Pre-Award Process

1. **Read The University of Texas Permian Basin** General Academic and Research Policies

2. **Identify an Appropriate External Funding Source:** Feel free to use any of the public or subscription-based databases located on the ORSP Finding Funding page to identify agencies and opportunities that are closely matched with your concept and project.

3. **Notify the ORSP of your Intent to Apply:** Notify the ORSP (as well as your College Dean and Department Chair) via Intent to Submit a Proposal Form and an Internal Proposal Routing Form as soon as possible regarding your intent to apply for external funds. This stage is critical for the ORSP to plan and prepare for your upcoming submission, as the appropriate amount of time must be allotted in the schedule to accommodate budget revisions, routing, and electronic submission. When notifying the ORSP, Department Chair, and your College Dean about your intent to apply, please provide the following information on the Internal Proposal Routing Form:

   - Project Director/Principal Investigator (PI/PD)
   - All Co-Directors/Co-PI's
   - Funding Agency, Program, and Contact Information
   - Due Date (including appropriate Letter of Intent and/or pre-proposal deadlines
   - Project Title and Purpose of the Grant
   - Estimated Budget or Maximum Allowable Request
   - Internal and External Partners (with applicable sub-recipient form)

4. **Draft the Proposal and Budget:** Please make an appointment to speak with an ORSP staff member during the proposal and budget development stage to ensure that the funding request is compliant with institutional, federal, state, or local guidelines. During this stage, the ORSP may assign internal peer reviewers, mentors, or other personnel who can assist you in the development of your proposal (especially for faculty members new to the grant writing process). In addition, the ORSP is pleased to work directly with principal investigators/project directors in developing their proposal.

5. **Submit to the ORSP within Seven Business Days of the Due Date**: Submit the final completed proposal (including budget, budget justification narrative, abstract, and all additional proposal materials) to the ORSP within seven business days of the due date. **Please note:** submittal of materials after this deadline may not guarantee approval for submission.

6. **Route the Proposal:** The ORSP will initiate the routing process and will work directly with the principal investigator/project director to ensure the accuracy of the Internal Proposal Routing Form. This form ensures that the UTPB administration has been made aware of, and endorses, the formal request for external funding. Routing forms generally take three days for approval. After a project is routed, no significant changes should be made or occur within the budget or narrative. The principal investigator/project director will be notified of final status of their approval process. The ORSP will submit approved projects in a timely manner, in accordance with the ORSP scheduling priorities. Verification of submission will be provided to all grantees.

7. **Obtain IRB/IACUC/IP/Export Control Approval:** Principal Investigators/Project Directors are encouraged to immediately begin the IRB/IACUC/IP/Export Control process if their grants require approval. Please note that if the externally funded program requires IRB, IACUC, IP, or Export Control approval, the principal investigator/project director may not begin grant activities until all appropriate personnel are approved to do so by the respective committees. Please be advised that

principal investigators/project directors are not eligible to determine that their own activity is exempt or non-exempt.

8. **Formal Submission:** Completed and approved projects (including narratives, budgets, and appendices) will be submitted directly by the ORSP, unless written authorization is provided by the Associate Vice President for Research, allowing the principal investigator/project director to submit directly.

9. **Next Steps:** During the Pre-Award period, the PI/PD should schedule a meeting with the [Office of Research and Sponsored Programs](#) to discuss any budget concerns that must occur prior to the grant contract execution (e.g., funding students, pre-award spending, and new regulations).

10. **Receiving the Contract/Award:** When a grantor issues an award or (declination), official notification will be made via phone, letter, and/or email. Recipients may include the President, the ORSP, and/or the Principal Investigator/Project Director. Additionally, the U.S. Senator's Office or local Congressman's Office may be notified. If awarded, the ORSP will receive an official Grant Award Notification (GAN) or Notice of Award (NOA), which must be reviewed by the UT System Office of General Counsel and fully executed by UTPB administration. This contract will bind the institution to the terms and conditions outlined in the award notification.

11. **Contracts/Awards:** All fully executed award notifications will be kept on file in the ORSP. Accounting Services will establish a unique PeopleSoft account for each contract using specific Funds, Functions, Cost Centers and Accounts. The PI/PD will be notified of the appropriate codes and will be expected to attend PeopleSoft training sessions for efficient administration.