UTHealth | START

Step by Step Process:
Proposal Development

infoEd GLOBAL

Contents

Introduction

This document addresses how to create and submit a proposal within the UTHealth START ("START") Proposal Development (PD) module. It generally assumes that the reader ("you") is the actual PI; exceptions to this rule will be described as needed. Training MUST be completed prior to being granted access to START.

Only Proposal Development is addressed in the document.   Training documents for each module are maintained separately.

Please note that the screenshots in this document may not exactly match what you see. This may be due to a variety of reasons: software updates, differing browsers and/or window sizes, the user having more or less security than assumed here, etc.

The Proposal Development module is used for:
- submitting **all** grant applications
  - Federal proposals are submitted to grants.gov via a system-to-system (S2S)interface
  - Non-federal proposals are tracked through START but submitted via sponsor site or via email to sponsor/prime institution
- processing all monetary Sponsored Project Agreements inclusive of Sponsored Research Agreements, Clinical Trial Agreements, incoming subawards, etc.

Go.uth.edu/start
System Support Contact Information:
For Technical Support: Systemsreporting@uth.tmc.edu
For Functional Support: your SPA grants and contracts specialist

Process

The process described here assumes that you already plan to submit a proposal and have the basic information available.

System functions that are common across START are detailed in the *System Navigation and Basic Functions Training Guide*. It is recommended that you use the training guides in conjunction with each other.

Summary of Approval Routes and What to Submit for Each

There are three levels of proposal/agreement routing and review built into START. You must complete and submit the proposal/agreement to the routes, in order, as specified below (and in more detail starting on page 21):

Proposal Type	Budget Review (1)	SPA Review (2)	Final Review (3)
Grant Proposals to Prime Sponsor	Yes	Yes	Yes
Subaward (UTHealth is Sub)	Yes	No	Yes
Monetary Agreements	Yes	No	Yes
Limited Submission (internal process)	No	No	Yes

Budget Review – This is the **first review**. It includes review of the project budget and justification, including all cost share and indirect cost waiver requests. Note: A detailed budget is required for every proposal/agreement.

- Budgets without cost share and IDC waivers are approved by the DMO/Administrative Manager
- Budgets with other departments are approved by the DMO/Administrative Manager of each department
- PI's and Co-Is will receive a notification of inclusion on a proposal/agreement when budget review begins
- Budgets with Cost share < $100,000 are approved by the Dean's Office
- Budgets with Cost Share $\geq$ $100,000 are approved by the Chief Financial Officer
- Budgets with IDC waiver are approved by the AVP Sponsored Projects, Chief Academic Officer, and Chief Financial Officer

SPA does not review the proposal in the Budget Review step unless there is Cost Share > $100,000 or an Indirect Cost Waiver request. This step is for the department/school to approve the budget.

In order to submit a proposal or monetary agreement into budget review, the following tabs/items must be completed:
- Set Up Questions
- Data Collection
- Personnel with effort (biosketches not yet needed)
- Budget
    - Sponsor Budget and justification
    - Cost Share Budget and justification (if applicable)
    - Indirect Cost Waiver and justification (if application)
- Abstract or Scope of Work attached (draft is acceptable)

While a proposal is in budget review, you may continue to edit the rest of the proposal and attach documents.

SPA Review: This is the **second review** and **is required only for grant proposals, federal and non-federal, going directly to the prime sponso**r. It occurs after the budget review is complete. In this review, SPA will review the entire proposal, including the budget, for completeness and for conformance with sponsor rules. In order to submit a grant proposal into SPA review, everything required by the sponsor must be completed/attached *except* for the following:

- Final Abstract

- Specific Aims
- Project Plan or Scope of Work
- References

If the proposal is non-federal, these scientific attachments may have different names but have the same purpose/intent. The rest of the proposal must be attached as one document in its final form (except draft science attachments may be included). PI's can continue working on the science portion of the proposals while the rest of the application is in review.
SPA review is combined with final review for all other grant proposals, such as subawards where UTHealth is the sub, and all monetary agreements.

Final Review: This is the **third review** and occurs when the PI has finalized and attached the science.

For Federal Proposals – Attach all the final scientific documents listed above

For Non-Federal Proposals– Attach the complete and final application as one complete PDF document that is being submitted to the sponsor/Prime Institution.
Note: You do not have to attach the final/complete application for CPRIT or American Heart Association. SPA has access to these sponsors' proposal systems and will review and submit via these systems.

For Subawards In (UTHealth is the subrecipient) – Attach everything to be submitted to the prime institution. This includes biosketches, facilities/resources, budget and justification, and UTHealth's Scope of work. Also include the Letter of Intent to enter into a Consortium (LOI) if it was provided by the Prime Institution. If not, SPA will prepare, sign and attach the LOI.

For Monetary Agreements – Complete all tabs and attach all documents that relate to the agreement (e.g. protocol, scope of work, draft agreement from sponsor, approved coverage analysis (if applicable).

Approved for Submission: Once the SPA Specialist approves the final proposal, it will be "Approved for Submission" and either signed and submitted by an Institutional Signing Official or approved by the Institutional Signing Official for the department/PI to submit to sponsor. Once a Monetary Agreement is submitted into Final Review, it will receive a status of "Agreement in Negotiation". Note, monetary agreements will have two "Submissions"; the Proposal to submit for budget review and the agreement for negotiation. This is further detailed in the *Agreements* Training guide.

Creating a New Proposal

Log into the START system and click the Sponsored Projects link. This will bring up a menu page. To create a new proposal, click Create New Proposal.
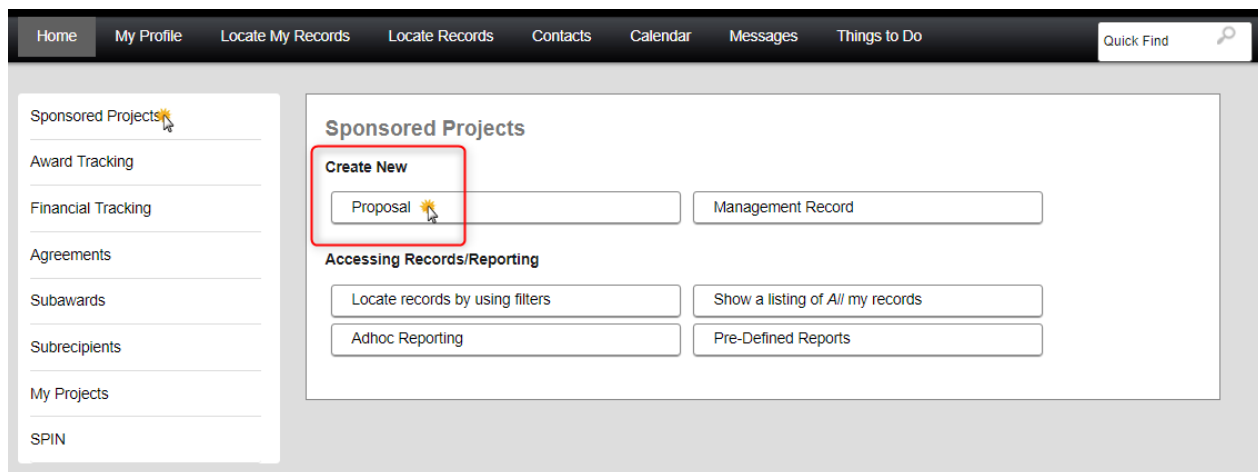
Renewals, Resubmissions, and Supplements

Follow the same process as when creating a new proposal except you will first need to link it to the original proposal.

Navigate to and open the original proposal. (Follow the search instructions in the *System Navigation and Basic Functions Training Guide* to search for the original proposal.*)*
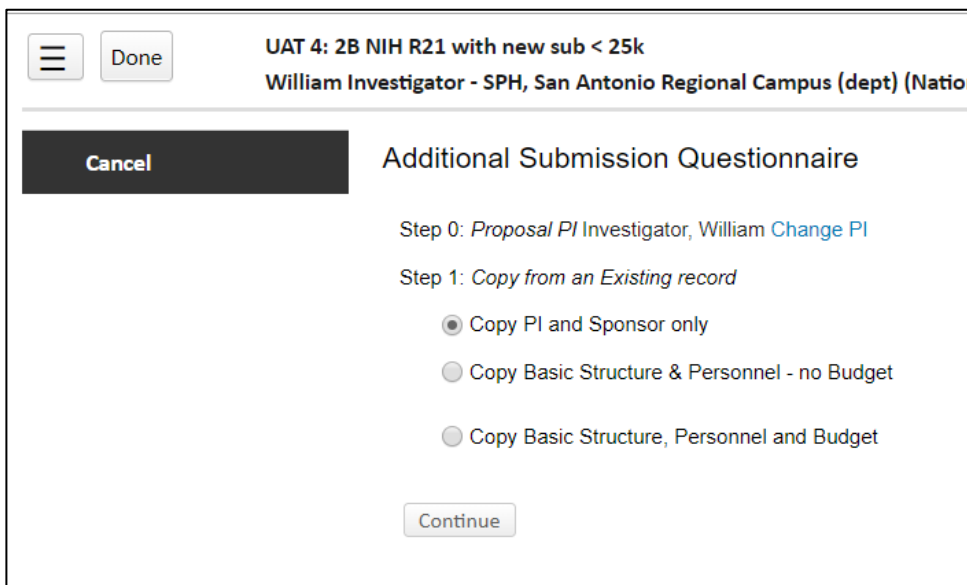
Click the Management Record Tab to open the original proposal.

Click on the Submission Tab then click on Add new PD record.

Select what sections of the original proposal you want to copy and click continue.

In step 2 below, you will select Resubmission, Renewal or Supplement. Begin the proposal starting with Steps 0 to 7.

Steps 0 to 7 – New Proposal Questionnaire

Every grant proposal and monetary agreement starts with the "7 steps".

No proposal is created (and no information stored) until AFTER Step 7. Before that point, you can return and revise any of the steps. However, once you reach the next phase, you may NOT return to the 7 steps. It is possible for department administrators to change any of the information entered through Step 7 later in the process.

Step 0: Change the PI if necessary

Step 1: Select whether you want to **create a new proposal** or **copy from existing proposal**. (Security rules will limit your access to proposals from which you can copy. In general, investigators have access to their *own* proposals and perhaps to those on which they are a key person but not the PI.) Department administrators will have access to all proposals in their department.

If you choose **copy from existing**, you will need to identify the source proposal to copy. Click BROWSE to open a search window. Check the box if you want to also copy all the attachments from the source proposal.

New Proposal Questionnaire

Step 0: *Confirm you intend for the PI of this proposal to be*   Investigator, Paula

Step 1: *"New" or "Copy From Existing"?*   Copy from Existing Proposal

Step 1: *Continued*

[   ] Browse ⬅

☐ Include all Proposal Attachments

[Continue]

Enter the criteria you have and click GO. You can either enter a specific proposal number to copy in the Select by Number field or you can enter specific search criteria in the Browse By section:

Add Proposal   Close

Select by Number   [P000417]   Go ⬆

Apply Filters   Go   Clear All

Browse By

Sponsor/Scheme	[ ] Set	Sponsor Type	Federal ▼
Primary Center/Program	[ ] Set	Center/Program	[ ] Set
Principal Investigator	Investigator, Paula - TEST1 Set	Investigator	[ ] Set
Primary Assoc. Dept.	[ ] Set	PI Department	[ ] Set

The search results will populate below the Browse By section. Check the appropriate radio button next to the proposal you wish to copy and click SELECT.

14 Records Found. Displaying pages 1 through 1 of 1

1

Number	Title	Sponsor/Scheme	PI	Select
P000075	Cancer Prevention and Career Development Program	National Cancer Institute/NIH/DHHS (NCI)	Investigator, Paula	◯
P000146	Testing	National Cancer Institute/NIH/DHHS (NCI)	Investigator, Paula	◯
P000161	Test NSF with sub - MB 2-19-19	Directorate for Computer & Information Sciences & Engineering/NSF (DCISE)	Investigator, Paula	⦿
P000178	Test 1v2: 3A NIH greater than $500K - TS	National Heart, Lung, & Blood Institute/NIH/DHHS (NHLBI)	Investigator, Paula	◯
P000188	Test 1v2: 3A NIH greater than $500K - TS	National Heart, Lung, & Blood Institute/NIH/DHHS (NHLBI)	Investigator, Paula	◯

Whether **creating new** or **copying from existing**, click CONTINUE.

Step 1 *Continued*: choose the best option for locating your funding opportunity by using the table below:

Select from Grants.Gov opportunities when you are submitting a federal proposal via Grants.Gov (Do NOT choose this option if you are the subaward.)

Enter the RFP (FOA, PA, RFA) # in the box next to S2S and click search.

The opportunity will appear on the screen. Click Select.

Select from SPIN opportunities when you are **not** **submitting to Grants.Gov**. You can search the SPIN database for funding opportunities at any time. (***Refer to the SPIN training document.***)

When you know what opportunity you want to apply for, enter a keyword, sponsor or opportunity number, uncheck the S2S box, click Search.

Search results will display. Click on the SPIN ID number to see the funding opportunity instructions. Click on the triangle to open the Create in PD box then click Select.

	SPIN ID	Opportunity Title	Sponsor
▶	008245 ↗	Recruitment of First-Time, Tenure-Track Faculty Members	Cancer Prevention and Research Institute of Texas
◢	**008239 ↗**	Recruitment of Established Investigators	Cancer Prevention and Research Institute of Texas
	Create in PD	**Synopsis**	
	Select	The aim of this award mechanism is to recruit outstanding senior research faculty with distinguished professional careers and established cancer research programs to academic institutions in Texas. The award provides up to $6 million over a period of five years.	
▶	008241 ↗	Recruitment of Rising Stars	Cancer Prevention and Research Institute of Texas

Setup proposal manually when non-federal and no SPIN ID#. This option will pass you directly to step 2.

Step 2: choose the proper proposal type. Utilize the table on the next page to make your proposal type determination. Click CONTINUE.

New Proposal Questionnaire   Back

Step 0: *Confirm you intend for the PI of this proposal to be*   Investigator, Paula Change

Step 1: *"New" or "Copy From Existing"?*   Create a New Proposal

Step 2: *Please Select a Proposal Type*   New/Original ▼
New/Original
Renewal
Resubmission
Supplement
Transfer In
Monetary Agreement
Limited Submission

Continue

Proposal Type	Description
New/Original	Initial application for a project not previously proposed.
Renewal	Subsequent application to continue a project that has been previously funded.
Resubmission	Application for a project that has been previously submitted but was **not** funded.
Supplement	Application for additional funds for a currently funded project. Additional costs must be within the scope of the project. (This is primarily for NIH Administrative & Diversity Supplements)
Transfer In	Transfer of the legal and administrative responsibility for a funded project or activity from another legal entity before the completion date of the project. For NIH, this is a Change of Grantee Institution (Type 7)
Limited Submission (internal pre-application)	Funding opportunity where the sponsor has placed a limit on the number of applications it will accept from one institution. This is the internal pre-application process to submit for review by the Executive Vice President's Office at UTHealth. BE SURE TO FOLLOW THE INSTRUCTIONS FOR LIMITED SUBMISSION starting on page 26.
After the Fact	Proposal has already been submitted to sponsor by department or PI without SPA review.

	Note: *This is a policy violation of HOOP 64*
Monetary Agreement	Project selected directly for funding without a competitive proposal. Sponsors may approach UTHealth for a project or UTHealth may approach Sponsor with a scope of work. Examples include Clinical Trial Agreements (CTA), Sponsored Research Agreements (SRA), Clinical Study Agreements (CSA), and Service Agreements.

Step 3: Choose the Sponsor if not auto-populated. Always choose the sponsor who is funding UTHealth (e.g. the Prime Applicant Institution if UTHealth is the subrecipient).   Type any part of the sponsor's name or abbreviation in the text box. When the name appears, click on it. If the sponsor you are looking for doesn't appear, try a variant of the name.

If the sponsor you want to select is not available, there is an option to select a "Default Sponsor". When selecting Default Sponsor send an email to Systemreporting@uth.tmc.edu to request the sponsor be added. Be sure to include the full sponsor name and your proposal number in the email. Systems and Reporting will update the sponsor on your proposal and will notify you when done.

New Proposal Questionnaire   Back

Step 0: *Confirm you intend for the PI of this proposal to be*   Investigator, Paula Change
Step 1: *"New" or "Copy From Existing"?*   Create a New Proposal
Step 2: *Proposal Type*   New/Original
Step 3: *Select a Sponsor*

> spon
>
> **American Medical Response (AMR)**
> **Assistant Secretary for Preparedness & Response/DHHS (ASPR)**
> **Default Sponsor**
> **Federal Computer Incident Response Center/DHS (FEDCIRC)**
> **Spondylitis Association of America (SAA)**
> **Test 1 Sponsors**

Continue

Step 4: a proposal number will be auto-generated when the 7 steps are completed.

Step 5: enter the full proposal title. Note: the Proposal Title can be edited at a later time (up to Proposal Submission).

Step 4: *"Tracking" Number or "Proposal" Number*   This proposal will be automatically numbered.
Step 5: *Proposal's Title*

Phasellus eget convallis odio. Aenean congue diam ex, ut sodales ipsum sodales varius. Aliquam non gravida ligula, vel auctor sed.

Continue

Step 6: enter the proposed start and end dates of your project. These dates can be adjusted later but are important to determine salaries, indirect cost rates, and fringe benefits.

Step 5: *Proposal's Title* ...llus eget convallis o... ...en...n ...ongue ...m e..., u... ...dales ip...u... so...ales va... ...Aliqu... ...h no... ...vida... g...a...d...
auctor sed.
Step 6: *What are the project start and end dates?*   From   01-Jul-2019
                                                                              To   30-Jun-2024

Continue

Step 7: START will automatically calculate the number of budget periods for the project based on the dates entered in step 6. It will assume one budget period is 12 months. In most cases, the calculated budget period will be correct. However, a multi-year proposal (such as a clinical trial or a contract with a single budget over multiple years or partial years) will have a SINGLE budget period, Any project more than seven periods can be adjusted within the Budget tab. Click CONTINUE.

Step 6: *Project Start and End Dates*   *01-Jul-2019 to 30-Jun-2024*

Step 7: *How many years and/or budget periods would you like?*

5 ▼

1
2
3
4
5
6
7

: If you need additional years/periods beyond 7, you may add them as needed once inside the al.

Continue

Verify that all the information you entered is correct, click CREATE PROPOSAL to save your work and move on to Setup Questions **You will not be able to go back after clicking CREATE.** Otherwise, click back to go backwards through the steps to correct information or simply exit without saving any information.

Step 7: *Number of Budget Periods*   5

Is all of the above information correct?

*NOTE: Clicking *"Create Proposal"* will create a new proposal with the properties you have indicated above. There is one final screen of questions to be completed before you can start entering your new proposal. Again, you will be able to change the properties of the proposal once it has been created if need be.

Step back through responses   Create Proposal

Your proposal number will then display in the upper right corner

Setup Questions

Setup Questions constitute the second phase of proposal development and must be completed prior to exposing the full proposal tab structure. All questions on the Set-up Questions page impact future data on tabs that will display once this page is completed.

The questions that appear on this page are dependent on the 7 step answers and the proposal type that you selected. The questions that are exposed must be answered to complete this tab and display the rest of the proposal.

Most questions are self-explanatory, others are explained more fully below.

For **Monetary Agreements**, you must select Monetary Agreements in the Submission Mechanism Section. Specific instructions for monetary agreements will then appear at the top of the page.   Since deadlines do not apply to monetary agreements, enter today's date and any time for the deadline questions.

For **grants.gov proposals** required forms will be auto-selected. However, you will need to check which of the optional forms are needed for your proposal: Detailed or Modular budget, Subaward budget, and assignment form.

The grants.gov submission section displays information about the particular opportunity number for which your proposal is being developed. No action is required of you, but you should review the information shown. This section lists the validations that Proposal Development is automatically enforcing on your proposal; you will not be able to save a proposal that does not conform to these validations. If a given proposal has a release such that one or more validations do not need to be applied, you can "opt out" of a validation by clicking the MECHANISM OPT IN/OPT OUT link.

Then choose one or more validations to remove, from the popup window. Click the Oᴘᴛ Oᴜᴛ button to continue.

For **all proposals and monetary agreements:**

You will need to select whether or not this is **a flow-through proposal/agreement.** This means that UTHealth is _not_ the primary applicant but rather the subrecipient or subcontractor.

If yes, you will need to add the originating sponsor (The ultimate source of funding) and/or correct the proposal sponsor to reflect the entity from which UTHealth will receive a subcontract and funding. Click Change next to the sponsor name.

Search for the correct sponsor name and click Select.

The correct originating sponsor now appears. Click Save to return to the Set Up Questions screen.

You will need to select the correct **program type**. The program type determines the correct indirect cost rate that will be used in the budget. Indirect Cost rates are pre-determined based on UTHealth's rate agreement and policy.

Selecting the Correct Program Type:

Basic/Lab Research or Services

Use for any proposal/agreement when the majority of the work will be laboratory based. A laboratory is defined as a basic science "wet lab", any computer/office space "dry lab", or any of the animal facilities. Basic/Lab research does not include the retrospective or prospective collection of human subject data or samples.

Clinical Research/Trial (Federal)

Use for any **Federal** proposal/agreement (whether UTHealth is the prime or sub recipient) when the majority of the work will be patient/participant based. This includes retrospective and prospective studies that is for the purpose of collecting human subject samples and/or data. (Utilizing human samples/data in wet or dry lab is basic research.)

Clinical Research/Trial (non-Federal)

Use for any **non-Federal** proposal/agreement (whether UTHealth is the prime or sub recipient) when the majority of the work will be patient/participant based. This includes retrospective and prospective studies that is for the purpose of collecting human subject samples and/or data.   (Utilizing human samples/data in wet or dry lab is basic research.)

Fellowship/Scholarship

Use for any grant proposal in response to an RFP for a fellowship or scholarship. These are typically submitted by pre-docs, post-docs and research fellows.   They will often require a mentor to be named and the budget usually only allows a specific stipend amount for the fellow/scholar and may allow nominal supply and travel costs.

Federal Training:

Select when submitting a federal training grant (T) federal research career development grant (K) or education grant (R25). These proposals allow an 8% F&A rate.

Non-Research/Public Service

Select when the project proposed is not a research project but is funded by an external entity. Examples of these types of proposals/agreements include: clinical services such as the Ryan White program, social services such as the WIC program, residency programs, and Quality Improvement initiatives.

Consulting/Professional Services

Consultants are experts outside the University hired to provides advice or services and may participate significantly in the research. Often he or she helps fill in smaller gaps by, for example, supplying software, providing technical assistance or training.

Travel/Conference

Select when applying for funding to support an individual's travel to a conference only or when applying for conference support for hosting a conference. NIH supports scientific conferences through R13 or U13 proposal mechanisms. Several foundations and for profit companies (e.g. pharmaceutical and medical equipment companies) offer funding for grad students and post docs to attend scientific conferences.

Equipment/Construction

Select when submitting a proposal or agreement for the sole purpose of purchasing/receiving equipment or for supporting the cost of altering/renovating/constructing space. This may include an equipment loan agreement. For NIH, it includes the shared instrumentation program (S10) and the Biomedical Research Facilities construction program (C06). Salaries, supplies, indirect costs not allowed in the budget.

Keywords are used to help categorize the research project. The keyword list is InfoEd's list of more than 10,000 words. Select up to three words that describe the project. UTHealth can use this information to create reports and to respond to various internal and external requests for information. For example, a congressman may ask how many grants we have that are for research on Diabetes.

Click on Set.

Type the first keyword in the search box and click GO.

Highlight the keyword in the results box and click Select. Type in the search box for your second word and continue until all of your keywords are selected. Click Save.

Your keywords now appear on the Set Up Questions page.

Proposal Tabs

Once Setup Questions are completed, all the required tabs for proposal development will appear.

These tabs may vary by proposal type but the variation will be greatest between Grants.Gov and "manual" proposals. Some key tabs are described in the following sections. Tabs that are described may be self-evident

To finish your proposal, you will need to visit each tab, supply the information requested (if any), and then click its COMPLETED box (top right corner). Completed tabs will display a check mark in the navigation panel. Clicking COMPLETED will lock that tab from changes. However, you can still make changes to previously completed pages by first "uncompleting" it (i.e., toggling the COMPLETED check box off). NOTE: uncompleting the Setup Questions tab will *also* uncomplete *all* other completed tabs – the displayed warning is provided. No data is lost by doing this but you WILL have to re-visit each tab, confirm that the data there are still relevant given the changes made to Setup Questions, and recomplete the tab.
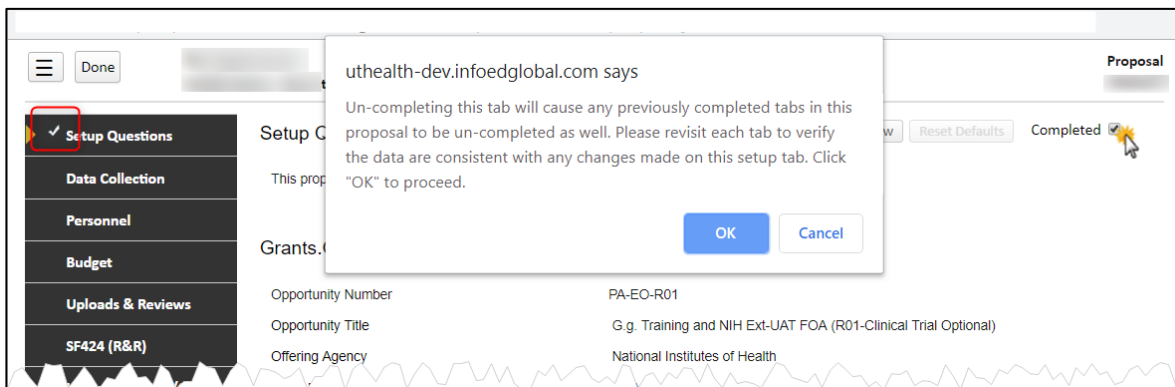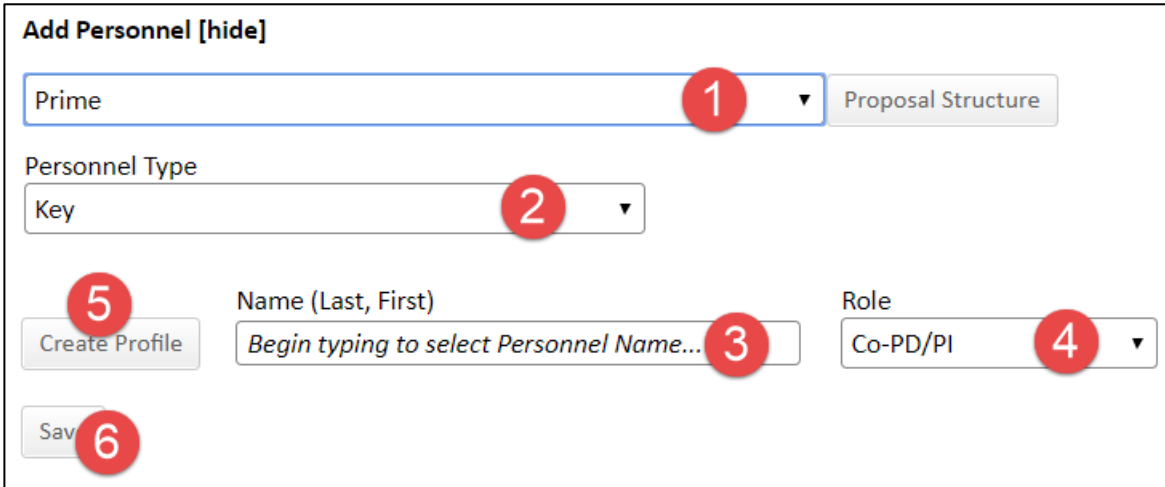
Refer back to the Process section (page 2) for instructions on which tabs need to be completed for each approval route.
Tabs do *not* need to be addressed in any particular sequence except that Finalize cannot be completed until all the others are. However, some thought has gone into ordering the tabs in a logical top to bottom approach.

Data Collection

The Data Collection tab is an internal form to gather UTHealth specific information. You must complete all applicable questions. Note that some are freeform text, some are yes/no checkboxes, and some require that you click an upload ⬆ or edit ✏ icon. Also note that some answers will result in more questions being displayed; these must be answered as well. A draft abstract is required to be attached to all proposals when submitting to budget review.

Personnel
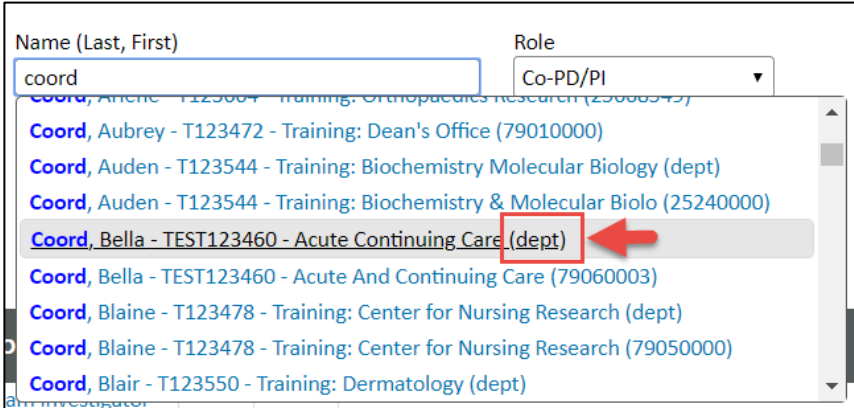
The Personnel page is where all project personnel (employees, non-employees including consultants, to-be-named) both key and non-key, is recorded. Initially, only the PI will be listed. You can add personnel on the Personnel Tab or on the Budget Tab.

1. If this is a single project proposal, the only option will be Prime. If this is a multi-project proposal (e.g. program project) or one with subawards then you will need to associate the person being added with a specific component.
2. Select whether the person being added is key personnel or non-key personnel.
3. Begin typing any part of the person's name.

4. Select the person's role from the dropdown.   This list is the recognized grants.gov list of roles and cannot be change. If the appropriate role is not one of the main options, choose the "Other (Specify) option and type the person's project role.

   Note: if the project is multi-PI, the contact PI will be listed as the PI and all other PI's shall be listed as CO-PD/PI.

5. If the person is not in the drop down list (To Be Named or non-employee) click Create Profile. The New Profile window will open. Make sure that Temporary Profile button is selected.

There are two mandatory fields; last name and department. But fill out as much information as you know. Update the address as necessary.

Click Set next to department. The Search window will pop-up. Begin typing the person's department name. When the department appears, highlight it and click select.

The department for external personnel is their Institution/Entity Name.

6. Click Save. The person will now appear on the Personnel List.

If a yellow alert appears in the Alert column, it indicates that there is missing information in the personnel profile. Hover over the alert to see what information is missing.

Click on the blue hyperlink of the person's name to open the profile. The missing information is shaded in pale yellow. Complete the missing information and click save.

You can change the order personnel will appear on the proposal by clicking and dragging the three dots to the left of the person's name.

Biosketches:

Biosketches are attached for each key person by clicking the icon in the CV/BIOSKETCH column.   Biosketches do not need to be attached to submit to the Budget Review route but do need to be attached (in final form) for the SPA review route.

Budget

Refer to the *Budgeting* Training Document for the detailed, step by step budget process.

Federal vs. Non Federal Proposal

Federal proposals are submitted via a system to system (S2S) interface with grants.gov. As such, there are tabs for each section of SF424 forms are shown in tabs for federal proposals. Non-federal proposals are submitted via the prime sponsors website or via email (such as to the prime institution when UTHealth is the subrecipient.)   The complete and final non-federal proposal must be attached in the Attachments Tab.

Assurance Approvals

The Approvals page contains information regarding compliance requirements. If your proposal requires any of the listed approvals (IRB, IACUC, IBC, etc.), you should add a corresponding protocol record. This is accomplished by clicking ADD, selecting the desired approval type from the dropdown list, then clicking CONTINUE.

UTHealth has interfaced iRIS to the START system.   Once an IRB or IACUC number is entered, it will pull the proposal status from iRIS and will update the status on a nightly basis.   This interface cannot occur until the IRB or IACUC number is entered. Any additional regulatory approvals (such as the biosafety committee) must be entered manually.
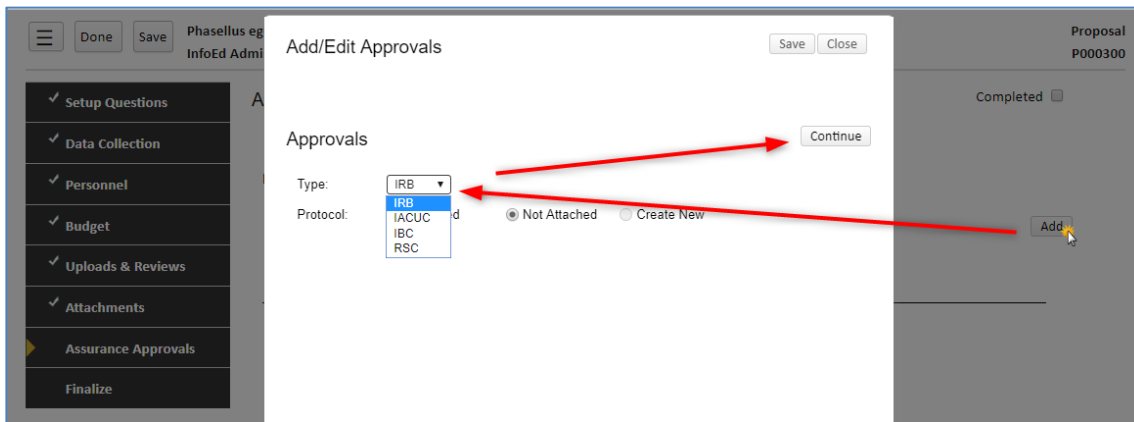
A window with the approval you added will appear. ***You are not expected or requested to fill in most of the fields***. However, if you know the Reference No (i.e., protocol identifier) ❶, the protocol Approval PI (it may or may not be you; use the SET link – see below following the screenshot – to do this) ❷, the Protocol Title ❸, and/or the IACUC Species (if applicable) ❹, you should record them. Click SAVE when done.

When setting the Approval PI, a popup window will appear. On that window, click the first letter of the person's last name. THEN, either click the dropdown icon ❶ and scroll to the desired name or type the person's name in the *Search For* box ❷ until the desired name is highlighted. (You can also combine these methods by typing the first few letters of the name in ❷ and then clicking the dropdown. This will start the dropdown list at the letters you typed, rather than at the beginning.) Once the desired name is highlighted, click Select.

As you are looking at the dropdown list of names, you may notice that most names are listed two or more times. Choose the first occurrence of the person you are seeking. Note that each person's UTHealth id and assigned organization(s) are included to aid in identification.

SF424 Tab

Most information will auto-populate to the SF-424 face page. However, you will need to "set" the person to be contacted and the Authorized Official. In most cases, this will be the same person. Click on any of the fields in the contact section.

Uploads & Reviews

The Uploads & Reviews tab serves a couple of purposes. First, any supporting documents (such as budget worksheets, letters of support, etc.) or eForms can be added and will then be listed ❶. The documents and forms of this page are NOT communicated to the sponsor, nor are they included in any assembled application: they are strictly for *internal* use. Documents loaded here will remain with the proposal indefinitely and will be visible in the Proposal Tracking module.

Any mandatory supporting documents (i.e., those that must be completed before this page can be flagged completed) will appear immediately. This includes the data collection form and the proposal summary form. The proposal summary form auto-completes and is routed with the proposal. It provides a summary for those who are reviewing and approving the propsosal internally. Forms must be opened using the Edit ✎ icon ❷ and completed.

New files can be uploaded using the add link ❸. Mandatory documents cannot be removed but additional documents and/or eForms (if defined) can be deleted.

NOTE: The *Summary* form is mandatory and so will appear on all proposals. Even though you do not need to enter any information in it, you must still open it and click its Complete checkbox.

Budget Review

The second purpose of the Uploads & Reviews tab is to act as the point of access for "pre-reviews." These reviews are used to make your budget available to administrators and management before the whole proposal is ready for a final review after the Set Up Questions, Data Collection, Personnel, and Budget tabs are completed. Biosketches do not need to be attached in the Personnel tab for budget review. Be sure there is a check mark next to each tab.

On the Uploads & Reviews tab, make sure the pre-review route says Budget Review then click the submit 👍 button

The approval route will appear, click the Submit button.

Route progress now displays and includes the names of the people who have received notice ❶ (there will be a Notified date ❷ by those) and the decision that they made ❸. ("Decision" will be blank until they make one.) Once a decision appears for a review, you can mouse over it to see when it was made. You can return to this page at any time to monitor a review's progress.

Once your proposal has been submitted, you will not be able to make changes to your budget or personnel (unless you receive an email requesting corrections) but you can and should continue to work on the remainder of your proposal.

SPA Review

Complete the remainder of the proposal with all final, required attachments (except final science – Abstract, Specific Aims, Research Strategy and References) and complete each tab by checking the Complete box in the upper right corner of each.

Return to the Uploads and Reviews tab, Change the Pre-Review route to SPA Review and click the Thumbs Up Icon.

When SPA approves the proposal, the PI (with copy to the department administrator) will receive a notice of approval and instructions to attach the final science documents. Once the final science is attached, the proposal can go to final review.

Finalize

The Finalize tab has three parts (four, for Grants.Gov submissions)
- Build PDF/Form Pages
- Assemble Application
- Submit for Internal Review
- Submit to Grants.Gov (by SPA signing official)

The first part, **Build**, can be accessed at any time after the Finalize tab appears. It allows you to build PDFs of the listed files. That list may be empty (in which case the Build step is skipped), may contain a single item (as shown; this is the case for most non-Grants.Gov submission), or may contain up to a dozen or more items. Click BUILD to build those documents; this may take a few seconds. The system will typically automatically bring you to the Assemble page but you can return to the Build page and click the View link(s) to see each built-out document.

The second part, **Assemble Application**, is only accessible if all tabs in the navigation panel have checkmarks (see screenshot above) and if the Build step has been completed. This step takes the PDFs built in the prior step and combines them with uploads you have made to the application, such as the files in the Attachments tab, personnel's CVs, and other uploads (but **not** anything uploaded to Uploads & Reviews) to create a single PDF, called "assembled doc." You have the option to re-sequence the parts that go into this master document by changing the Sequence numbers (this is seldom needed). Click the BUILD on this page to complete it.

The third part, **Submit for Internal Review**, is only accessible if the Assemble Application step is complete. It is quite similar to another page that you have already seen, Uploads & Reviews. You will find all the files and eForms from Uploads & Reviews listed here, plus the "assembled doc" from the previous step ❶. You can add more files/eForms by using the Add Institution Forms hyperlink ❷, view them ❸, possibly replace ones already there ❹, or possibly remove them ❺. Note that the ability to replace them ❹ gives you the ability to replace the generic application package generated by InfoEd with another package that will actually be submitted to the non-InfoEd portal. This new package will be available to reviewers.

Submit for Internal Review

Once your proposal has been completed, it can be electronically routed internally for necessary approvals. This page will display in two modes: Un-submitted and Submitted.

The screen is in **Un-submitted** mode when your proposal has not yet been routed. You can determine this by visually identifying a "thumbs up" on the screen. If it is there, then the proposal has not yet been submitted.

The screen is in **Submitted** mode when your proposal has been submitted and you can see the approval path it is on. Your Administrators have configured the approval path that they feel is appropriate for your proposal. If you have any questions regarding this process, please contact them.

Current Proposal Status: **Under development**

Components for **Initial Application**   Pre-Review Route: [Budget Review ▾] Submit Pre-Review 👍 Submit Final Review 👍

Current Submission

FORM/DOCUMENT NAME	EDIT	STATUS	UPLOAD	REMOVE
Assembled Doc	👓	Completed	🗎	
Summary (Proposal package)	✎	Completed	📄	Mandatory

Add Institution Forms/Supporting Documents

You should already have completed your Budget Review but if you have not (or if you need to re-submit, which is rare) you can submit to Budget Review here ❻. (***Note that waiting until this point to submit to Budget Review will delay your submission to the sponsor!***) If you believe that your proposal is ready for sponsor submission, click the Submit Final Review icon ❼. If you do not see the Submit Final Review icon, there is *likely* an issue with the Budget Review: either you forgot to initiate it, it is still under way, or a reviewer requires a budget change. Contact SPA.)

Proposal **P000300 - InfoEd Admin** "Phasellus eget convallis odio. Aenean congue diam ex, ut sodales ipsum sodales varius. Aliquam non gravida" (Under development)

Refresh Route

Route Path - **Final Review (PI/Dept submits)** Add New Person to Review Path   [Submit]

Step 1	**SPA Specialist**		
Step 2	**Approved (PI/Dept submits)**		
	Approved (PI/Dept submits)		

You will now see the routing progress window, displaying the names of the people who have received notice ❶ (there will be a Notified date ❷ by those) and the decision that they made ❸. ("Decision" will be blank until they make one.) Once a decision appears for a review, you can mouse over it to see when it was made. You can return to this page at any time to monitor a review's progress.

Current Proposal Status: **SPA review**

Components for **Initial Application**

Current Submission

| FORM/DOCUMENT NAME	EDIT	STATUS	UPLOAD	REMOVE
Assembled Doc	👓	Completed	🗎	
Summary (Proposal package)	✎	Completed	📄	Mandatory

Add Institution Forms/Supporting Documents

Active Routing Progress   [Open Full]

P000300 - InfoEd Admin   "Phasellus eget convallis odio. Aenean congue diam ex, ut sodales ipsum sodales varius. Aliquam non gravida"

Route Name	Route Type	Step Number/Name	Who	Notified	Decision	Insert	Remove
Final Review (PI/Dept submits)	Final Review	Step 1 - SPA Specialist		01-Jun-2019 8:07:55 AM			
Final Review	Final			01-Jun-2019 8:07:56 AM			

Other Tabs
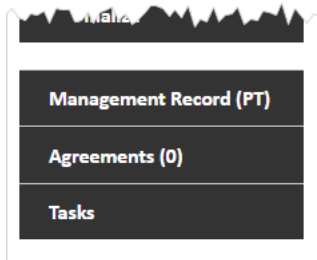
Management Record

The Management Record tab offers you the ability to jump from your Proposal Development record to its analog in Proposal Tracking. Your access to the PT record is configured separately from your access to the PD record and so the information available to you in PT (if any) may be limited.

Agreements

The agreements tab is used to add and link an agreement to any record. Refer to the *Agreements* Training Guide.

Tasks

Refer to the *System Navigation and Basic Functions* Training Guide.

Other Proposal Types

For other proposal types, only differences from the New/Original Proposal process are outlined.

Limited Submission: Pre-Application for Internal Review

This process is used solely for submitting a pre-proposal to the EVP/Chief Academic Officer. If selected, you will create and submit a new proposal per the sponsor's guidelines. The pre-proposal will be linked to the full proposal.
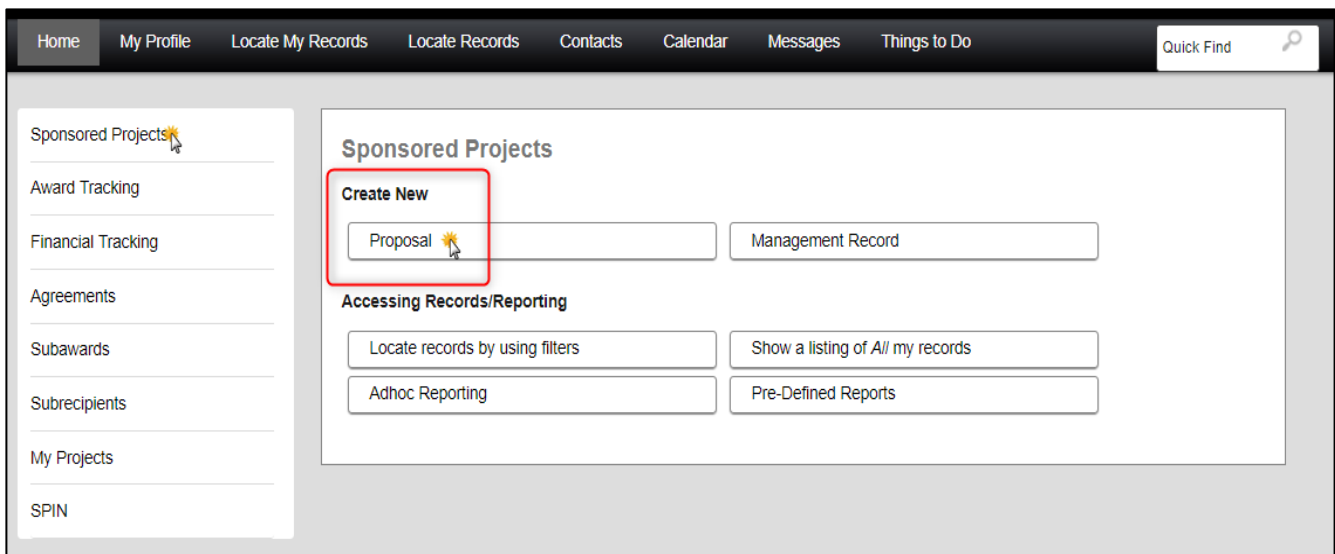
Steps 0 to 7

Step 1 *Continued*: choose ***Setup proposal manually.*** This option will pass you directly to step 2.

 Step 2, choose the limited submission proposal type
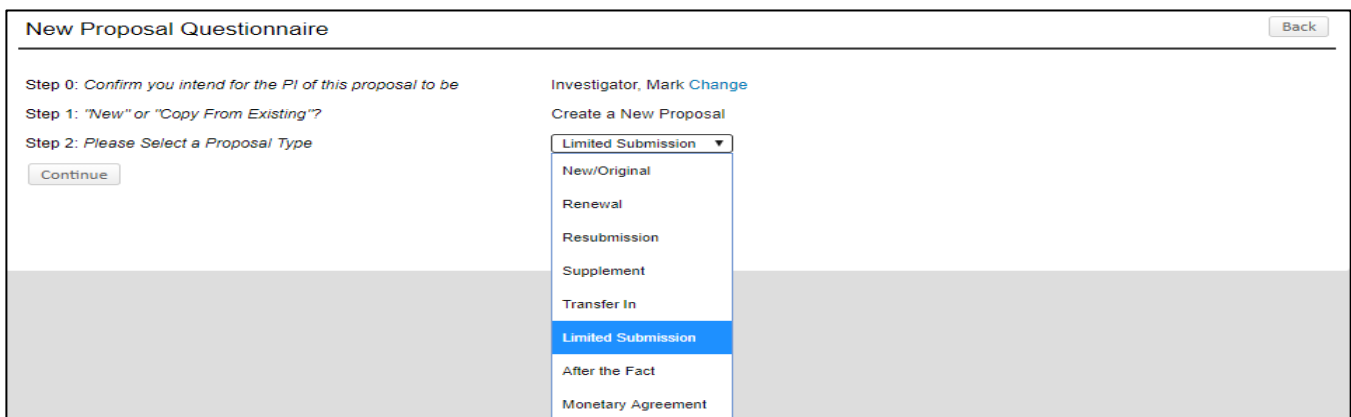
Step 3: **select UTHealth as the sponsor** for all Limited Submission Pre-Application Proposals.

Step 5: *For limited submission proposals enter the prime sponsor and the RFA # in the title.*

Step 6: enter the proposed start and end dates of your project. These are estimates only and will have no bearing if selected to submit the full proposal.

Setup Questions

Under Submission Mechanism/Form Information, Has your sponsor give a specific reference for this proposal? ALWAYS CLICK **NO**.

For deadline, enter the date and time for the internal deadline that was provided by the EVP office. Time must be entered as HH:MM AM or HH:MM PM (a 12 hour clock).

Once Setup Questions are completed, all the required tabs for proposal development will appear.

Personnel

The PI will automatically be listed.   Only the PI is needed unless it is a multi-PI and then you add the other PIs.

Narrative

Limited submission applications are required to include a letter of interest, full CV, and a brief description (2-3 pages) of proposed research.   Once uploaded as a single PDF, select the completed box in the top corner.

Finalize

There is no budget or SPA review for limited submission pre-proposals.

The Finalize tab has three parts:
- Build PDF/Form Pages
- Assemble Application
- Submit for Internal Review

Click the Finalize tab and follow the Finalize steps as detailed on page 23.

The PI will receive a notification regarding selection to submit a full proposal to the Sponsor.   If selected, the PI/Department will need to begin a new proposal in accordance with the instructions starting on page 2 and follow the sponsor's guidance. Link the full proposal to the limited submission pre-application.

Creating an After the Fact Proposal

An after the fact proposal is one that was submitted to the sponsor or prime applicant institution without first submitting to SPA.   **This is a violation of HOOP 64**. The proposal still needs to be submitted to Budget Review and Final Review.   No IDC waiver will be approved for an after the fact proposal.
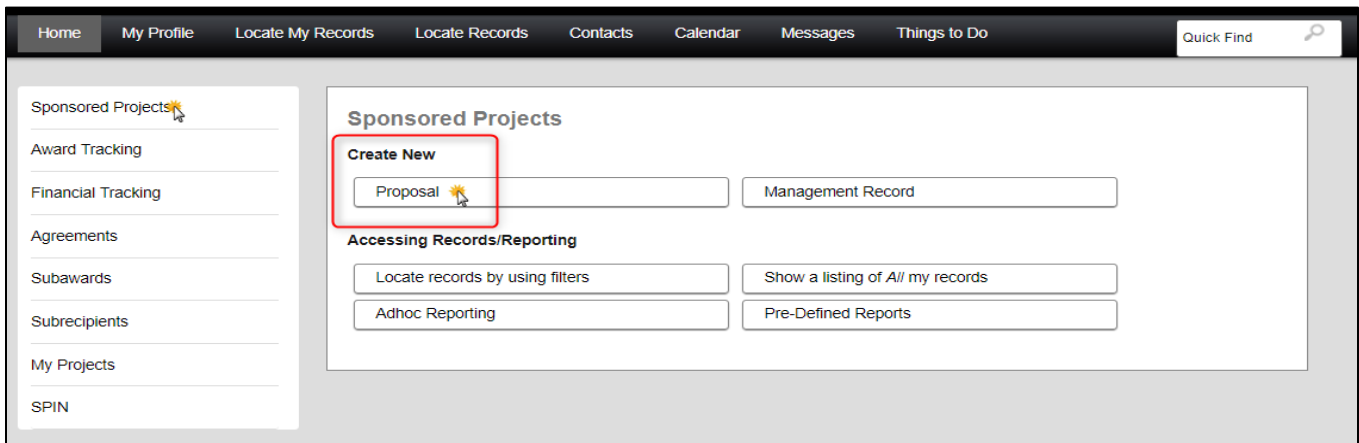
Steps 0 to 7

Step 1: *Continued*: choose ***Setup proposal manually.*** This option will pass you directly to step 2.

Step 2: choose After the Fact proposal type.
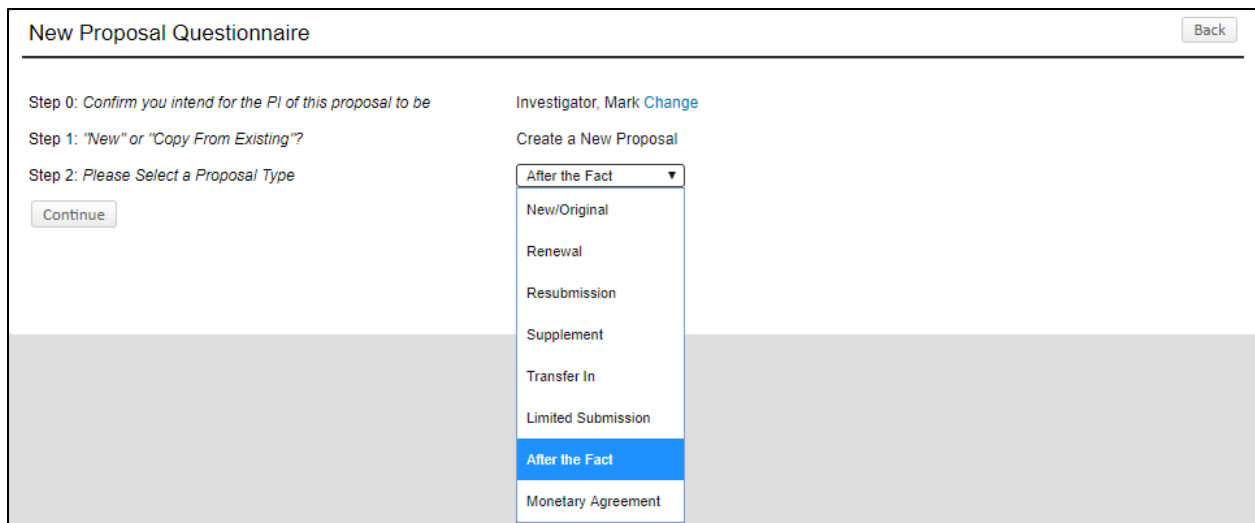
Submit to Budget Review. After receiving budget approval, attach the full proposal that was submitted to the sponsor and submit to Final Review.

Multi-Projects (More than one award component such as a program project)

Follow the process described above for submitting a new application with the following additional instructions:

Set Up Questions:
Each component (Admin Core, Core, Projects) must have its own setup questions answered (see 'Components' section below).

Data Collection:

Each component (Admin Core, Core, Projects) must have its own Data Collection section completed (see 'Components' section below).

Personnel:
Each component (Admin Core, Core, Projects) must first be created and its own 'Personnel' tab completed (see 'Components' tab below)

Budget:
Refer to the Budget Training Document for step-by-step budget instructions for mulit-projects.

Components:
Each subprojects will be created and added in this section (Cores, Projects).

Choose each component (Admin Core, Core, Project) and click on 'Add'

Respond to each component questions:

Each component can be added to specific project period:

Each added component will show once all Component questions are answered:

Clicking on the Proposal Number for each Component will open a new window for its sub-proposal:

Complete each section of each component and finalize them, similar to a single project proposal.

Training Grants

Some training grants (T32) do not require a separate budget form. Instead, an S2S Training Budget form must be completed. In this scenario, the regular 'Budget' form will be in 'View' mode

'Save' the S2S budget form for each year of the budget – no prompt will appear, asking you to save each page

PHS 398 Training Budget

View Burden Statement

OMB Number: 0925-0001
Expiration Date: 03/31/2020

PHS 398 Training Budget, [Period 1 ▾]

Organizational DUNS: 80-077-1594   Budget Type: ☑Project ☐Subaward/Consortium
Organization Name: The University of Texas Health Science Center at Houston
Start Date: 01-Jan-2020   End Date: 31-Dec-2020

A. Stipends, Tuition/Fees

Number of Trainees

Full Time	Short Term		Stipends Requested ($)	Tuition/Fees Requested ($)
☐	☐	Undergraduate:		

Number Per Stipend Level:
First-Year/Soph. [ ]   Junior/Senior [ ]

Full Time	Short Term			Stipends Requested ($)	Tuition/Fees Requested ($)
[ ]	[ ]	Predoctoral:	Single Degree		
[ ]	[ ]		Dual Degree		
[ ]	[ ]		**Total Predoctoral**		

Postdoctoral: Number Per Stipend Level:

Full Time	Short Term		0	1	2	3	4	5	6	7	Stipends Requested ($)	Tuition/Fees Requested ($)
1		Non-degree Seeking			1						65,000.00	5,000.00
2		Degree Seeking				1	1				160,000.00	10,000.00
3		*Total Postdoctoral*			1	1	1				225,000.00	15,000.00
		Other:										

Totals: 225,000.00   15,000.00
Total Stipends + Tuition/Fees Requested   240,000.00

On the S2S budget form, institutional information, including our DUNS number do not auto-populate (enter them manually) and IDC rate and start/end dates also have to be entered manually for each period