UTIA INSTITUTE OF AGRICULTURE
THE UNIVERSITY OF TENNESSEE

University of Tennessee Institute of Agriculture Sponsored Programs Office

2015   April

Office of Sponsored Programs Newsletter

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Message from the Director

Welcome to the very first newsletter from Sponsored Programs! Our goal is to share information 3 or 4 times a year that we hope is helpful to our faculty and staff related to sponsored activities. This includes information for proposal preparation, awards, subawards and other related agreements such as Confidentiality Agreements, Material Transfer Agreements and seed agreements. I want to thank the Sponsored Programs staff for their contributions, as this newsletter is a team effort. Our plan is to have a few standing topical areas such as Compliance, Sponsor Updates, and a Sponsored Programs coordinator biography in each newsletter. This is a work in progress and we invite comment, suggestions and your ideas to make the newsletter a document you will use and save for reference.
In this issue, you have an opportunity to meet our newest team member, Will Helmrath. He and his family moved to the Knoxville area from outside of Boston. Jane Burns, UTIA Compliance Officer, will keep us informed of upcoming Brown Bag compliance information sessions and compliance topics. Traci Stanley, soon to be a first time mom, shares NIH updates. Dawn Hawkersmith and Courtney Holbert 's article helps us differentiate between a sub awardee, contractor, or consultant. The Contracts section will be led by Rumira Xhaferaj and she included an article to let us know who can sign contracts. Determining when an award can be set up as non-exchange can be gray. Hopefully, our article will help.
Karin Langan is the editor of the newsletter and keeps our Facebook account updated as well as keeping us updated on funding opportunities. Please friend us on Facebook. I hope you enjoy this first issue. Please help us make improvements by providing feedback.

Thank you,
Debbie Hampstead

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> How do I, as lead PI, determine whether an entity/individual should be considered a Subrecipient, contractor, or consultant on a sponsored project?

Subrecipient (aka subaward/ subcontract) - *An entity that has agreed to work in collaboration with the UT PI to perform a substantive portion of the programmatic effort on a sponsored project.*

- Has authority to make administrative and programmatic decisions and control the method and results of work
- Uses funds to carry out a program rather than provide a good or a service
- Has responsibility for a portion of the end results of the overall research/sponsored project effort
- Services are complex and require a scope of work budget, billing requirements, and a deliverable schedule (reports, etc.) in the proposal application
- The entity's work results may involve intellectual property and/or may lead to publications

Contractor/Vendor - *An individual or entity that supplies products or services to the University.*

- Does not make program decisions or take actions that impact a program's overall success or failure
- Description of the services is limited to the work provided by this company or individual
- May provide similar goods or services to different organizations as part of their normal business operations

External Consultant - *An individual or entity whose expertise is required to perform University project. Services are temporary and special or highly technical.*

- UT defines scope of work; Consultant determines how to accomplish the service being provided
- May provide similar services to other organizations
- Generally does not use university resources.   Provides his/her own expertise, work area, tools, materials, and supplies

Finally, do not hesitate to ask your pre-award coordinator for assistance if you need further clarification.

The complete reference tool can be found on the Controllers' website under Grants and Contracts and then under Subaward Monitoring, titled *Determination Guide for Agreements with External Entities/ Individuals* - **http://controller.tennessee.edu/.**
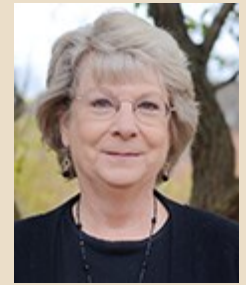
> Who may sign a Contract

Only those University employees specifically designated by the University's Chief Financial Officer (or designee), through a formal letter, are allowed to sign contracts on behalf of the University. Faculty and Department Heads are not authorized to sign.

A list of officials authorized to sign contracts on behalf of the University is available on the University of Tennessee System Administration's contract office's website. A copy of the list may be found in the following link: **http://treasurer.tennessee.edu/contracts/forms/signature-authority.pdf**

All UTIA research contracts that require signature by the University, must be reviewed and in most cases negotiated, by the Office of Sponsored Programs. Please send the contract document to **aggrant@utk.edu,** or send it to 2621 Morgan Circle, 225 Morgan Hall, Knoxville TN 37996. If the research contract is with one or more International counterparts, after review by the Office of Sponsored Programs, the contract will be forwarded to the University's System Administration contract office for processing through fiscal and legal review before the contract may be signed on behalf of the University by Mr. Charles Peccolo, Treasurer and Chief Financial Officer.

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HELPFUL HINTS >>>   *by Debbie Hampstead*

> When is my project considered Non-Exchange?

Awards are considered to be Non-Exchange when the benefit to the sponsor is not equal to the payment. Government Accounting Standards Board 33 (GASB) defines it as: *A non-exchange transaction is one in which one party receives something of value without directly giving value in exchange.* This definition is in line with fiscal policy FI0205 Sponsored Projects.

The Institute of Agriculture has a form for *"Gifts/Non-Exchange Transactions/Sponsored Projects"* located on the Sponsored Programs website: **http://agriculture.tennessee.edu/sponsoredprograms/policies.asp**

Your project *may* be Non-Exchange if there:
- are no begin and end dates
- isn't an authorized signature for proposal or award
- a receipt of payment is the award document
- is no budget nor a requirement for financial accounting/report
- is no deliverable

Projects are classified as grant/contract, non-exchange or gift. A Gift doesn't fund a specific project (Sponsored Project) but funds a generalized program/area of research. There are no strings with a gift. Gifts are not reviewed by Sponsored Programs.

If you have questions, contact Debbie Hampstead or your Chief Business Officer.

COMPLIANCE CORNER >>>   *by Jane Burns*

> Responsible Conduct of Research (RCR)

As faculty and staff members at UTIA, we are expected to conduct our university activities in a responsible manner. The stakes are especially high when serving as an investigator on a sponsored project. Some federal agencies, including USDA, and NSF now require participants to receive RCR training. Topics covered by RCR training include:

Animal Subjects in Research	Data Management	Peer Review
Authorship	Ethics	Research Misconduct
Collaborative Research	Human Subjects in Research	
Conflicts of Interest	Mentoring	

Even if not required, all UTIA employees and students are welcome and encouraged to take RCR training provided through Collaborative Institutional Training Initiative (CITI). If you have questions about requirements, especially if you are working on a federally-funded project, contact **janeburns@utk.edu** and see the **UTIA RCR webpage** for the UTIA RCR Institutional Plan and information about training.

UTIA provides compliance learning sessions, usually provided at lunchtime, to help UTIA faculty, staff, and students. Please join us for the following scheduled sessions:
- **Unmanned Aircraft Policy** – Monday, May 04, 2015 (*3:00 - 5:00 pm, PBB 160*)
- **International Travel - Keeping You and Your Data Safe** – Tuesday, July 14, 2015 (noon – 1:00 pm; PBB 156/157)

*For more information, please contact **janeburns@utk.edu** or visit our **website**, where you can also find videos and materials from previous sessions.*

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> NIH : National Institutes of Health

Several recent or upcoming NIH updates have an impact on proposal preparation and submission and post-award reporting. Below is basic information about some of the more relevant changes with links to the NIH website where more information is available.

ASSIST

NIH's new online portal for preparing and submitting proposals – Application Submission System and Interface for Submission Tracking (ASSIST) – is now an option available for R03 and R21 applications. ASSIST is not a replacement for grants.gov but rather an alternative to the traditional grants.gov downloadable forms. NIH will extend the option to use ASSIST to other programs throughout the year, possibly as early as May for R01 proposals. *See NIH notice **NOT-OD-15-062** for more information.*

Biographical Sketch Format

A revised biographical sketch format will be required for NIH proposals with due dates on May 25, 2015 and later, and is optional for proposals with earlier due dates. See template and instructions at: **NIH website**. The changes include:
- Maximum length extended from 4 to 5 pages
- Contributions to Science section replaces Selected Peer-Reviewed Publication and Patent Citations, which allows the researcher to explain up to 5 of their most significant contributions to science and how they have influenced the researcher's work. Each contribution may include up to 4 relevant peer-reviewed publications or non-publication research products.
- If researchers are involved with Team Science they may describe their work
- Option to include a link to all published work in databases such as MyBibliogprahy and SciENcv

*See NIH notice **NOT-OD-15-032** for more information.*

Genomic Data Sharing

Effective with applications due January 25, 2015 and later, projects that will generate or use large-scale genomic data must include a genomic data sharing plan in the application, among other requirements. The policy includes human, non-human, and model organism data. See NIH notice **NOT-OD-15-027** for more information.

Salary Cap

Effective January 11, 2015, the annual salary cap for grants, cooperative agreements, and contracts increased from $181,500 to $183,300. NIH notice **NOT-OD-15-049** for more information.

Stipend Cap – Training and Fellowships Grants (F30, F31, F32, F33, T32, T34, T35, T90, and TL1 Proposals)

Ruth L. Kirschstein National Research Service Awards (NRSA) made with FY 2015 monies have revised stipend limits for undergraduate, graduate, and postdoctoral trainees and fellows. The stipend limit is contingent upon the person's career level and years of experience. *See NIH notice **NOT-OD-15-048** for more information.*

Individual Development Plan (IDP)

Research Performance Progress Reports (RPPRs) submitted on or after October 1, 2014 must include information on if and how individual development plans (IDPs) are used to help further the careers of graduate students and postdoctoral researchers working on the sponsored project. The report should not include the IDP itself but rather show how one is used to help each student and postdoc listed in Section D of the RPPR to identify and meet his/her career goals through training. *See NIH notice **NOT-OD-14-113** for more information.* Dr. Sekeenia Haynes of the UTK PEER program spoke at UTIA in March 2015 about IDPs. See video and materials at **UTIA OSP workshop webpage.**

Aggrant@utk.edu
PLEASE email aggrant@utk.edu as soon as you know that you are going to submit a proposal. In your initial email include as much information as you have (ex: link to RFP, due date, will there be subs, are we a sub, etc).

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> Should I use an on-campus or off-campus Facilities and Administrative rate (indirect cost rate)?

Whether your project is on-campus or off-campus is determined by the physical location of the UT personnel during the project period. If the UT personnel are spending 50% or more of their time on university property, or property rented by the university, then the project is considered on-campus. Remember that subcontractor work is not a factor in determining whether the project is on or off campus.

The work performed on a Research and Education Centers (RECs) is **always** considered on-campus and will receive a separate account number or WBS element.

AgResearch, Extension, and the College of Veterinary Medicine each have their own federal rate agreement and may be found on the Sponsored Programs website under Standard UTIA Information. LINK: http://agriculture.tennessee.edu/sponsoredprograms/standardInfo.asp

> Office of Sponsored Programs welcomes Will Helmrath as coordinator!

Hi there! My name is Will and I'm very excited join the UTIA team (and get away from the cold New England winters)! I'm married to Alexis; together we have a daughter, who is almost 2, and Alexis is due with another girl in the middle of July. I was born in Germany, while my father was stationed there, and spent most of childhood there after he retired from the Army. I have a BA in Psychology from Skidmore College in Saratoga Springs, NY and a MSM with a specialization in Research Administration from Emmanuel College in Boston, MA. For the past few years, I have been working at the Wyss Institute for Biologically Inspired Engineering at Harvard University on the Sponsored Projects team.

Fiscal Policy Revisions relating to Sponsored Programs:

FI0205 – Sponsored Projects

FI0225 – Sponsored Projects – Code of Business Ethics

FI0215 – Sponsored Projects – Effort Certification

FI0210 – Sponsored Projects – Cost Sharing

FI0207- Sponsored Projects – Salary Policy

FI0605 – Equipment

FI0206 – Sponsored Projects – Distinguishing Direct vs Indirect Costs

FI0420 – Contracts

FUNDING OPPORTUNITIES >>>

- **NIH:** http://grants.nih.gov/grants/funding/funding_program.htm
- **USDA AFRI:** http://nifa.usda.gov/program/agriculture-and-food-research-initiative
- **NSF:** http://www.nsf.gov/funding/index.jsp
- **Grants.gov:** http://www.grants.gov/
- **Rural Assistance Center:** Various Tennessee Funding Opportunities at http://www.raconline.org/states/tennessee/funding
- **Philanthropy News Digest (Foundation Center):** http://philanthropynewsdigest.org/
- **Morris Animal Foundation:** http://www.morrisanimalfoundation.org/researchers/

Contact us at **865-974-7357** or at **aggrant@utk.edu**

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