

Quick Reference Guide for Sponsored Programs and Research Agreements

University of Texas at San Antonio
Office of the Vice President for Research,
Economic Development, and Knowledge
Enterprise



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Background

The Office of the Vice President for Research, Economic Development, and Knowledge Enterprise ([VPREDKE](#)) is honored to provide assistance and administrative support to all professors, students, staff, and partners engaged in valuable research and sponsored programs across the university. The REDKE staff promotes the work of the UTSA community to support research and scholarly excellence, to assist in the commercialization of research, and to assure that projects receive oversight for research integrity and financial accountability.

One key aspect of REDKE's support is the management of sponsored programs. The Research Service Centers ([RSC](#)) and Grants & Contracts Financial Services (GCFS) are responsible for managing sponsored programs. **(See our directory at <http://research.utsa.edu/contact-research/service-center-directory/>).**

Pre-Award: Proposal Development

Once you have made the decision to apply for external funding, notify your RSC to let them know using their online intake form (LINK). The brief intake form will give the RSC staff initial information needed to help you along the proposal process. The RSC staff will review the sponsor's requirements and develop a checklist of items that you will need in order to submit your winning proposal.

The Office of Research Support also may assist with proposal development for large multidisciplinary proposals, especially those that are selected for the Limited Submission process. For more information contact Liana Ryan, Assistant Director of Faculty Development, (Liana.Ryan@utsa.edu; (210) 458-7339). A request for assistance form is located here: <https://utsaresearchsupport.wufoo.com/forms/q1xq8knv1bgb14q/>. You should also check with your dean's office regarding other administrative support for grant writing and grant development.

Pre-Award: Proposal Submission

All external funding requests require institutional review & approval by the Principal Investigator's (PI) RSC prior to submission to the sponsor.

Please refer to your RSC for submission requirements, including specific sponsor conditions, budget limits, institutional approvals, compliance reviews, and associated documentation. The RSC will provide a checklist to help guide the team (you, your RSC contacts, and other support personnel) on roles and responsibilities specific to your submission.

RSCs should be notified of your upcoming submission as soon as possible to properly schedule time to support your submission, including specific agency information (RFP, BAA). should be included in the RSC intake form at least 5 days of the grant submission deadline. All documents should be completed at least 2 days before the grant submission deadline. RSCs may not complete all checklist items for submissions received later than 2 days before the deadline.

UTSA uses **Cayuse424** for preparation, routing, and submission of all sponsored projects. This institutional process captures faculty effort in terms of proposals and awards, and eventually ties them to the sponsored project expenditures. The proposals, awards, and expenditures data is used for faculty annual evaluations, promotion and tenure related processes, as well as institutional reporting. In addition, the routing process allows for implementing a “shared credit” model that enables the intellectual effort to be credited in dollars to the PI/Co-PIs, academic departments, colleges, and centers and institutes. Please see http://research.utsa.edu/wp-content/uploads/2015/05/Shared_Credit_Policy.pdf for an overview of the shared credit model.

Additional responsibilities coordinated by RSCs include:

- Award Setups
- Award Modifications
- Award Closeouts (non-financial)

Pre-Award: Developing Contracts and Other Agreements

The RSC is the initial contact for financial research-related agreements (e.g., sponsored research agreements (SRA), research contracts, funded collaboration agreements, subagreements). The RSC will engage the Office of Contracts and Industry Agreements ([CIA](#)) to negotiate and execute the agreement with your external partner(s). Once executed, the RSC and GCFS will process the sponsored project in the same manner as a grant award.

CIA also works directly with faculty and staff to establish non-financial research-related agreements (e.g. non-disclosure agreements, material transfer agreements, cooperative research and development agreements, teaming agreements, data use agreements). Once the agreement is in place, the PI will receive a copy of the fully executed agreement for him/her to proceed with the research activities.

Post Award Management

Upon receipt of an award via official notification, the RSC will initiate the setup of a **Project ID** in PeopleSoft. The **Project ID** is the financial account set up for the award.

The PI is responsible for the fiscal oversight of their project(s). Reports such as the Monthly Financial Report (MFR) and Burn Rate Report are examples of resources available for this purpose. College Financial Leads (CFLs) and RSCs are responsible for monitoring and managing the ongoing expenditures on sponsored projects according to the requirements set by the funding agency or sponsor.

Research Service Centers

RSC staff will work with the PI and his/her department staff for effective award management, and will be available to answer questions and provide any assistance needed throughout the award.

The PI is responsible for preparing any required progress, final technical reports, or other deliverables on the project. In some cases, however, the RSC will review and submit progress

reports (e.g. NIH annual RPPRs), whereas in other cases the PI will submit on his/her own (e.g., industry contracts). Instructions will be provided by the RSC according to the award or contract terms and conditions.

Additional post-award responsibilities coordinated by RSCs include:

- Award Setups
- Award Transfers (to/from other institutions)
- Award Modifications
- Award Closeouts (non-financial)
- Equipment Transfers
- Review and approval of expenditures charged to a Project ID
- Prior Approval Requests

Grants & Contracts Financial Services

GCFS is responsible for preparation and submission of any required financial reports. Upon setup of a new Project ID, a GCFS grant accountant will be assigned to manage financial issues throughout the duration of the award. The assigned GCFS accountant will work with RSC staff for effective award management, and will be available to answer questions and provide any assistance needed throughout the award.

Additional post-award responsibilities by GCFS include:

- Award Setups
- Award Modifications
- Award Closeouts
- Cost Transfers
- IDTs
- Budget Transfers
- New Sponsor Setups

Quality Assurance & Risk Management (QARM)

QARM is responsible for maintaining quality control processes and managing high risk areas such as subrecipient monitoring and payroll confirmations. QARM serves as the point of contact for audits conducted on sponsored projects. This office develops and coordinates responses to audit inquiries and findings.

Response Time Goals

The following matrix provides a general timeline for common pre- and post-award processes. **Please note that these timelines will be longer when corrections or clarifications are needed.** In the event that corrections or additional information are required, the RSC, CIA,

and/or GCFS will provide a detailed response within these timelines. It is also important to remember that these timelines begin *once the RSC has received a fully executed agreement or sponsor notice of award*.

Please Note: GCFS had a significant backlog of Award setups and modifications that were resolved in November 2018. Until then, timelines were longer than what is shown in the matrix.

Activity	Expected Timeline
Basic New Award Setup/Modification	10 business days
Complex Award Setup/Modification*	12 business days
Award Closeout (financial only)	30 business days
Cost Transfers	5 business days
IDTs	3 business days
Budget Transfers	3 business days
New Sponsor Setups	2 business days
Negotiation of Subawards	10 business days
Evaluate financial agreement (contract) requests	5 business days
Review and route for Sponsor signature agreements on a UTSA Template, with no substantive changes	10 business days
Review, revise as needed, and provide draft agreement to Sponsor for acceptance (Class 2 and 3**)	30 business days
Review, revise as needed, and provide draft agreement to Sponsor for acceptance (Class 1**)	45 business days

* If the Award setup or modification involves any of the following, it will require additional processing time:

- Award setups or modifications with cost share and/or multiple Project IDs.
- Award setups or modifications with subawards
- Agreements/Contracts with complex and/or unclear terms and conditions: processing time will depend on response time from other parties such as the sponsor, RSC staff, CIA staff, departmental staff, and/or PI.

**** Type of Revisions:**

- Class 1- Draft new agreement, Intellectual Property, Publication, Confidentiality, Indemnification, Insurance, Governing Law, Export Control
- Class 2 - Scope of Work, funding/budget, type of agreement, other contractual provisions
- Class 3 - Corrections, typos, formatting, other minor issues

Important Notes: All *financial agreements* must first be routed through Cayuse in coordination with the RSC. In the case of *non-financial agreements*, CIA staff will work with (PI)/staff to obtain the required information to initiate an agreement request. However, if the final details of the engagement between the PI and partner have not been finalized, the agreement request will remain on "On Hold" status until the PI is ready to proceed. The expected timeline above corresponds to the time the CIA staff will take to review a new agreement request; it does not include the time the Sponsor may spend reviewing the agreement or negotiation time.