



Roles and Responsibilities in Sponsored Programs

Office of Research, Scholarship, and Sponsored
Programs



One of the first things a principal investigator wants to know is who do they contact when they want to seek external funding for their research, scholarship, or instructional activities. All requests for external funding must be processed through either the Office of Research, Scholarship, and Sponsored Programs or the UT Tyler University Advancement Office. There are several factors that are used to determine which office is the best one to support the request and the two offices work together to guide investigators to the right office. In this workshop we'll go over some of the factors that makes the Office of Research, Scholarship, and Sponsored Programs the office that will help you.



Priority: *Enrich the Student Experience*

Increase research experiences to be broadly available to all graduate and undergraduate students.

Priority: *Advance Excellence in Teaching, Research, and Healthcare*

Double research expenditures by 2027.



UT Tyler's Carnegie rating is based in part on the amount of its research expenditures which means that research activities must be coded in PeopleSoft with the research function code for research expenditures to be included in the data used to create the financial reports. UT Tyler's financial reports are used by many organizations such as the Texas Higher Education Coordinating Board and the National Center for Education Statistics to rate the university. The Office of Research, Scholarship, and Sponsored Programs is in place to support the research mission of UT Tyler.



Office of Research, Scholarship, and Sponsored Programs (ORSSP)
The University of Texas at Tyler



The Office of Research, Scholarship, and Sponsored Programs is UT Tyler's unit responsible for processing proposals to and managing awards for sponsored programs. We have offices on both the main campus and the Health Science Center campus and we're here to help you from finding funding to closing out of an award. We're here to help you navigate the increasingly complex and competitive world of external funding sources.

Sponsored programs are funded by an external organization, i.e., a federal, state, or private organization or agency.

Examples of sponsored programs that are classified as research include:

- Awards for faculty to support their research activities
- External funding to maintain facilities or equipment and/or operation of a center or facility which will be used for research
- External support for writing of books, when the purpose of the writing is to publish research results
- Awards to departments, units, or schools for the support of the research activities of students or postdoctoral scholars, e.g., research training grants



Sponsored programs covers many types of activities that can be accurately classified as research.

Sponsored programs may also include:

- Funding for curriculum development projects
- Funding for writing of textbooks or reference books, video, or software to be used as instructional materials
- Travel grants
- Support for conferences
- Support for projects pertaining to library collections, acquisitions, bibliographies, or cataloging
- Support for programs to enhance institutional resources, including data center expansion, computer enhancements, etc.

Not all sponsored programs involve research activities.

Sponsored project funding is usually:

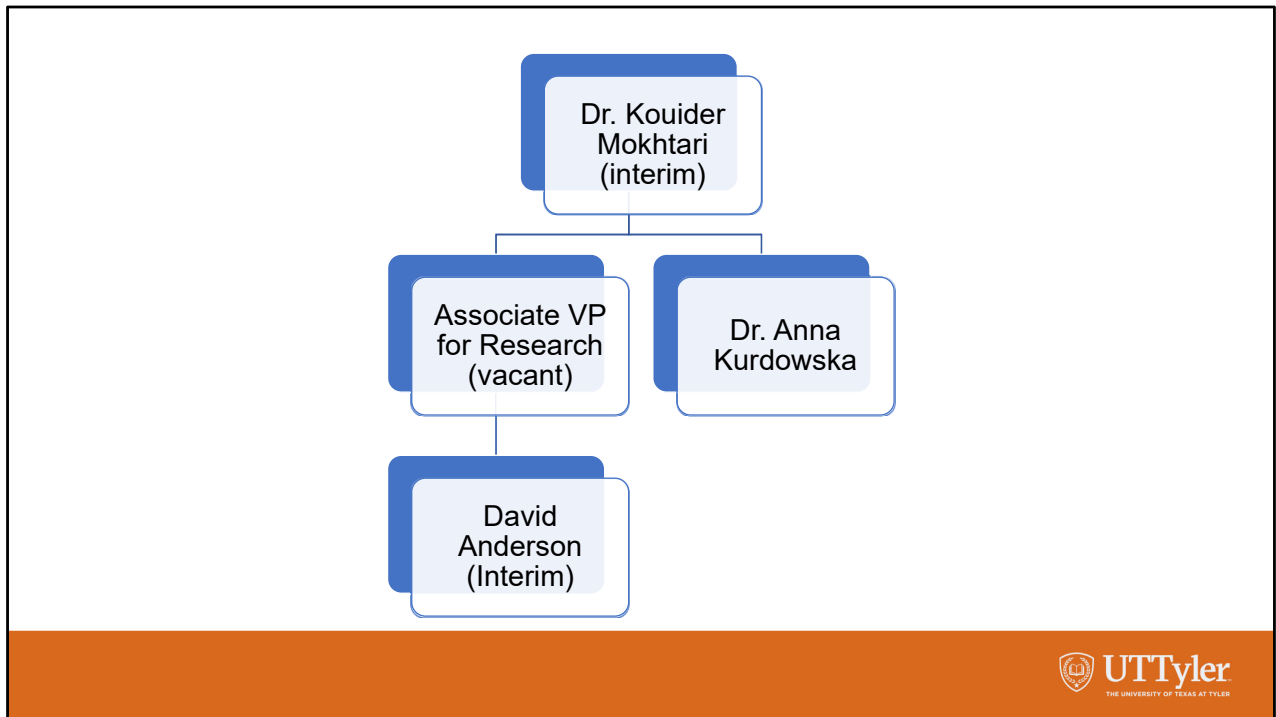
- Provided through a competitive application and award process
- Supported by a statement of work or line of inquiry

Sponsored projects typically have award terms and conditions:

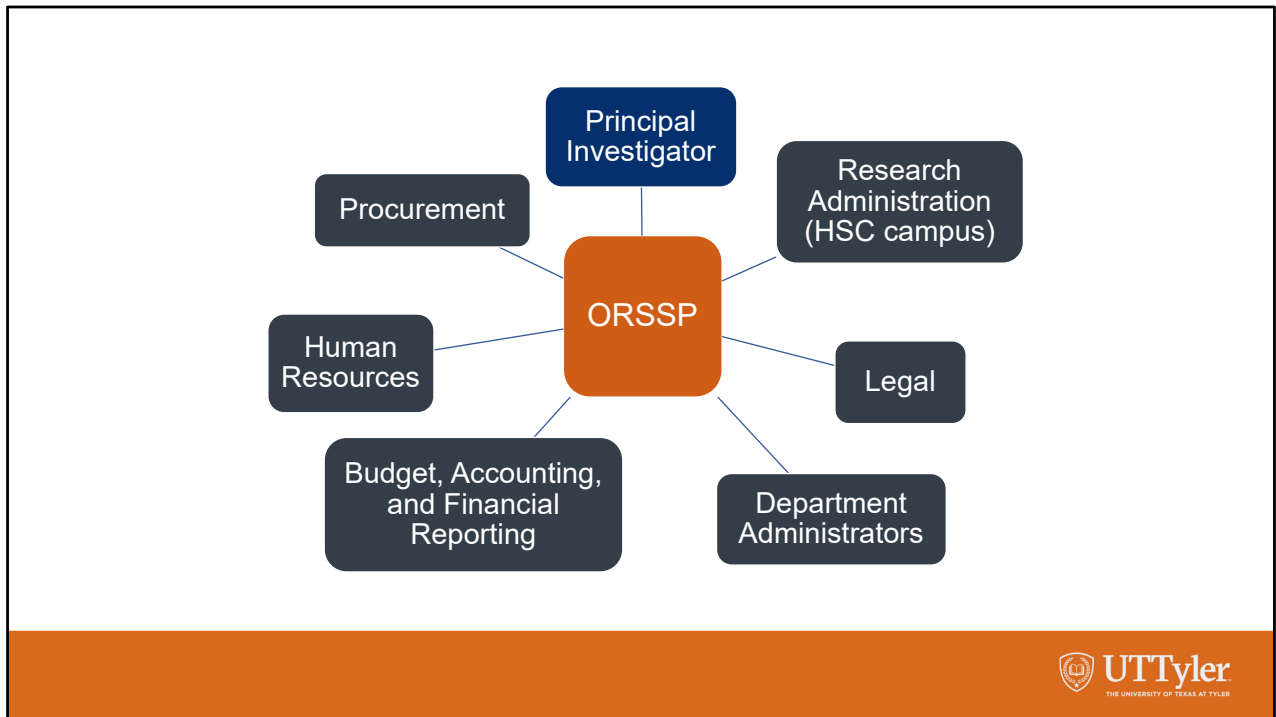
- A requirement to return any unexpended funds at the end of the project
- Detailed financial reporting (beyond acknowledgment of funds)
- Terms for disposition of property (e.g., equipment, deliverables, data or intellectual property)



Sponsored projects are usually awarded through a competitive application process and include a statement of work or line of inquiry. They also have award terms and conditions



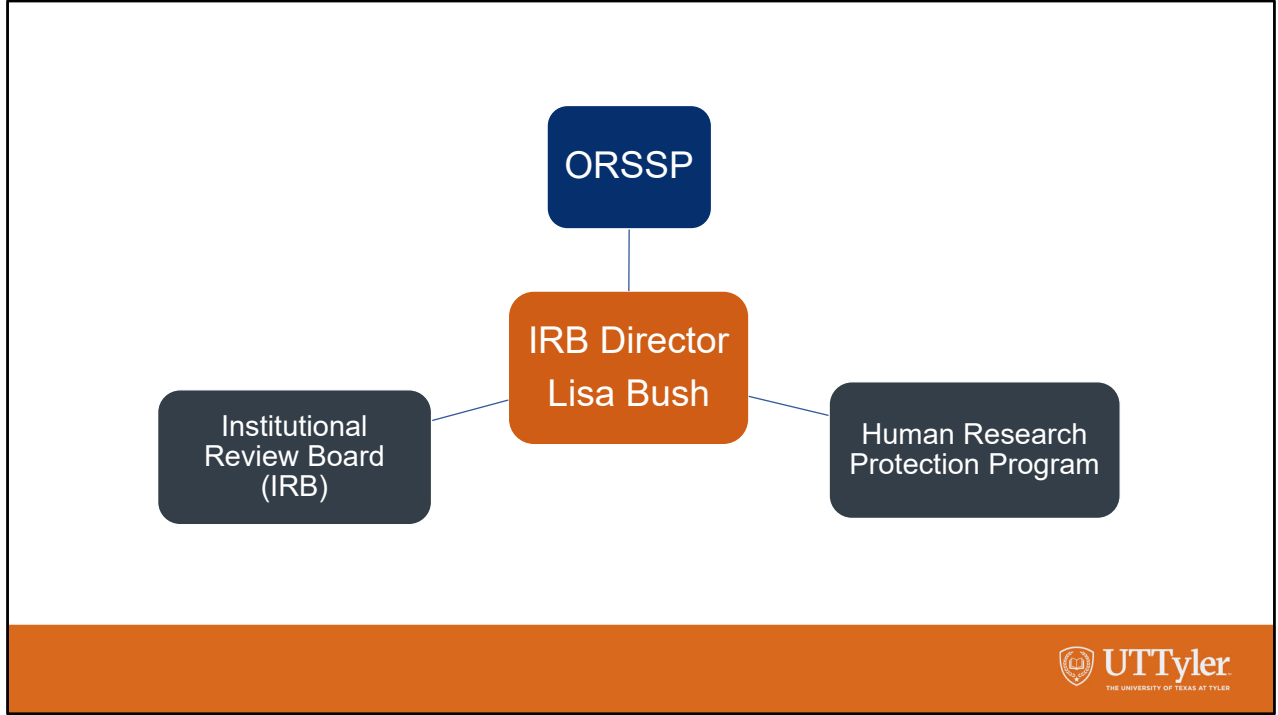
Like many universities, UT Tyler, uses the central office of sponsored projects organizational model. The Office of Research, Scholarship, and Sponsored Programs is in the senior vice president for research area.



We can't support principal investigators successfully without the support of many other offices and departments. This graphic shows some of the offices we work with to ensure good stewardship, management, and oversight of the administrative aspects of the research enterprise at UT Tyler.



The Office of Research, Scholarship, and Sponsored Programs works closely with the UT Tyler Research Compliance Officer to ensure that research activities from the proposal stage to award close out comply with federal, state, sponsor, and UT Tyler regulations and guidelines. Dr. Anna Kurdowska, Research Compliance Officer oversees many of the committees and staff involved in reviewing, monitoring, and approving research activities.



In addition, we work closely with the IRB Director, Lisa Bush, when research involves human subjects.

Sponsored Program Lifecycle



Adapted from: Society of Research Administrators International Level Up Module 1: Relationships, Roles, and Responsibilities in Research Administration.



Typically, a sponsored program office is divided into two core functional areas: pre-award and post-award. The pre-award function includes activities such as assisting faculty in locating funding sources, preparing a proposal, submitting a proposal. Another pre-award function includes mediating the award process with the sponsor to ensure university research policies are adhered to and that other financial and programmatic terms and conditions are acceptable to the institution.

Setting up the award in the university accounting system (PeopleSoft) is done by accounting on the HSC campus. On the main campus the award is set up by the ORSSP post award. Post-award functions include activities such as monitoring expenses, monitoring spending against the budget, and time and effort reporting. Some post-award functions are conducted by offices outside of ORSSP.

Office of the Senior Vice President for Research

Kouider Mokhtari, Ph.D.	Interim Senior Vice President for Research	kmokhtari@uttyler.edu	903-565-5561
Anna Kurdowska, Ph.D.	Associate Vice President for Research Compliance and Research Compliance Officer	anna.kurdowska@uthct.edu	903-877-7738
David Anderson	Interim Director of Office of Research, Scholarship, and Sponsored Programs	david.anderson@uttyler.edu	903-877-7486



By now you probably understand why it can be difficult to know who to contact about your proposed research or your awarded research project. So, we'll start at the top!

ORSSP Pre-Award Main Campus

Kay Jenkins, MS, CRA	Grants & Contracts Specialist	kjenkins@uttyler.edu	903-566-7094
Marissa Glosecki	Research Associate	mglosecki@uttyler.edu	903-565-5858
Carla Reichard, Ph.D., CRA	Assistant Director	creichard@uttyler.edu	903-565-5670

- Find funding
- Preparation of funding opportunity checklists
- Preparation of proposal templates
- Proposal development, review, and editing
- Subaward risk assessment
- Budget development and review
- Congruency review
- Final review for compliance with sponsor guidelines
- *Authorized Organizational Representative*: Kouider Mokhtari
- *Proposal Submission*: Carla Reichard



Pre-award functions on the main campus are provided by Kay Jenkins, Marissa Glosecki, and Carla Reichard

ORSSP Pre-Award HSC Campus

Angela Fazarro, MS	Grants & Contracts Specialist II	angela.fazarro@uthct.edu	903-877-7910
Audrey Gray	Grants & Contracts Specialist II	audrey.gray@uthct.edu	903-877-7585
Matt Lee	Grants & Contract Lead	matthew.lee@uthct.edu	903-877-7245

- Proposal development and review
- Budget development and review
- Congruency review
- Subaward risk assessment
- Final review for compliance with sponsor guidelines
- *Authorized Organizational Representative*: David Anderson
- *Final Submission*: David Anderson

- Clinical trial agreements



Pre-award functions on the HSC campus are provided by Angela Fazarro, Audrey Gray, and Matt Lee.

- Find funding
 - List of and links to funding databases: <https://www.uttyler.edu/research/proposal-development/files/general/funding-sources.pdf>
 - Pivot: <https://pivot.proquest.com/>
- Proposal Development webpage: <https://www.uttyler.edu/research/proposal-development/>
- Facts for Proposals webpage: <https://www.uttyler.edu/research/proposal-development/factsforproposals/>
- Faculty Professional Development Workshops webpage: <https://www.uttyler.edu/research/faculty-development-workshops/>



The ORSSP website has many resources and links to help PIs find funding and develop their proposals.

Research Design & Data Analysis Lab

Office of Research, Scholarship, and Sponsored Programs

About Us

The mission of the Office of Research, Scholarship, and Sponsored Programs (ORSSP) Research Design and Data Analysis Lab is to support research at The University of Texas at Tyler by providing students, faculty, and staff with expert guidance in developing research designs and methods and conducting data analyses that are based on quantitative, qualitative, and mixed method approaches.

Our Objectives

- Provide guidance in the development of research designs and methods for the use with quantitative, qualitative, and mixed-methods approaches including one-on-one consulting, workshops, and tutorials online.
- Develop a repository of online resources on research approaches, designs, methods, and data analysis for use by students, faculty, staff, and beyond.

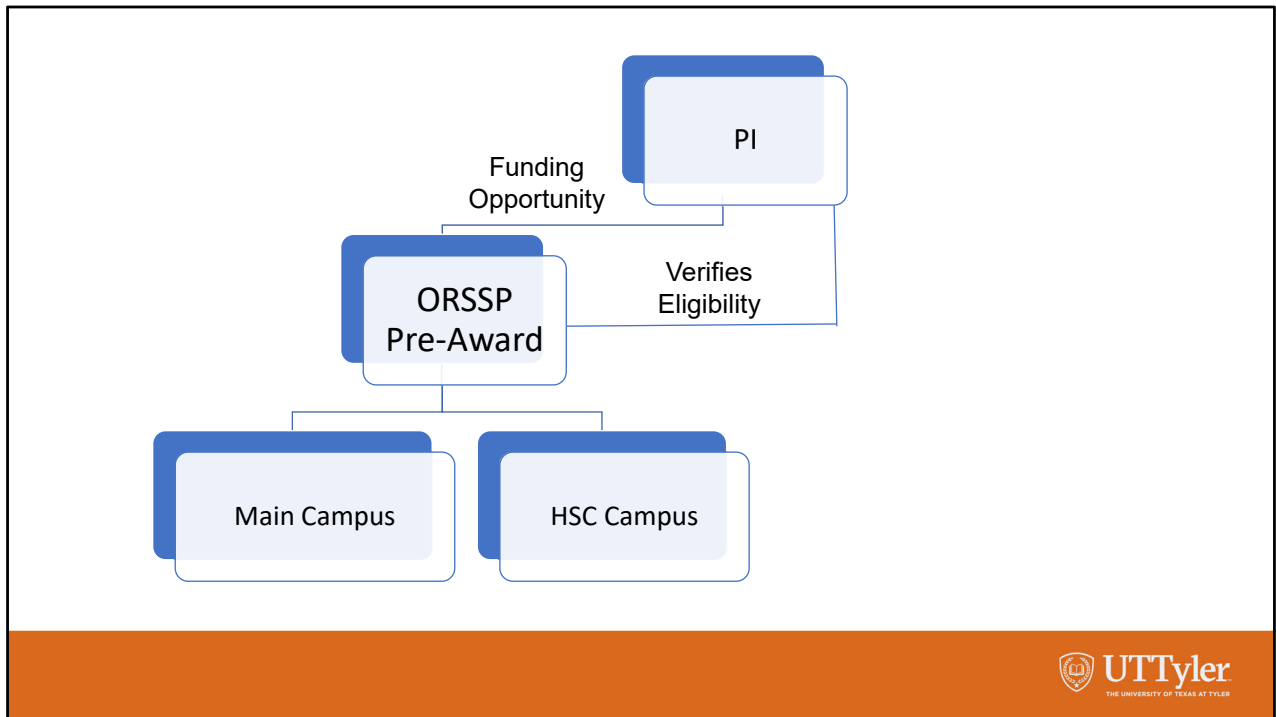
Our Team

- Visit [here](#) to meet our consultants and schedule an appointment
- Visit [here](#) to meet our staff

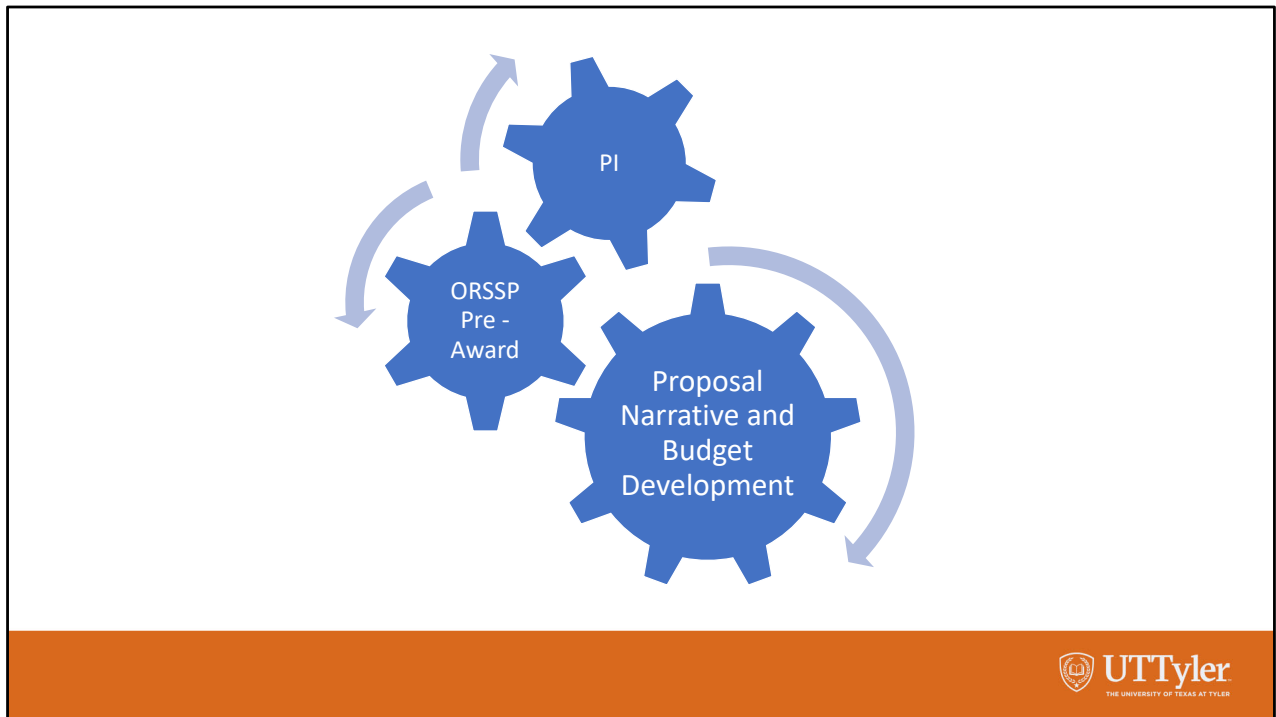
<https://www.uttyler.edu/research/ors-research-design-data-analysis-lab/>



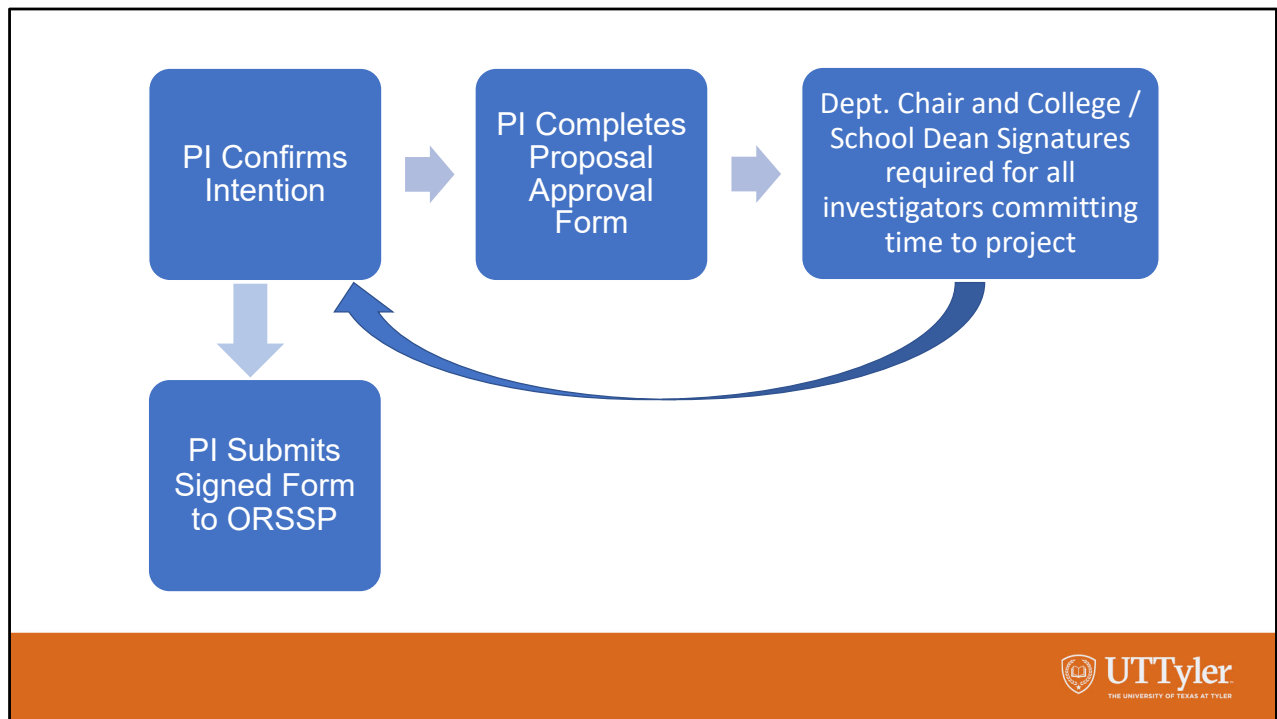
The ORSSP Research Design & Data Analysis Lab supports research by providing students, faculty, and staff with expert guidance in developing research designs and methods and conducting data analyses.



It's important to start by contacting the ORSSP office on the campus where you work when you have found a funding opportunity you are interested in pursuing. Pre-award will help you verify institution and investigator eligibility.



Once the PI has notified the ORSSP of intent to submit an external funding proposal, the gears start churning to develop a proposal and budget. Frequent communications between the PI and ORSSP pre-award staff are needed to exchange information to support the development of the proposal narrative and budget.



About the same time that the proposal is being developed, the PI fills out the proposal approval form on the main campus or the notice of intent to submit on the HSC Campus. On the main campus the PI must get signatures from their department chair and dean and all co-PIs and their department chairs and deans.



Proposal Approval Form

Submit completed and signed form to the Office of Research, Scholarship, and Sponsored Programs (ORSSP). Questions? Contact ORSSP at research@uttyler.edu or 903-565-5858.

Project Title: [Click or tap here to enter text.](#)

Project Director/Investigator(s): [Click or tap here to enter text.](#)

Sponsor Name: [Click or tap here to enter text.](#)

Funding Opportunity Announcement Number or Name: [Click or tap here to enter text.](#)

Link to Funding Opportunity Announcement: [Click or tap here to enter text.](#)

Proposal Due Date: [Click or tap here to enter text.](#)

Time that proposal is due on Due Date: [Click or tap here to enter text.](#)



If you have submitted a proposal on the main campus, you might recognize this form. The form, of course, asks many more questions. The answers to those questions are what the ORSSP uses to determine which units need to receive a copy of the form to review. PIs are required to complete the proposal approval form and disclose the required items, whether they are submitting to a federal or non-federal external funding organization.



One of the main differences that will occur with the implementation of the Cayuse Sponsored Programs module is in the routing of the proposal approval form during the internal review process. All faculty will be assigned a “SP user” role in Cayuse Sponsored Programs. Those who will review and approve the proposal form will be given “SP Proposal Reviewer” roles. When ORSSP Pre-Award routes the Cayuse Sponsored Program Proposal form it will go out to several administrative units simultaneously. The PI will no longer need to email the form or route it through DocuSign to get chair and dean signatures. Instead, when Pre-award routes the form for review and approval, co-PIs, chairs, deans, and other administrative staff will receive an email from Cayuse telling them to log into the Cayuse Sponsored Programs module and review and approve the form in Cayuse. The administrative units that are notified to review and approve the form are automatically determined by Cayuse based on the PI’s answers to questions in the Cayuse proposal form.

Disclosures

Required disclosures at proposal stage for federal grants

- Project elements that will be performed by anyone employed by a foreign organization, whether grant funded or not
- All income, salary, consulting fees and honoraria in support of research endeavors
- All resources and other support, both domestic and foreign, for ongoing research projects, including those conducted at a different institution
- Financial conflict of interest reported annually between March 1 and March 31 – [UT System Outside Activity Portal](#)



Federal laws require principal investigators to disclose several things at the time a proposal is submitted. When completing the current proposal approval form or the new Cayuse Sponsored Programs Proposal Form, the PI will be asked to disclose many items to comply with federal, state, sponsor, and university regulations, guidelines, and policies. The items in this list are expected to be disclosed in the proposal to federal funding agencies.

Internal Review

- Effort
- Items that require internal financial review and approval:
 - Requests for waivers or lower indirect costs (IDC)
 - Requests for supplementary pay if grant, subaward, or contract is awarded
 - Requirement for or voluntary inclusion of cost share
- Additional approvals that may be required
 - Chief Financial Officer
 - Provost

All proposals, awards, subawards, and contracts go through internal review.

Institutional Compliance

Would the proposed project involve the use of any of the following (please check all that apply)?
(Note: if you get a grant award, you must have approval from the appropriate committee before beginning work.)

- Human Subjects (IRB committee)
- Animal Subjects (IACUC committee)
- Hazardous Materials (recombinant DNA; radiation; hazardous chemicals; or infectious agents – IBC committee)

Conflict of Interest: Does the PI or Co-PI have any significant financial interests in entities related to this research project as described in the HOP Section 2.5.5? If yes, they must be disclosed in the UT System Outside Activity Portal at <http://outsideactivity.utsystem.edu>.

- No
- Yes:



The proposal approval form or Cayuse Sponsored Programs Proposal form will ask research compliance questions. Approvals from institutional committees such as the IRB, IACUC, and IBC are not required at the time a proposal is submitted, but they are required before any activities involving these activities can begin.

Human Subjects Research

- NIH Decision Tool: Am I Doing Human Subjects Research? <https://grants.nih.gov/policy/humansubjects/hs-decision.htm>
- Human subjects research is overseen by the Human Research Protections Program (HRPP) <https://www.uthct.edu/center-for-clinical-research/human-research-protections-program/>
- Approved IRB protocols are not required at proposal stage
- Lisa Bush, MS, CIP
HRPP Director
irb@uthct.edu
903-877-7738



Human subjects research covers many types of activities from conducting surveys to clinical trials. The type of activities will determine the types of information that need to be included in the proposal. ORSSP pre-award staff works with PIs to help them by providing templates if needed to complete any required information at the proposal stage. IRB protocols are not required at the proposal stage. An approved IRB protocol is required if awarded a grant or contract before any activities involving human subjects can begin.

Congruency Review

A congruency review is a side-by-side comparison of a proposal (grant, award, contract, subaward, etc.) to a protocol to ensure that all animal activities outlined in the proposal have been approved by the UT Tyler Institutional Animal Care and Use Committee (IACUC).

Dr. Anna Kurdowska
Research Compliance Officer
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Congruency reviews are required if the proposed research will involve animal research. Congruency reviews are conducted at multiple stages of the grant or contract lifecycle. An approved IACUC protocol is not required at proposal stage, but it is required before a grant, award, contract, or subaward can be set up. The animal activities described in the proposal and/or award document must be congruent with the approved IACUC protocol.

When Cayuse is implemented, then Dr. Kurdowska will get an email notifying her that a proposal approval form that includes animal research is being routed for review and approval.

Definition adapted from What is a Congruency Review? It's Your Yale.
<https://your.yale.edu/research-support/animal-research/protocols/division-research-congruency-dorc/what-congruency-review>.

Internal Review

- Hazardous materials review (recombinant DNA, radiation, hazardous chemicals, infectious materials) – IBC Committee
- Source of preliminary data
- Export control
- Foreign components
- Conflict of Interest

Dr. Anna Kurdowska
Research Compliance Officer
anna.kurdowska@uthct.edu
903-877-7738



Dr. Kurdowska also reviews proposals for many other research compliance requirements.



It is best that chairs, deans, and the research compliance officer have seen at least a draft of the proposal narrative when the proposal approval form is routed. The form only asks for a short description of the project and that is probably not enough information for conducting an adequate internal review. The PI should share a draft of the proposal narrative or contract scope of work with the chair and dean prior to the routing of the proposal form. ORSSP pre-award will coordinate the internal review with Dr. Kurdowska.

Just In Time – NIH Grants

- Required committee reviews should be initiated
- Official notification of IRB review and approval for the research protocol must be submitted for NIH Grants Involving Human Subjects <https://grants.nih.gov/policy/humansubjects/pre-and-post-award-processes/jit.htm>
- Certification that all key personnel have completed the education requirement in the protection of human subjects must be provided – Contact ORSSP for links to required trainings



Notice of Award

- ORSSP pre-award will
 - Review the award against the original proposal and initiate internal review
 - Elevate the award to Legal if non-standard or risky terms and conditions are included
 - Determine if there are any outstanding compliance approvals
 - Review for and advise PI and Marketing of any sponsor restrictions on publicizing the award
 - Complete an award announcement and route to PI for approval and then provide it to Marketing
 - Provides award documents to ORSSP post-award for award set up



Notice of Award

- IRB Director
 - Review the award against IRB protocol
 - Verify and confirm IRB approval
- Research Compliance Officer
 - Review the award against IACUC protocol
 - Verify that all outstanding compliance (other than IRB) approvals are in place before approving Award Form in Cayuse
- Principal Investigator
 - Provides all letters of compliance approval to ORSSP post-award



Notice of Award

- ORSSP Post-Award
 - Sets up award in PeopleSoft
 - Sets up PI IDC cost center
 - Emails relevant information to Budget and Accounting (Grant Accounting on main campus)
 - Organizes award kick off meeting with PI and department administrators



ORSSP Post-Award Main Campus

Amanda Whitt	Grants & Contracts Specialist	awhitt@uttyler.edu	903-565-5867
Angela Nunez	Grants & Contracts Specialist	anunez@uttyler.edu	903-566-7340

- Set up awards, subawards, and contracts in PeopleSoft and ensure proper coding for research projects
- Review and approve expenditures including subaward invoices
- Refer expenditures on any items that typically require compliance review to the Research Compliance Officer for review
- Monitor expenditures against budget
- Review and approve eForms for positions funded by projects
- Review Procard expenses
- Record and/or update Peoplesoft with amendments, no cost extensions, budget adjustments
- Manage Active Grants spreadsheet
- Time and Effort



Post-award functions are conducted by Amanda Whitt and Angela Nunez.

ORSSP Post-Award HSC Campus

Rachel Lee	Grants & Contracts Specialist	rachel.lee@uthct.edu	903-877-7594
Vacant	Grants & Contracts Specialist		

- Time and effort
- Non-technical reports
- Some post-award duties are conducted by ORSSP pre-award staff on the HSC campus and by the Budget and Accounting offices

Post-award functions are in part conducted by Rachel Lee on the HSC campus.

Billing

- Main campus
 - PIs should contact ORSSP post-award staff with questions regarding billings or drawdowns on their grants, awards, subawards and contracts
 - ORSSP post- award staff are the liaisons between principal investigators and Grant Accounting
 - Sponsor invoices and drawdowns are prepared by Grants Accounting (Marie Adams)
- HSC Campus
 - Accounting on the HSC campus prepares invoices and drawdowns
 - PIs may contact Jessica Hernandez directly regarding billing



Coming to you live in 2024!



Cayuse Sponsored Programs and System to System Modules will be implemented on both campuses in 2024. Several training sessions are scheduled already for early spring. Faculty and staff will be required to take a training before they use the platform. A training platform will be made available for practicing!