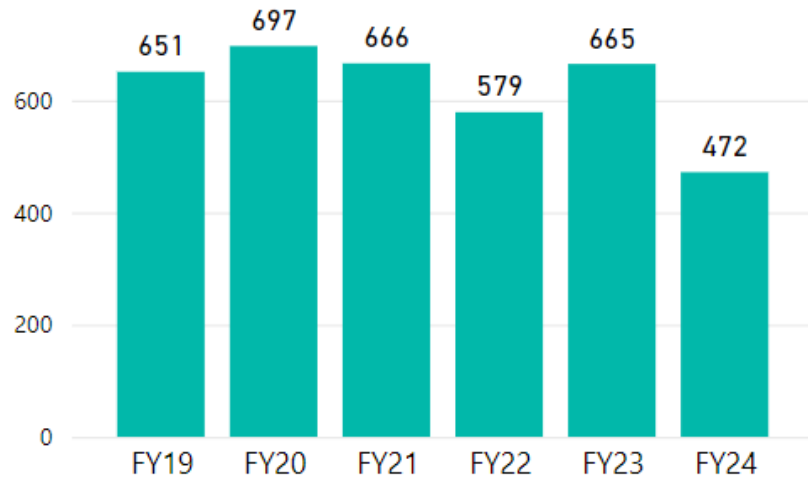


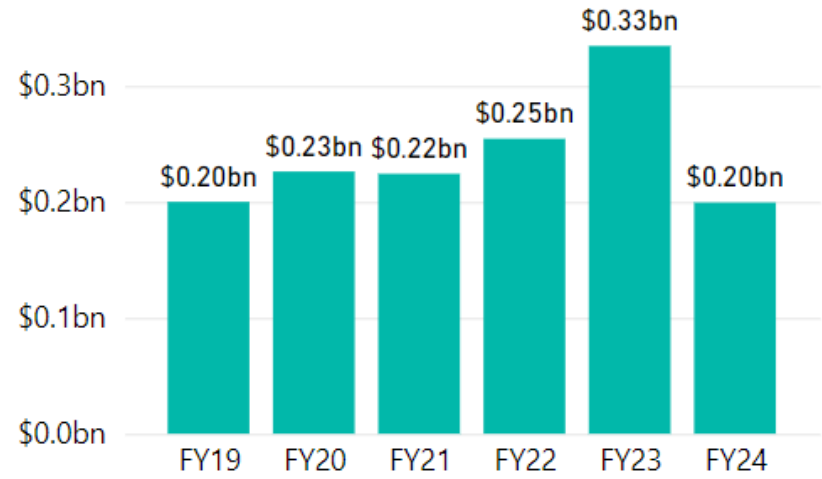
UTIA Office of Sponsored Programs Overview

Quick stats - Proposals

Count by Fiscal Year

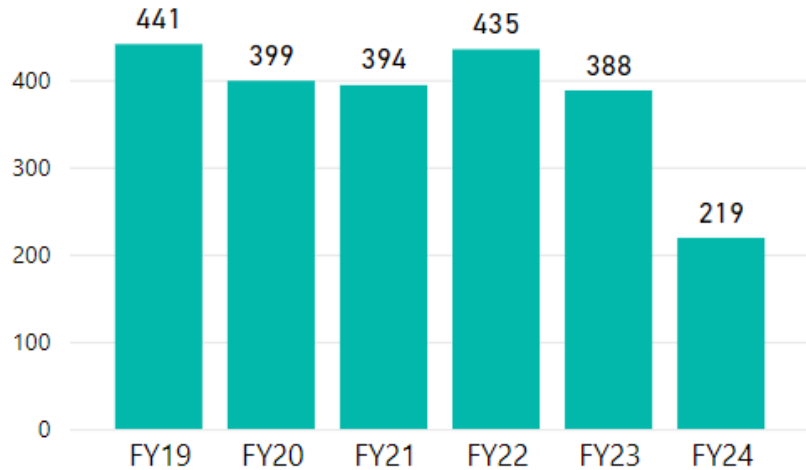


Proposed Amount by Fiscal Year

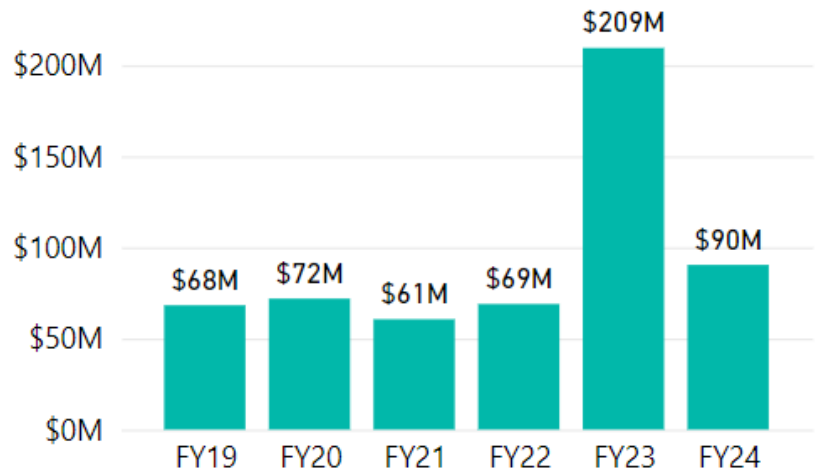


Quick stats - Awards

Count by Fiscal Year

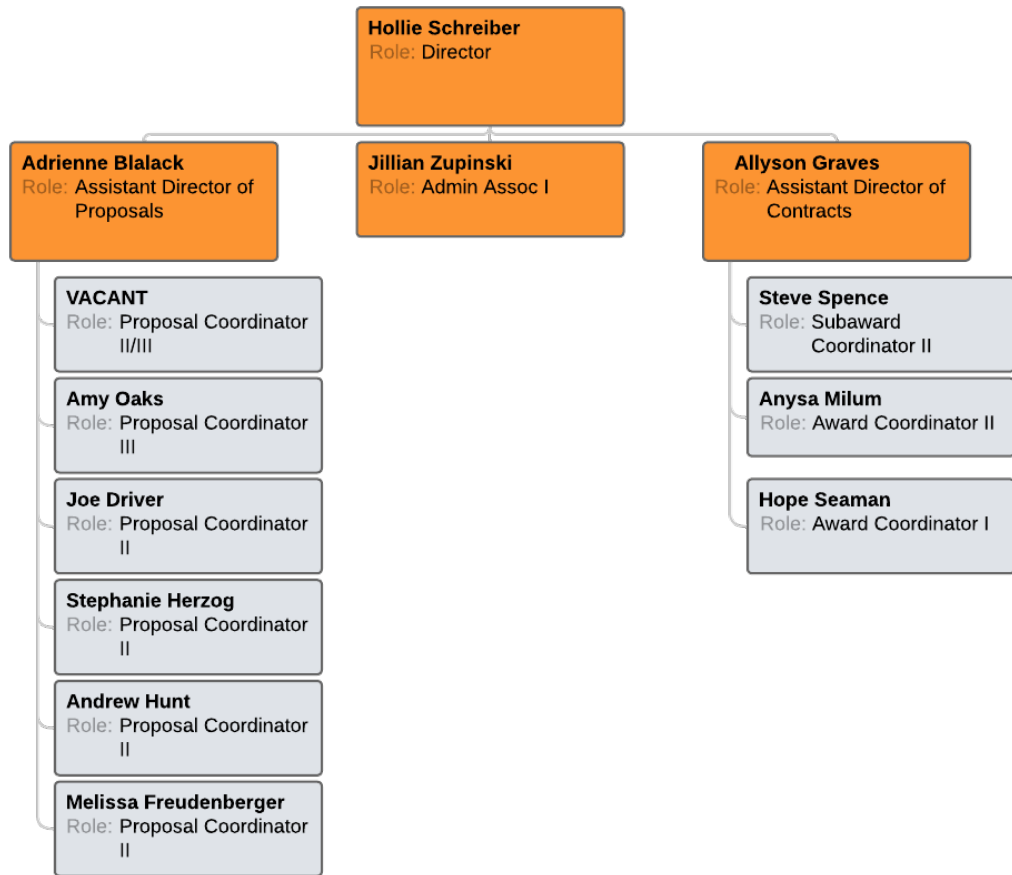


Obligated Amount by Fiscal Year

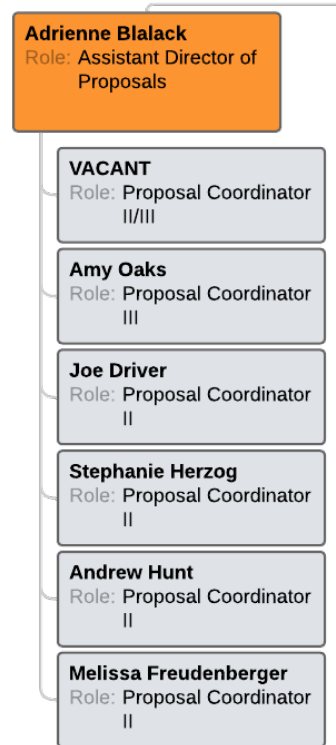


Who Are We?

Who Are We?



Proposal Team



Award Team

Allyson Graves
Role: Assistant Director of
Contracts

Steve Spence
Role: Subaward
Coordinator II

Anysa Milum
Role: Award Coordinator II

Hope Seaman
Role: Award Coordinator I

Services We Provide

Services We Provide

We provide all pre-award services to all of the UT Institute of Agriculture, including AgResearch, UT Extension, the Herbert College of Agriculture, and the College of Veterinary Medicine.

MISSION

UTIA Office of Sponsored Programs (OSP) facilitates research, extension, and education activities by supporting faculty and staff in their pursuit of external funding. We provide specialized, high-quality service in all aspects of proposal development and award negotiations for federal, state, and private funding. OSP helps ensure compliance with internal and external requirements within an atmosphere of professionalism and collaboration.

Services We Provide *(not comprehensive)*

- Identify funding opportunities
- Coordinate strategic development of large proposals
- Facilitate technical editing of proposal narrative upon request
- Review and interpret sponsor guidelines to ensure compliance
- Develop budget and justification, to include accurate application of F&A and cost sharing
- Entry of Cayuse SP proposal information
- Develop proposal packages
- Submit proposals to sponsor
- Negotiate contract language with sponsors and collaborators
- Review and accept award documents
- Review contractual compliance with appropriate UT offices (COI, Export Control, RCR, IP)
- Establish material transfer agreements/confidentiality agreements
- Draft and issue subawards and amendments
- Facilitate, review, and approve award actions (changes of PI, no cost time extensions, budget revisions)

Services Outside our Scope

- Write or edit proposal narratives (*ORIED, Hanover Research*)
- Account setup (*Sponsored Projects Accounting*)
- IRIS/DASH budget entry (*Sponsored Projects Accounting*)
- Advanced Accounts (*Business Manager, Sponsored Projects Accounting*)
- Faculty Incentive Plan (*Business Manager, Sponsored Projects Accounting*)
- Financial management (*PI, Business Manager, Sponsored Projects Accounting*)
- Invoicing/Billing (*Sponsored Projects Accounting*)
- Financial or Technical Reporting (*PI, Sponsored Projects Accounting*)

Pre Pre-Award

Funding Opportunities

- FOA Weekly
- ORIED- <https://research.utk.edu/research-development/funding-opportunities/>
- Limited Submissions - <https://research.utk.edu/research-development/funding-opportunities/limited-submissions/>
- Funder websites
 - <https://www.nifa.usda.gov/grants/funding-opportunities>
 - <https://beta.nsf.gov/funding/opportunities>

Research Development

- ORIED- <https://research.utk.edu/research-development/funding-opportunities/>
- Hanover Research - <https://taes.tennessee.edu/news/showWP.asp?which=810>



Research Development Overview

Office of
Research, Innovation &
Economic Development
(ORIED)

Apr. 2, 2024



THE UNIVERSITY OF
TENNESSEE
KNOXVILLE

ORGANIZATION

Brad Day, Associate Vice Chancellor

Jill Passano, Senior Director of RD & Foundation Engagement (New in 2023!)

Jayne Dadmun, RD Manager

Shannon Hollingsworth, Associate Director of Data Analytics Research & Foundation Engagement (New in 2023!)

Emily Mitchell, RD Manager

Diana Moyer, RD Manager

Sharon Pound, RD Manager

Alan Rutenberg, RD Manager

Hannah Schmidt, RD Manager

Julianna Tullos, RD Coordinator

PROPOSAL DEVELOPMENT SERVICES

- UT Division of Research Administration (DRA) submits ~ 2,100 proposals per year.
- UTIA OSP submits ~ 650 proposals per year.
- [Research Development](#) supports ~100 DRA proposals per year.
- [Research Development](#) supports ~5 proposals per year.
- We want to spend as much time as possible on high impact activities.

Office of Research Development Mission

Research Development provides insights, connections, and resources that facilitate innovation and collaboration, amplify the power of ideas, and result in awards and recognition for the research, scholarship, and creative activities of faculty at the University of Tennessee.

<https://research.utk.edu/research-development/proposal-support/>

PROPOSAL DEVELOPMENT SERVICES

Strategy Consultation & Planning

- All faculty (including UTIA and UTCVM!) are encouraged to work with RD staff to explore possibilities and plan strong submissions early.
- Typically, one to two meetings per research topic includes funding opportunities, fit and readiness assessment, sponsor engagement, conceptual brainstorming, team building, and competitive intelligence.

researchdevelopment@utk.edu

PROPOSAL DEVELOPMENT SERVICES

Editing and Advising on Small or Medium Proposals

- Investigators should engage 2 months before deadline to receive 2-3 iterative reviews of the proposal narrative.
- Investigators may engage closer to the deadline (1 month or less) to receive 1 review of the proposal narrative.
Less time to deadline means lower impact support (copy editing), while more time to deadline means higher impact support (responsiveness, framing, clarity).
- RD manager may advise researchers on other proposals components, but investigators should engage college, department, and/or OSP support to complete all other proposal requirements.

PROPOSAL DEVELOPMENT SERVICES

Project Management on Large, Complex Proposals

- Comprehensive support for center-scale proposals and certain institutional priorities, ranging from \$1 million to \$10 million +.
- Support may include project and timeline management, strategizing and teambuilding, writing and editing content, color team reviews, graphics support, budget development, cost share negotiations, document collection, and compliance review.
- Support team includes representatives from RD, DRA, and college or department research administrators.

COLLABORATING & NETWORKING

- **SPARKS (Seeking Partnerships to Advance Research, Knowledge, and Science):** The goal is to bring together or more disciplines together, focused on a common interest or research opportunity. These events general last from 1.5 to 3 hours, and they often include facilitated activities, such as speed networking and/or lightning talks.
- **CoS (Communities of Scholars):** Encourages the growth of research affinity groups that cross disciplinary boundaries. Objectives include supporting interdisciplinary scholarship; encouraging new, collaborative research directions; and submitting proposals for external funding. *Examples of current groups include: Climate Justice; Biomembranes; Infectious Diseases and Host Response.*

FACULTY DEVELOPMENT

- **LAUNCH PAD** (Learning About, Understanding, and Navigating Competitive Honors and Proposal Development): Workshop series to help early career faculty gain access to strategies, skills, and resources to compete for external funding and recognition in research, scholarship, and/or creative activities. *Examples include: Finding Funding Opportunities; Finding Competitiveness in Supplementary Documents; Positioning for Prestigious Fellowships and Awards.*
- **Expanding Horizons:** A mid-career faculty development program that identifies, engages, and supports emerging research leaders. Over an academic year, the program provides development, mentoring, and capacity-building opportunities that build the skills and knowledge necessary for the transition to leading large-scale and/or convergent research projects that result in major breakthroughs. *Nomination by ADR.*
- **Fulbright Program:** The faculty Fulbright fellowship provides a year or semester at a host university abroad. RD offers a sequence of opportunities for faculty members to receive advice on their applications for Fulbright fellowships. *Contact arutenberg@utk.edu.*



How can Research Development **help you?**

research.utk.edu/research-development

Proposal Development and Submission

Proposal Development and Submission

What is a proposal?

- A proposal is any document submitted to a funding agency outlining a potential project, particularly those including a budget.
- Proposals are not limited to formal submissions in response to RFAs or solicitations. Informal communications presenting project ideas can also be proposals – especially if they result in external or sponsor funding.
- Not routing proposals before receiving contracts requires retroactive Cayuse and internal approvals, which will delay signing and acceptance of the contract and delay access to funding.

Proposal Development and Submission

All proposals must be coordinated by OSP and routed through Cayuse SP, before submission to the sponsor.

Proposal Intake Questionnaire

- Standard means of notifying OSP of an upcoming planned proposal
- Online form with built-in logic
 - <https://tinyurl.com/UTIA-PIQ>
 - Link on OSP website -
<https://utiasponsoredprograms.tennessee.edu/proposals/>
 - aggrant@utk.edu

Proposal Intake Questionnaire

- One PIQ for each and every proposal including
 - New proposals
 - Resubmissions
 - Renewals
 - Additional funding for existing awards
 - Subaward proposals
 - Pre-proposals/Letters of Intent
- Key Information in PIQ
 - Project Team
 - Including RECs or other UT campuses
 - Including subawards
 - Deadline Dates
 - Agency
 - Link to/Upload RFP
- As soon as possible, but always following the MLTs

Minimum Lead Times -

<https://utiasponsoredprograms.tennessee.edu/proposals/>

MLT	Proposal components/Characteristics
3 months:	4 or more subawards; international collaborations; review by Orange Team, Hanover, or UTK Research Development Team
8 weeks:	1-3 subawards
4 weeks:	Federal sponsor; co-PIs from other UT campuses; cost share requirement; special approvals such as voluntary F&A reduction
3 weeks:	Budget with multiple UTIA departments and /or F&A rates; includes a REC
2 weeks:	One department; no subawards; no cost share; no personnel from other campuses; no special approvals; non-federal sponsor

*Proposals for which notification to OSP is received **less than 5 full business days** before the sponsor submittal deadline will not be assigned to a coordinator or submitted by OSP unless **department head and dean's office approval** is received. If approval is obtained, the proposal will be submitted with limited to no review.*

Multi-Campus Proposals

- Additional lead time required
 - Reminder: UTK has a hard 5-day deadline
- Budgets developed independently with each campus' F&A rates
- Routed separately in Cayuse
- Joined for submission

Proposal Development – OSP Role

- RFA interpretation and guidance
- Budget and budget justification development in coordination with PI and Business Manager
 - Completion of internal budget workbook
 - Completion of agency budget forms
- Coordination of proposal documents
- Administrative coordination of subaward institutions
- Administrative coordination with other UT campuses
- Completion of agency forms, especially in electronic systems such as Grants.gov and Research.gov

Proposal Development – PI Role

- Read the RFA. And then read it again.
- Writing and development of narrative and supplementary documents to include
 - Project Summary and Description
 - Biosketches and other key personnel documents
 - Data Management Plans
 - Facilities & Equipment
 - Letters of support

Proposal Development – PI Role

- Budget and budget justification development in coordination with OSP and Business Manager
- Technical coordination with subaward institutions and other collaborators
- Review Final Proposal and Consent to Submission

Internal Routing (Cayuse) – OSP Role

- OSP/Proposal Coordinator responsibilities
 - Create proposal
 - Complete admin sections, including attachments
 - General info
 - Investigators/Research Team
 - Budget
 - Subcontractors
 - Proposal Abstract
 - Proposal Attachments
 - Approving Units
 - Submission Notes
 - Review all sections and attachments
 - Complete proposal package for Grants.gov/S2S/Cayuse 424 submissions

Internal Routing (Cayuse) – OSP Role

- OSP/Assistant Director responsibilities
 - Review all sections, especially budget
 - Approve routing package and submit for routing
 - Approval final proposal before submission to agency
 - Submit proposal package for Grants.gov/S2S/Cayuse 424 submissions

Internal Routing (Cayuse) – PI Role

- Cayuse
<https://tennessee.cayuse424.com/>
- Complete general and compliance information
 - Conflict of Interest
 - Regulatory Compliance (1 and 2)
 - Export Control
 - Intellectual Property
 - Location of Sponsored Activities
- Provide abstract/summary
- PIs do NOT “submit for routing”
- After OSP submits for routing
 - Review all sections and attachments, especially budget
 - Certify

Internal Routing (Cayuse) – Other Roles

- Co-PI responsibilities
 - Review all sections and attachments, especially budget
 - Certify
- Department Head/Business Manager responsibilities
 - Review all sections and attachments, especially budget
 - Approve

Proposal Submission

Proposal Submission – OSP Role

- With few exceptions, OSP should submit all proposals.
 - Cayuse 424/Grants.gov
 - Other portals
 - Research.gov (NSF)
 - ezFedGrants
 - Email or hardcopy submissions
- Even if a proposal or contract is approved to be submitted directly by a faculty or staff member, coordination with and approval by the OSP is required. This is to protect you as an employee and the institution.

Proposal Submission – PI Role

- For proposals that have been approved for PI submission
 - Confirm proposal has been approved in Cayuse prior to submission
 - Provide copy of final submission to OSP Coordinator
 - Provide confirmation of submission to OSP Coordinator

JIT or Revised Proposal Budgets – OSP Role

- Coordinate with the PI to make the revisions.
- With few exceptions, OSP should submit all JIT documents or revised budgets to the agency. At a minimum, OSP should review the revised budget before submission.

JIT or Revised Proposal Budgets – PI Role

- Forward any requests or communication to OSP.
- Coordinate with OSP to make the requested revisions.

Award Acceptance

Award Acceptance – OSP Role

- Review award details
 - Compare to proposal
 - Budget
 - Title
 - SOW
 - Project team
 - Other
 - Terms & Conditions
 - Uniform Guidance/Federal Acquisition Regulations (FAR)
 - State law
 - UT Fiscal Policy
- Negotiate terms, if applicable

Award Acceptance – OSP Role

- Coordinate with appropriate legal and compliance offices, if applicable
 - COI, RCR, Export Control
 - IP (UTRF), Office of General Counsel
 - IRB, IACUC, Biosafety
- Route for PI and BM acknowledgement and appropriate signatory (via DocuSign)
- Record in Cayuse
- Forward account request to SPA

Award Acceptance – PI Role

- Forward any award notice received to aggrant@utk.edu
- PI Acknowledgment / review award
 - Scope of work
 - Project team
 - Budget
 - Terms and conditions
- Sign PI Acknowledgement, or contact Award Coordinator with any questions

Signatures & Acknowledgements

- Docusign
 - OSP
 - PI
 - Authorized Signatory
 - Copy to Business Manager
- IACUC/IRB Acknowledgement

Research Compliance

Research Compliance – OSP Role

- Work with the appropriate UT offices for review (including but not limited to)
 - Conflict of Interest (COI)
 - Responsible Conduct of Research (RCR)
 - Export Control
 - IACUC/IRB
- Verify and document requirements are met before signing/accepting award

Research Compliance – PI Role

- Ensure required forms are on file and up to date
 - Annual Outside Interests Disclosures
 - Intellectual Property Assignment
- Ensure PI and project team research training is up to date
 - CITI
 - K@TE
 - Other as provided by UT compliance office)
- Sign acknowledgment via DocuSign
- Provide OSP with IACUC/IRB approval letter (send to aggrant@utk.edu)

Outgoing Subawards

Outgoing Subawards

- OSP uses the FDP template for subawards
- Steve Spence, Subaward Coordinator - sspenc20@utk.edu

Outgoing Subawards – OSP Role

- Draft and issue subaward
- Risk Assessment
- Amendments
- Cayuse
- ESM
- FFATA

Outgoing Subawards – PI Role

- Communicate with OSP and subrecipient PI
- Confirm budget and scope of work
- Review subaward and initial/sign internal DocuSign
- Monitor subrecipient performance
- Review invoices to be sure expenses are appropriate

Outgoing Subawards – Other Role

- Business Manager – review invoices for financial compliance

Other Contracts & Agreements

NDAAs and MTAs

- Send requests to aggrant@utk.edu
- OSP will review, negotiate as necessary, and process for signature

License Agreements

- License Agreements – UTRF contact:
Tyler Newton cnewto12@vols.utk.edu

Post-Award Management

Post-Award Management – OSP Role

- Award actions, using the Award Action Form (AAF) - <https://utiasponsoredprograms.tennessee.edu/forms/>
 - Changes of PI
 - No Cost Time Extensions
 - Budget Revisions
- Progress Reports – only if
 - AOR signature required
 - OSP submission via agency portal required

Post-Award Management – PI Role

- Notify OSP of any award actions, using the AAF - <https://utiasponsoredprograms.tennessee.edu/forms/>
 - Changes of PI
 - No Cost Time Extensions
 - Budget Revisions
- Most other post-award actions are coordinated with BM or SPA
- Progress Reports

Roles and Responsibilities Matrix

Link to where it is posted

The OSP Roles and Responsibilities Matrix outlines the key stages in the lifecycle of an award, spanning from proposal submission to closeout. It delineates the primary responsibilities of the principal investigator, business manager, OSP, and SPA at each stage. This matrix offers detailed descriptions of activities within the award lifecycle, ensuring clarity in the allocation of duties throughout the process. For inquiries about the matrix, feel free to reach out to aggrant@utk.edu.

Activity	Local Level		OSP (Office of Sponsored Programs)	SPA (Sponsored Projects Accounting)	Comments
	Principal Investigator (PI)	Business Manager			
Primary					
Secondary					
Cayuse/Internal approvals					
Create Cayuse proposal			P		
Answer conflict of interest, compliance, and location of sponsored activity questions	P				
Complete Cayuse content and attachments			P		
Submit for routing			P		PI does not submit for routing
Review all elements and attachments, Certify proposal	P				All PIs, Co-PIs, and other key personnel must certify
Review all elements and attachments, Approve proposal		P	P		Department approval may be by Dept Head or Business Manager, depending on departmental procedures
Award acceptance and negotiation					
Accept/negotiate award terms and conditions	S		P		PI should forward any award notifications to aggrant@utk.edu
Obtain compliance approvals (IRB, IACUC, IBC, etc.) as required	P		S		
Obtain compliance approvals (RCR, COI, EC, etc.) as required	P		P		OSP will initiate with UT Compliance Office
Understand/disseminate award terms and conditions	S	S	P		
Finalize budgets for awards	S	S	P		
POST-AWARD / ACCOUNT MANAGEMENT (primary responsibility of BM and SPA)					

The OSP Roles and Responsibilities Matrix outlines the key stages in the lifecycle of an award, spanning from proposal submission to closeout. It delineates the primary responsibilities of the principal investigator, business manager, OSP, and SPA at each stage. This matrix offers detailed descriptions of activities within the award lifecycle, ensuring clarity in the allocation of duties throughout the process. For inquiries about the matrix, feel free to reach out to aggrant@utk.edu.

Activity	Local Level		OSP (Office of Sponsored Programs)	SPA (Sponsored Projects Accounting)	Comments
	Principal Investigator (PI)	Business Manager			
General post-award management					
Advanced Account setup	P	S		P	Requires department head approval
Account setup				P	
Budget entry				P	
Process payroll documents, check requests, POs, Pcards, travel reports to allocate charges	P	S			
Management of award and budget through research and monitoring	P	P		P	
Ledger Reconciliation	P	P			
Monitor unallowable expenses	P	P		S	SPA verifies that monthly/quarterly charges meet the budget justification and emails the business manager to request removal of unallowable expenditures.
Identify need for and request cost transfer	P	S		S	
Approve and process cost transfer		P		P	
Effort certification	P	S			
Vendor and A/P contracts	S	P			
Award actions/changes					
Identify need for and request No Cost Extension of Time (NCTE)	P	S			Via Award Action Form (AAF)
Review NCTE request, submit to sponsor (if required), and process NCTE			P	S	
Identify need for and request Change of PI	P	S			Via Award Action Form (AAF)

Questions?

Contact OSP

- General questions or correspondence - aggrant@utk.edu
- Assigned Coordinator
- Director or Assistant Directors
- <https://utiasponsoredprograms.tennessee.edu/contacts/>