

PRE-AWARD PROCESS

1. **Read The University of Texas Permian Basin's [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's [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 ORSP (as well as your College Dean and Department Chair) via [Intent to Submit a Proposal Form](#) as soon as possible regarding your intent to apply for external funds. This stage is critical for 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 ORSP, Department Chair, and College Dean about your intent to apply, please provide the following information on the Intent to Submit Form:
 - Project Director/Principal Investigator (PD/PI)
 - All Co-Directors/Co-PIs
 - Project title
 - Estimated budget or maximum allowable request
 - Funding agency and funding announcement number/link to funding announcement
 - Due date (including appropriate letter of intent and/or pre-proposal deadlines)
 - Internal and external partners (with application [subaward forms](#))
4. **For 1) proposals that did not adhere to steps 1-2 above and did not go through ORSP review and/or 2) an agreement/contract was received unexpectedly.** Please notify ORSP at orsp@utpb.edu as soon as possible. For these situations, a separate Standard Operating Procedure will need to be followed.
[1.3b Pre-Award SOP Proposal Submission Unusual Circumstances.pdf](#)
5. **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, and/or local guidelines. During this stage, ORSP may assign internal peer reviewers, mentors, or other personnel who can assist you in the development of your proposal (especially for faculty members who are new to the grant writing process). In addition, ORSP is pleased to work directly with PIs/PDs in developing their proposal.
6. **Submit to ORSP within 7 business days of the sponsor's due date:** Submit the final completed proposal (including [budget](#), [budget justification](#), abstract, and all additional proposal materials) to ORSP within 7 business days of the sponsor's due date.
7. **Route the proposal:** ORSP will initiate the routing process and will work directly with the PI/PD to ensure the accuracy of the [Proposal Submission Routing Form](#) (or internal 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 PI/PD will be notified of the final status of their approval process.
8. **Formal submission:** Completed and approved projects (including narratives, budgets, and appendices) will be submitted directly by ORSP unless written authorization is

provided by the Associate Vice President for Research allowing the PI/PD to submit directly. Even so, ORSP must be cc'd in the email submission to the sponsor.

9. **Obtain IRB/IACUC/IP/Export Control Approval:** PIs/PDs need to obtain the IRB/IACUC/IP/Export Control approval if their grants require it. Please note that if the externally funded program requires [IRB](#), [IACUC](#), [IP](#), and/or [Export Control](#) approval, the PI/PD may not begin grant activities until all appropriate personnel are approved to do so by the respective committees. Please be advised that PIs/PDs are not eligible to determine whether their own activity is exempt or non-exempt.
10. **Receiving the contract/award:** When a grantor issues an award or declines a proposal, official notification will be made via email. Recipients may include the President, ORSP, and/or the PI/PD. If awarded, 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, if applicable, and fully executed by the UTPB administration. This contract will bind the institution to the outlined terms and conditions.
11. **Contracts/Awards:** All fully executed award notifications will be kept on file by 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.