td>
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Frequently Asked Questions

How do I...

- **Learn more about the proposal process?**
  Go to the OSP website for a wealth of information from proposal preparation to checklists and a template proposal library.
  [https://research.utdallas.edu/osp/proposal-preparation](https://research.utdallas.edu/osp/proposal-preparation)

- **Transfer my grant?**
  Awards are granted to the Institution and not the individual PI. In order for an award to be transferred from one institution to another, the agency, Department Chair, and the sponsored projects office must be notified. Learn more about transferring grants at: [https://research.utdallas.edu/osp/faq#leaving-university-and-taking-grant](https://research.utdallas.edu/osp/faq#leaving-university-and-taking-grant)

- **Get my proposal routed through the University?**
  Prior to submission to a sponsor, PIs or their designee must obtain signatures of all PIs, Co-PIs, Department Chairpersons and School Dean on the certification form. An export control form must also be prepared and signed by the PI. All internal forms are available at: [https://research.utdallas.edu/osp/resources-and-forms](https://research.utdallas.edu/osp/resources-and-forms)

- **Begin my research prior to the award date?**
  Pre-award can be authorized under certain circumstances. Contact your GCS to initiate the process.

- **Apply F&A costs?**
  The Budget Preparation template contains formulas that will automatically calculate F&A rates. It can be found here:
  [https://www.utdallas.edu/research/docs/standard_budget_preparation_template/](https://www.utdallas.edu/research/docs/standard_budget_preparation_template/)
  The current F&A rate agreement is available here:
  [https://www.utdallas.edu/research/docs/facilities_and_administrative_cost_rate_agreement/](https://www.utdallas.edu/research/docs/facilities_and_administrative_cost_rate_agreement/)

- **Find out how much money is left on my grant?**
  Authorized users can access this information via UTD’s PeopleSoft System. This system is located at

- **Find my GCS?**
  Each PI is assigned a Grants & Contracts Specialist (GCS) in OSP. To determine your GCS name and contact information, consult the Grant Specialist list:
  [https://www.utdallas.edu/research/docs/grant_specialist_list/](https://www.utdallas.edu/research/docs/grant_specialist_list/)
  If you are not on the list, send an email to [emily.lacy@utdallas.edu](mailto:emily.lacy@utdallas.edu) and a GCS will be assigned.
More FAQs

- **Am I an eligible PI?**
  When the University accepts a grant or contract from an external sponsor, the University assumes responsibility for the proper performance of the stated project, for the fiscal management of the funds received, and for accountability to the sponsor. Since the institutional responsibility for meeting these obligations is vested in the Principal Investigator, only individuals who are full-time university employees (not adjunct appointments) and have the approval of their Dean are allowed to do research at the University.

- **Do I need to get IRB/IACUC/Biosafety approval?**
  Contact the Office of Research Compliance for information.

- **What is cost sharing and how do I deal with it?**
  Cost sharing is the commitment of The University of Texas at Dallas’ resources to a sponsored project. Cost sharing should be included in the proposal only when required and must be approved by the School Dean prior to submission. More information, including the Cost Sharing Policy, can be found at: https://research.utdallas.edu/wiki/guidelines/opm/funding_cost_share

- **My funder has publication restrictions – is this allowable?**
  **NO.** It is the policy of The University of Texas at Dallas’ that instruction, research, and services will be accomplished openly and without prohibitions on the publication and dissemination of the results of academic and research activities. If you have questions about your publication rights, please contact your GCS in OSP. See the UTD policy at: https://policy.utdallas.edu/utdpp1065

- **What is involved in subcontracting?**
  There are a number of procedures to be followed by OSP in the preparation and administration of University-issued sponsored project subcontracts. These subcontracts are issued by OSP when a contract from a prime sponsor incorporates work to be performed by a subcontractor. More information is available on the OSP website: https://research.utdallas.edu/osp/proposal-preparation/preparing-the-budget
  And the OPM website: https://research.utdallas.edu/opm/guidelines/subrecipient-monitoring

- **For more FAQ’s, visit:** https://research.utdallas.edu/osp/faq

We appreciate your feedback: please let us know how we can improve this guide for you.
**What we do:**

- Identify funding opportunities
- Proposal review, authorization and submission
- Assist with required internal and external forms
- Preparation and adjustment of budgets
- Award negotiation and acceptance
- Non-financial post award administrative functions
- Education and training on sponsored program-related topics
- Facilitate research collaboration

**Contact OSP if you:**

- Need help finding funding
- Want to submit a proposal
- Been contacted by a company to do research
- Have an NDA, MTA, MOU or other non-monetary research agreement
- Received a notice of award
- Want to add a subcontract, equipment or modify participant costs on a funded project
**Office of Post Award Management (OPM)**

**What we do:**
- Oversight of all sponsored projects
- Establish cost center and budgets in PeopleSoft
- Review & validate transactions
- Ensure compliance with applicable federal/state rules/regulations
- Liaison between Research & Accounting and Financial Reporting office
- Education and training on sponsored program-related topics

**Contact OPM for:**
- Cost share/cost center set up
- Budget revision
- Expenditure approvals
- Compensation confirmation certification
- Cost transfers
- Close-out of project

**Senior Director**

Kelly McKinney  
x4540

**Manager of Post Award Operations**

Cindy Sutton  
x4809

**Manager of Financial Reporting**

Natasha Hinton  
x2315

**Grants & Contracts Specialist**

Maria Morris  
x4856

**Grants & Contracts Specialist**

Alison Bratton  
x4837

**Accountant**

William Old  
x4356
What we do:

- Manage invoice and receivables
- File financial status reports
- Prepare Indirect Cost Proposal
- Plant and property accounting
- Education and training on financial administration-related topics

Contact AFR for:

- Invoices
- Payments received
- Financial reports
- Capital equipment inventory
- Gift cost center balances
Proposal → Award Work Flow

Proposal
- If human subjects in proposal, contact Amanda Boone x4575 in IRB
- If vertebrate animals, contact Kathan McCallister x2465 in IACUC
- Conflict of Interest, contact Conor Wakeman x4718
- Export Control, contact Conor Wakeman x4718
- Cert Forms require signatures from
  - PI
  - co-PI
  - Dept Head
  - Dean

Submission
- OSP Grant Specialist reviews application for compliance with sponsor guidelines
  - Emily Lacy x4572
  - Dina Caplinger x2312
  - Lela Paksoy x2041
  - Wendy McDonald x2109
  - Jill Ritter x4821
  - Rashida Francis x4315
  - Danielle Lissberger x2176
- If grant application is ready for submission, OSP Grant Specialist will submit to sponsor

Award
- OSP Grant Specialist will enter award into PeopleSoft (PS)
- OSP Grant Specialist will forward Notice of Award (NoA)/fully executed agreement to Post Award Management (OPM)
  - Alison Bratton x4837
  - William Old x4356
  - Maria Morris x4856
  - Natasha Hinton x2315
  - Cindy Sutton x4809
  - OPM generates award – setting up pay & collection project cost

Request Cost Center
- OPM will submit a request via PS Forms for a cost center
- Cost Center request gets routed for signatures via PS
- Accounting and Reporting sponsor assignments:
  - Tracy Lederer x4518
  - Chantele Bell x2677
  - Merrie Tabbert x4274
  - Carol Yan x2672
  - Akanksha Nayyar x4831

Office of Finance
- Once all approvals obtained, Jazzmyn Wilson x4702 will generate the cost center and email the information to OPM
- OPM will communicate this information to Rebecca Everett x4313 and OSP Grant Specialist
- Ms. Everett will send an award notice announcement to the PI, School Fiscal Officer, and the PI’s Administrative Assistant
PI contacts OSP Grant Specialist when they have identified a solicitation (RFP, BAA, PAR) to respond to.

PI completes the proposal and submits a final version and internal forms to OSP Grant Specialist at least 4 business days prior to deadline.

Grant Specialist will review proposal for administrative, technical, financial, research compliance, and in accordance to sponsor guidelines.

Prior to submission of the final version of the application, OSP Grant Specialist will verify approvals on the Cert and Export Control forms.

Rebecca Everett scans and uploads cert form and emails documents to appropriate AA and/or SFO.

OSP Grant Specialist will complete the grant file folder and PeopleSoft entries.

OSP Grant Specialist will follow-up to confirm submission is complete. Any errors will require resubmission of application prior to deadline.

After obtaining final submit approval from PI, OSP Grant Specialist will submit application prior to submission deadline.

The University of Texas at Dallas
Office of Research
OSP will receive Notice of Award (NoA) from sponsor. Award documents require review and signature by the Authorized Organizational Representative (AOR). OSP reviews the terms and conditions of every award received. Non-federal awards normally require negotiations, especially with industrial sponsors. Negotiations are coordinated between OSP, sponsor, PI, and as appropriate, the UT System Office of General Counsel. OSP Grant Specialist will process NoA requiring AOR signature and/or counter signature from the sponsor. Award document and budget details are sent to OPM & OSP Business Process Analyst (BPA). Once OPM has a cost center, this information is sent to the OSP BPA & Grant Specialist. OSP BPA will generate an email award announcement sent to the PI, his/her Administrative Assistant, and the School Fiscal Officer. PI will need to sign and return the New Award Notification to show s/he has reviewed the terms and conditions of the award.