



# 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.

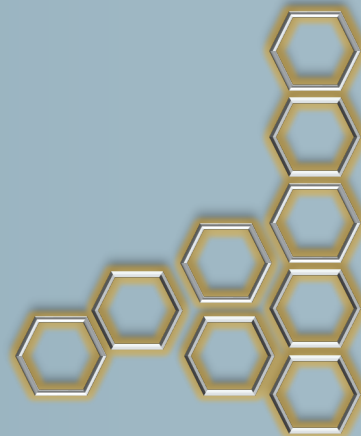
SPA is the central point of coordination and tracking for sponsored projects and is UTHHealth's authorized representative for grants, contracts, and other agreements from government agencies, private industry, and non-profit foundations.



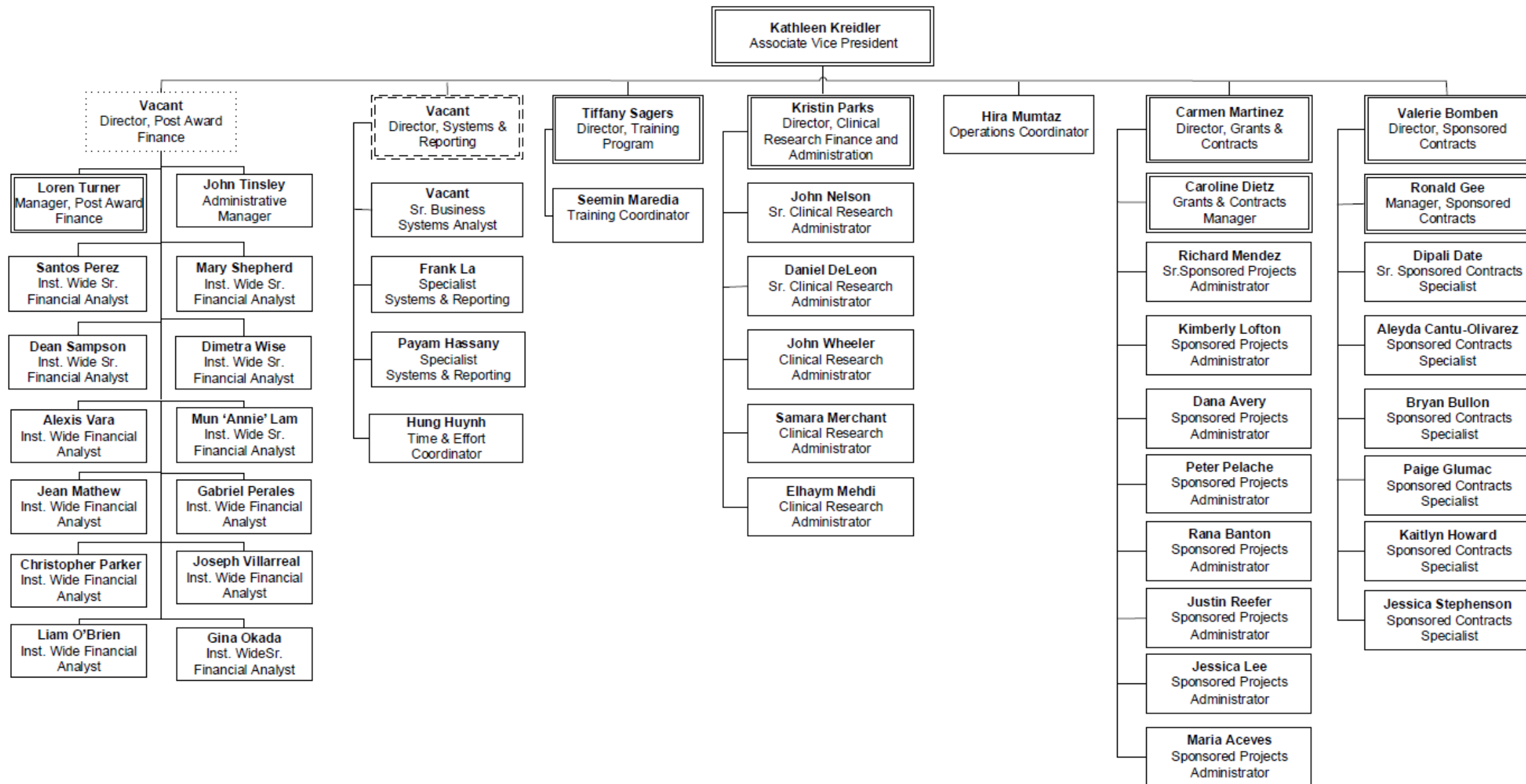
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# Sponsored Projects Administration



# SPA Grants and Contracts Team



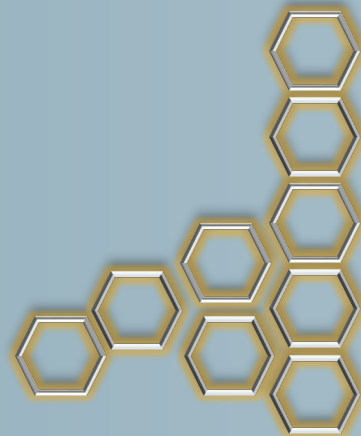
- Review and approve administrative components of a proposal (i.e. not science) for Grants, Cooperative Agreements, & Subcontract Proposals ([HOOP 64](#))
- Ensures grants meet sponsor, UT System and institutional guidelines
- Serves as liaison between PI and sponsor on administrative/financial issues
- General pre-proposal guidance
- RFP guideline interpretation
- Authorized signing officials ([HOOP 124](#) ).



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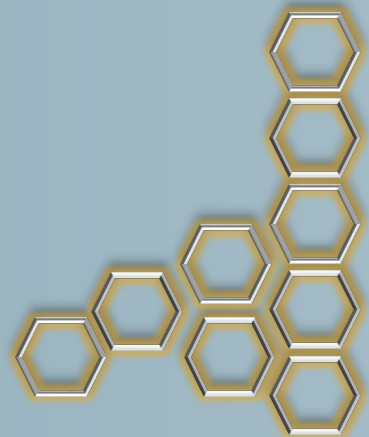
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# Purpose of the Institutional Review

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?

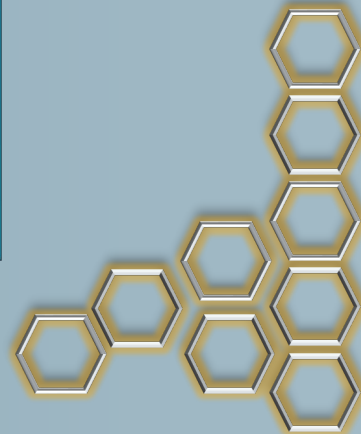
Department/PI	School	Sponsored Projects Administration (SPA)
<ul style="list-style-type: none"><li>• Eligibility of Principal Investigator (PI)</li><li>• Scientific merit within scope of department</li><li>• Proposal meets sponsor requirements</li><li>• Willingness of co-investigators and consultants to participate</li><li>• Subcontract documents from collaborators</li><li>• Assurances (Animal, Human, Biological Agents, etc.)</li><li>• Compliance (Conflict of Interest &amp; PI Responsibility Training)</li><li>• Financial (Budget development, Cost Sharing, Salary Verification)</li></ul>	<ul style="list-style-type: none"><li>• Scientific merit within research and educational objectives</li><li>• Meets financial interests of school</li><li>• Additional space, renovations, equipment installations</li><li>• Approval of indirect cost waivers and cost-sharing</li></ul>	<ul style="list-style-type: none"><li>• Administrative &amp; Financial (A&amp;F review) for accuracy and compliance to sponsor guidelines</li><li>• Review for compliance with institution and UT System</li><li>• Review assurances &amp; Conflict of Interest Forms</li><li>• Secure institutional approval of cost sharing and indirect cost waivers</li><li>• Provide the Authorized Signing Official Signature (ASO)</li></ul>



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# SPA Internal Deadlines

## HOOP 64

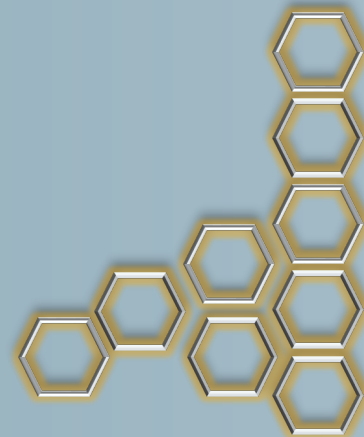
- Requires Sponsored Projects Administration review proposals prior to their submission to an agency
- SPA request that proposals are submitted for Administrative and Financial Review (A&F) review 10 working days prior to submission
- Proposals meeting the published 10 business day deadline will be given 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.



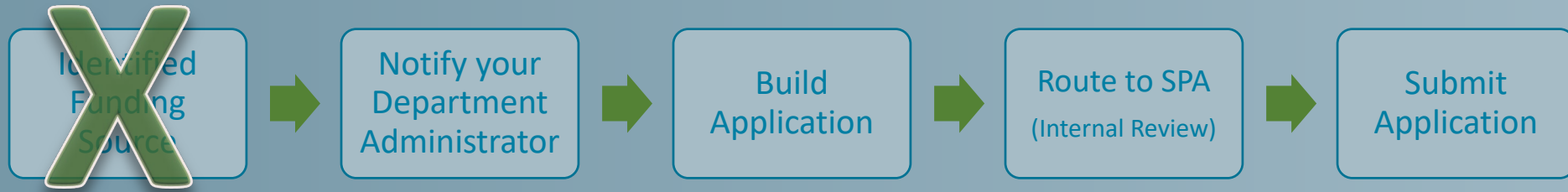
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# Proposal Development



## Notify Department Administrator

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

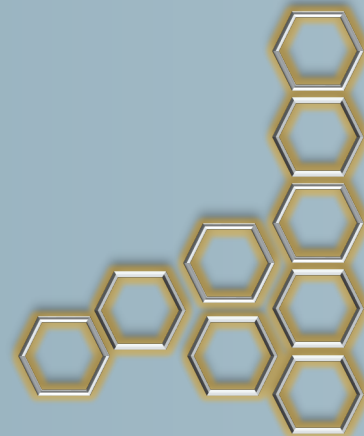
**Locating your Department Admin - Completes Half the Battle**



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# Proposal Development



## Build Application

- Complete administrative section of the grant application.

### Institutional Information

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

### Budget Development / Simple Detailed Budget

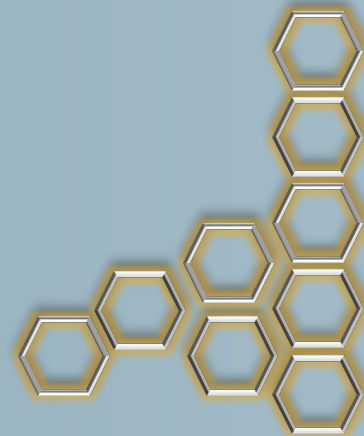
- Complete application in UHealth START system. (training required)




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# UTSTART - Grants

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[Financial Tracking](#)  
[Agreements](#)  
[Subawards](#)  
[Subrecipients](#)  
[My Projects](#)  
[SPIN](#)

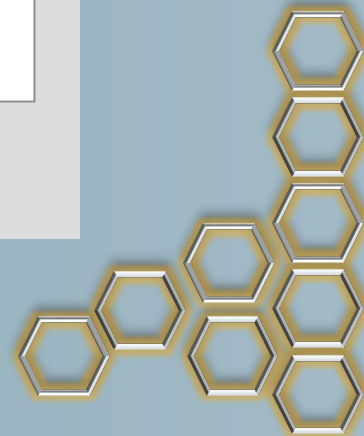
### Sponsored Projects

Create New

[Proposal](#)   [Management Record](#)

Accessing Records/Reporting


[Locate records by using filters](#)   [Show a listing of All my records](#)  
[Adhoc Reporting](#)   [Pre-Defined Reports](#)

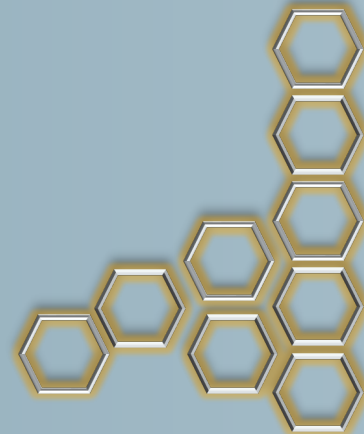


# Proposal Development



## 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 UTHHealth 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

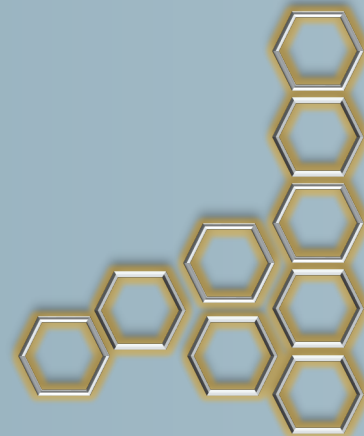
- For Federal applications – PI/Dept. Administrator uploads final science documents and routes for final review. SPA will submit after PI certifies and attests to the correctness of the application and upon final compliance review by SPA administrator.
- For non-Federal applications – Sponsored Projects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



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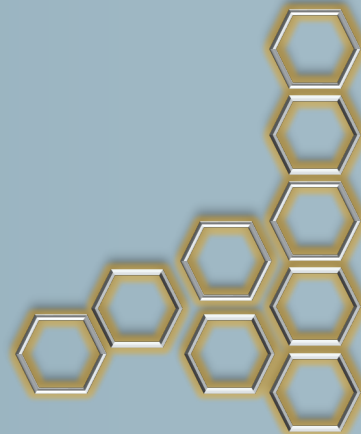
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# Remember

- Start early
- Training is required to gain access to the UTSTART system.
  - Faculty/Postdoctoral Fellows can receive a 30 minute, 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 [Learn2Succeed](#)
- SPA Internal Deadline (HOOP 64)
- Notify Departmental Research Administrators
- Contact : [Carmen Martinez, MHA](#) (Director – Grants and Contracts)  
[Caroline Dietz, PhD](#) (Manager – Grants and Contracts)



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# Sponsored Projects Contacts / Agreements

# Institutional Policy on Contract Negotiation

## Inside UTHHealth Houston

Search the *Inside*

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### Office of Legal Affairs

Office of Legal Affairs

- General Legal & Ethics Counsel
- Healthcare Risk Management
- Institutional Contract Information**
- International Affairs
- Privacy Office
- Public Information Requests 
- Notary

### Institutional Contract Information

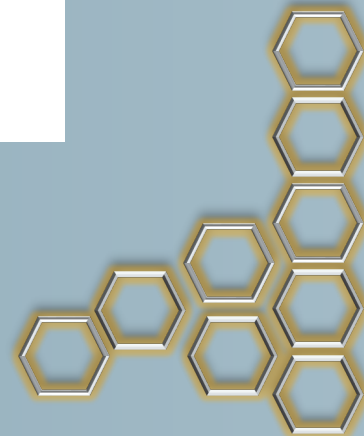
**Links:**

HOOP Policy 124 - Authority to Execute Contracts and Make Purchases 

(entering into contracts or making purchases on behalf of the university)

[Delegation Authority Matrix](#)

- Technology Management, Legal Affairs, Procurement and SPA



# Sponsored Projects Administration - Contract Assistance

## *3 Preaward Teams that negotiate SPA contracts*

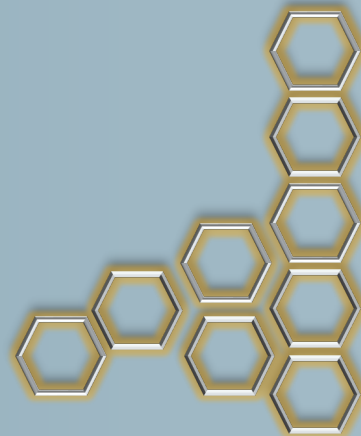
- *Clinical Research Finance Administration*
  - *Clinical Trials, Coverage Analysis and Confidentiality Agreements*
- *Grants & Contracts Administration*
  - *Subcontracts Out and Subcontracts In*
- *Sponsored Contracts*
  - *Material Transfer Agreements*
  - *Data Use Agreements*
  - *Sponsored/Collaborative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



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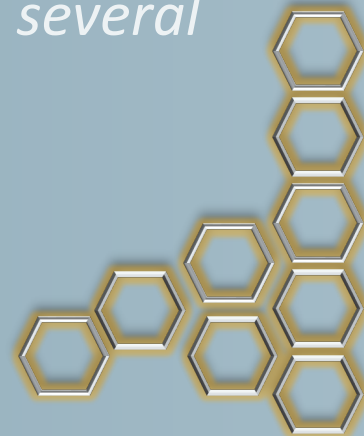
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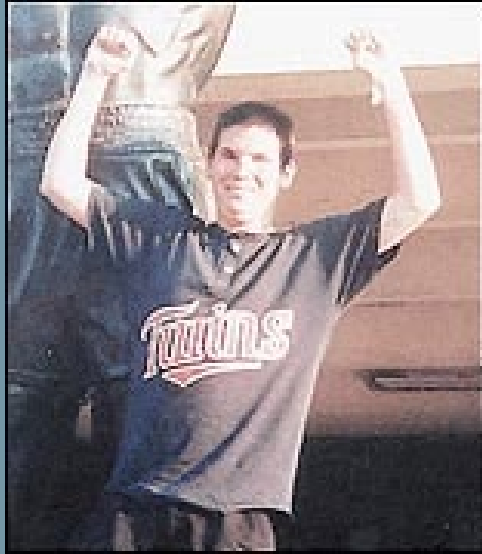
# Why do central offices negotiate contracts?

- *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

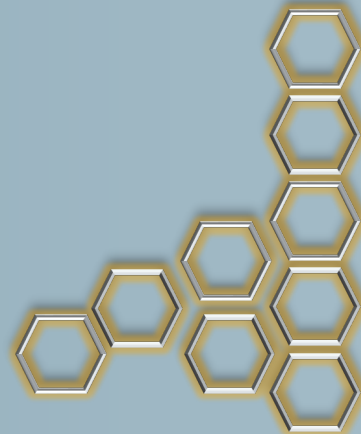


1999 - First person known to have died from experimental gene therapy

Lawsuit against Univ. of Pennsylvania

- PI was heavily invested in the company, Genova, Inc.
- University failed to disclose death of monkeys in the informed consent
- University failed to disclose SAE of two other enrolled patients.

Settled for an undisclosed amount



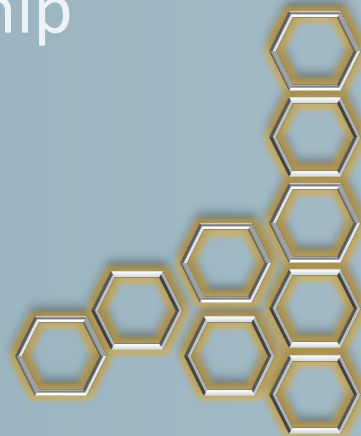
# What can go wrong?



- 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



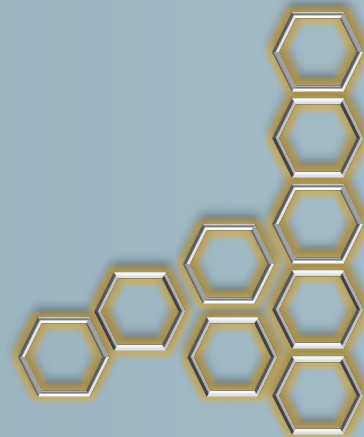
# What SPA needs to know?

## *Work Scope!*


- 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*



# UTSTART - Contracts

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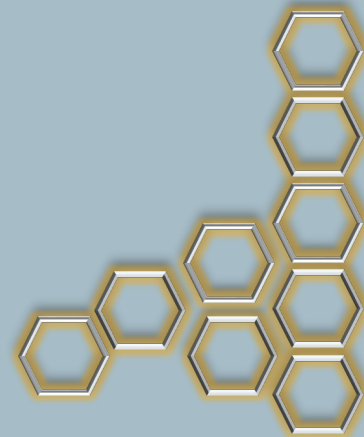
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[SPIN](#)

### Agreements

Create New

<a href="#">Amendment</a>	<a href="#">Clinical Trial</a>
<a href="#">Collaboration</a>	<a href="#">Confidentiality/Nondisclosure</a>
<a href="#">Consulting/Services Out</a>	<a href="#">Coverage Analysis</a>
<a href="#">Data Use/Business Assoc.</a>	<a href="#">UTHealth Fee for Service</a>
<a href="#">Services (by other Entity)</a>	<a href="#">Grant Terms &amp; Conditions</a>
<a href="#">Master Agreement</a>	<a href="#">Material Transfer</a>
<a href="#">Professional Services</a>	<a href="#">Salary Reimbursement</a>
<a href="#">Site Out</a>	<a href="#">Sponsored Research</a>
<a href="#">Subaward In</a>	<a href="#">Copy from existing</a>



# Contract Assistance

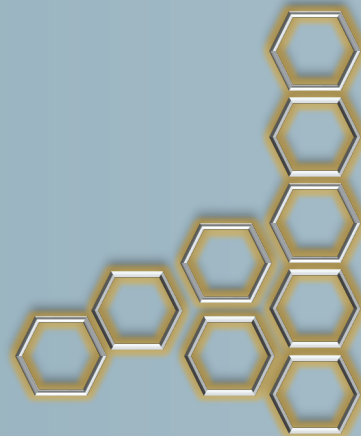
- [Kristin Parks](#) – Director, Clinical Research Finance Administration
  - [Valerie Bomben](#), PhD – Director, Sponsored Contracts



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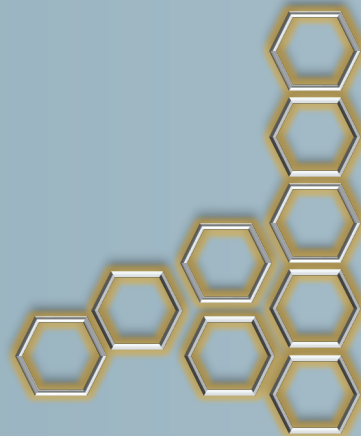
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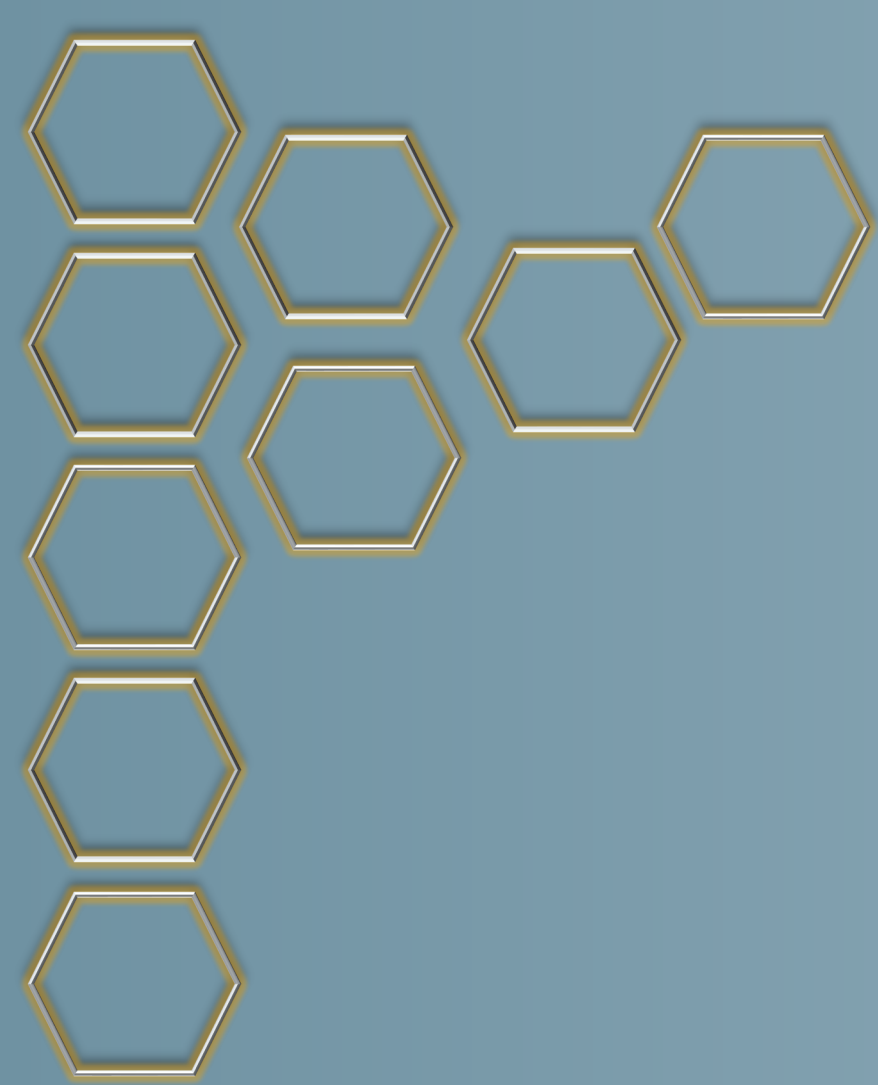
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# More Information

- Contact SPA with any questions during the pre-award process:  
[preaward@uth.tmc.edu](mailto: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!