

Faculty and Staff Handbook for External Funding

Developed by

The Office of Research, Grants, and Contracts (ORGC)

Division of Academic Affairs

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Introduction

Research is one of several means to promote the University's primary mission of excellence in undergraduate education. While it leads to new knowledge and understanding vitally needed in the classroom, research is an important vehicle for professional development and assists the faculty member in maintaining excellence in instruction. In addition, it provides a means for the university to attract and develop well-informed students. Faculty members are encouraged to initiate and participate in research projects to the extent allowed by limitations on available time and resources. Occasionally, staff as well as faculty will be involved in projects that are programmatic in scope, and not research in nature.

Proposals are submitted to sponsoring agencies with the understanding that it is the University that (1) commits to the completion of work; (2) designates space, human, and fiscal resources; and (3) assumes responsibility for the adequate completion of the proposed project. The University is the official entity authorized to accept grants awarded to it on behalf of a principal investigator or project director. The University is responsible and accountable to granting agencies in the proper administration of grants and must abide by established regulations, policies, and procedures (federal, state, local, and foundations) that govern grant activities and expenditures.

Principal administration and coordination of grants, contracts, and sponsored programs is vested with the Office of Research, Grants, and Contracts (ORGC) at UT Martin. The ORGC provides direction and assistance to faculty, staff, and administration interested in seeking grants from government agencies and/or the private sector in support of academic programs and related activities that relate to the mission of UT Martin. The ORGC also works cooperatively with the Development Office when contacting or pursuing funding opportunities through foundations. These individual project activities contribute to developing new knowledge, improving faculty expertise, and maintaining the vitality of quality programs of instruction, research, and service. Duties and Responsibilities of the (1) ORGC, (2) Project Director/Principal Investigator, (3) Office of Academic Affairs, (4) Department of Finance and Administration/Business Affairs, (5) and other administrative units are more fully outlined below.

The Office of Research, Grants, and Contracts (ORGC)

The mission of the Office of Research, Grants, and Contracts (ORGC) is to assist members of the campus community in pursuing and managing their research and development activities sponsored by internal and/or external agencies and organizations. The ORGC serves as the sponsored programs office for the university and functions as the designated official unit on campus responsible for reviewing and analyzing proposals before submission; reviewing all contracts, subcontracts, and amendments; preparing amended/revised budgets; reviewing and approving extensions; assisting with preparing requests to establish accounts; and monitoring contracts, subcontracts, and accounts. **All proposals, grants, and contracts must**

be submitted through the ORGC so that compliance with various sponsor, university, or other regulations and guidelines pertaining to external funding can be assured. The ORGC facilitates access to information regarding granting agency policies and procedures when and where needed. In other instances, the ORGC recommends funding agencies for specific projects. Specifically, the office is responsible for the promotion and administration of research and creative activities within the university through:

Table 1. Pre- Award Roles and Responsibilities of ORGC.

Consulting with faculty and staff regarding funding source strategies, development of research/program ideas and proposals, and critical review of proposals.
Developing proposal budgets for all externally sponsored projects to ensure compliance with University policies and sponsors guidelines.
Preparing the required “Assurances and Certifications”; application pages (SF424); budget forms (SF524, etc.).
Reviewing RFP terms and conditions and, if appropriate or necessary, prepare an exceptions letter to submit with the proposal.
Obtaining the approval of the Vice Chancellor for Development (if applicable), Vice Chancellor for Academic Affairs, Vice Chancellor for Business and Finance, and Chancellor.
Working with PI/PD to upload grants that require electronic submission.
Copying and/or forwarding the proposal package, transmittal letter, etc. to the sponsor (when applicable).
Providing support for proposal teams.
Verifying that all appropriate arrangements have been made and documented for projects involving extra space allocation, renovation, new courses, campus housing, etc.
Verifying that all required reviews have been conducted on proposals that involve hazardous materials, safety issues, conflict of interest, and debarment.
Developing and conducting a program of workshops to acquaint faculty and staff with the principles of grantsmanship (e. g., understanding the RFP, preparing budgets/budget justifications and narratives, writing goals and objectives, direct/indirect costing).
Establishing, communicating, and promoting policies and procedures consistent with federal, state, and sponsor regulations.
Coordinating workshops related to export control, conflict of interest, misconduct in research, and confidentiality.
Conducting compliance workshops related to proper use of human subjects and animal subjects in research.
Identifying appropriate funding sources for proposed projects.
Maintaining a library of successful grants from various federal and state agencies and foundations.
Maintaining records of proposal activities for periodic reporting to the Academic Leadership Council and Chancellor's staff.

Table 2. Post-Award Roles and Responsibilities of ORGC.

Receiving and processing grant awards.
Meeting with PD/PI and unit budget person to discuss the funded proposal and the grant contract.
Assisting with the T1 and other paperwork to establish accounts.
Verifying that all required reviews have been obtained for grants that involve research using animals and human subjects.
Conducting follow-up sessions with individual PD/PIs related to export control, conflict of interest, misconduct in research, and confidentiality.
Assisting PD/PIs with developing applicable subcontracts as needed (e.g., lower-tier certifications, sole-source justifications, scope of work, etc.).
Assisting with the development and processing of MTAs when applicable.
Posting awards and contracts to the UT System data base (COEUS).
Working with the project directors to revise the initial and/or amended budgets as necessary.
Exercising budgetary control of contracts and grants funds relating to fiscal compliance.
Assisting PD with calculations for pay funding changes, if necessary, and monitor PIF activity.
Approving associated human resources transactions.
Advising faculty, staff, and the administration regarding university compliance with applicable federal and state regulations concerning grants and contracts.
Serving as a liaison between grant recipients and funding agencies.
Serving as a liaison between grant recipients and university administration.
Reviewing contracts and subcontracts for compliance and completeness.
Completing specific compliance reports for the university (e. g., Allegations of Misconduct in Research, etc.).
Post award reporting of sponsored funding activity by college, department, and individual to Chancellor's staff and Academic Leadership Council.
Monitoring monthly expenditures of grants accounts for spending patterns.
Developing and conducting training on reading RO ledger, pay funding changes related to grants, direct/indirect costing principles, encumbrances, budget variances, budget revisions, effort certification.
Maintaining copies of grant proposals, award letters, budgets, and any other documentation necessary for the completion of the grant accounting tasks. All revenue and expense transactions will be accounted for in IRIS.

Renewal and extensions of grants and contracts must go through the same formal process as the initial request for funding of a grant/contract. The purpose for maintaining a central point of origination is three-fold:

1. In order for the university to have a records of requests and receipts;
2. In order to control the duplication of request efforts to the same source; and
3. To ensure that grant proposals submitted are sanctioned by the University.

The ORGC serves as the official, executive organization charged with administrative management and oversight of the operational aspects of regulatory compliance. The key areas of externally regulated issues are (1) Human Subjects in Research, (2) Animal Care and Use, (3) Scientific Misconduct, (4) OMB Circulars A-21, A-110, A-122, and A-133; (5) Export Control; (6) Material Transfer Agreements; and (7) Intellectual Property, Copyright, and Conflict of Interest.

- Human Subjects in Research (<http://ohrp.osophs.dhhs.gov>)
- Animal Care and Use (<http://www.aphis.usda.gov/ac> and/or <http://www.aalas.org>)
- Misconduct in Research and Service (<http://www.utm.edu/acadaff/fachandbook/fachbook.pdf>)
- Information on OMB Circulars (<http://www.whitehouse.gov>)
- Export Control (https://my.tennessee.edu/portal/page?_pageid=43,618777&_dad=portal&_schema=PORTAL)
- Materials Transfer Agreements (http://www.utm.edu/departments/rgc/_pdf/COGR_MTA_2003.pdf)
- Intellectual Property, Copyright, and Patents (<http://www.utm.edu/acadaff/fachandbook/fachbook.pdf>)
- Conflict of Interest <http://www.utm.edu/acadaff/fachandbook/fachbook.pdf>.

Further, the Director of ORGC acts as the Authorized Institutional Official for the University's Institutional Review Board (IRB) for the Protection of Human Subjects in Research and serves as Ex Officio member of the Institutional Animal Care and Use Committee (IACUC). The IRB and the IACUC meet monthly on a regularly scheduled, posted date to review requests for permission to conduct research involving human subjects and protocols related to animal use and care. The meeting dates are posted on the ORGC website and in the *Addenda*. An in-depth discussion of the federal policy guidelines for the UT Martin IRB committee, policies and guidelines for protection of human subjects, and the bylaws for animal use and care can be found on the ORGC website under the heading **COMPLIANCE** (www.utm.edu/rgc). Forms related to the IRB (i. e., *The Application to the UT Martin Institutional Review Board for the Protection of Human Subjects in Research, Informed Consent Statement, Minor Assent Document, and the Changes and/or Project Termination Form*) and the IACUC (*Protocol*) may also be accessed at **COMPLIANCE** on the ORGC Web site.

Overall, the ORGC serves as the primary support for all grants, contracts, and sponsored projects at UT Martin. The ORGC, therefore, works closely with academic units and other administrative units on matters related to sponsored projects as well as with the appropriate financial staff on fiscal matters. PDs should refer to the [Institutional and Fiscal Data](#) page on the ORGC website for data needed to complete proposal forms and other grant documents (e.g., DUNS number, EIN number, State and Congressional Districts, Carnegie Classification, Animal and Human Subjects Welfare Assurance numbers, F&A rate, etc.)

Project Director

For the purpose of this section, the term “Project Director/PD” and “Principal Investigator/PI” are interchangeable, and the terms “he and his” are used, in the interest of simplicity, to denote both genders. Once the Project Director (PD) determines the right fit of his ideas with a funding agency, he will need to discuss ideas with his immediate supervisor to determine feasibility and appropriateness to university mission and departmental goals and objectives. Upon consensus being reached, it is the PD’s responsibility to notify the ORGC of his intent to submit a grant proposal because in many instances a sponsoring agency will allow only one grant proposal per campus to be submitted for consideration. Several individuals/teams on campus could possibly have the same interests, but only one proposal could be submitted. The ORGC will then meet with the PD to review the RFP and the concept paper to discuss matching/cost sharing requirements, availability of space, personnel issues, and proposal guidelines. Then, the PD will develop the formal proposal. If requested, the ORGC will assist the PD with proposal development. The PD **must** work with the ORGC Grants Business Manager to develop the budget and budget narrative according to the ORGC template.

The PD will complete the *Internal Coordination Sheet* and append a copy of the proposal and final budget and budget narrative to be submitted to the ORGC with appropriate signatures through the Human Resources level. The ORGC will then review the proposal package and submit the package for other appropriate signatures (i.e., vice chancellor for development (if applicable), appropriate divisional vice chancellor (academic affairs and student affairs), vice chancellor for finance and administration, and chancellor). Table 3 below provides a snapshot of the pre- and post-award duties and responsibilities of the Project Director.

Given sufficient lead time, the ORGC is available to assist the PD with all phases of the grant writing process (e.g., needs assessment/analysis, letters of support/commitment, editing, required assurances/forms, etc.). Unless previously arranged with the ORGC, the PD is responsible for photocopying and mailing the complete grant package. All grant proposals requiring electronic submission must be sectioned as noted in the application guidelines and come through the ORGC for submission. **Since several offices are involved in the approval process, completed grant proposals are due in the ORGC seven (7) working days before the due date.**

Table 3. Pre- and Post-Award Duties/Responsibilities of PD.

Pre-Award	Post-Award
<ul style="list-style-type: none"> ➤ Identify funding opportunities compliant with project goals and objectives and the goals and objectives of the department, college, or unit. ➤ Inform ORGC of intent to submit a grant proposal to specific sponsor 	<ul style="list-style-type: none"> ➤ Notify appropriate university offices of notification from sponsor ➤ Make appointment with ORGC to discuss stipulations of contract (e. g., reporting requirements, cost sharing/match requirements, press

<ul style="list-style-type: none"> ➤ Identify and contact external partners (when applicable to program guidelines) ➤ Research and write proposals ➤ Develop project plans consistent with the mission of the submitting department, college, center, or unit. ➤ Transmit the proposal, with a completed and signed <i>Internal Coordination Sheet (ICS)</i> to the Department Chair(s) and Dean(s) for consideration and signatures. NOTE: The Department Chair and Dean of all participants must sign off on the ICS ➤ Secure signature of the Director of Human Resources, if applicable ➤ Initiate appropriate regulatory compliance requirements (e. g., <i>IRB</i>, <i>Animal</i>, Hazardous Materials, Safety) ➤ Prepare the required number of copies; ➤ Prepare a transmittal letter to the sponsoring agency; ➤ Forward the proposal package, transmittal letter, etc. to the sponsor; ➤ Work with ORGC to upload grants that require electronic submission 	<p>releases, etc.)</p> <ul style="list-style-type: none"> ➤ Generate <i>Contract Review and Approval Sheet</i> for appropriate signatures ➤ Contact Office of Business Affairs to begin contract negotiations ➤ If applicable, complete forms to establish advance account for project ➤ Work with Business Manager of ORGC to generate T1 to establish account ➤ Work with HR to hire staff (if applicable) ➤ Work with Business Manager of ORGC to generate PIFs ➤ Work with Business Affairs to purchase necessary equipment (if applicable) ➤ Oversee monthly accounting procedures ➤ Initiate and complete required sponsor reports ➤ Work with ORGC and Business Affairs to submit amendments to grant contract (if applicable) ➤ Work with ORGC to prepare amended and/or revised budgets ➤ Work with ORGC for program extensions ➤ Work with Business Affairs for final accounting and close out of grant
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Once a project is funded, the PD is responsible for the implementation and management of the project, including budget, in accordance with the requirements of the agency and the university. Management will include completion of required reports and performance reviews in a timely fashion. Copies of these reports should be given to the department chair and the dean, and **must** be given to the ORGC before submission.

During the performance period of a project, the PD is responsible for the initiation of the proper and correct documentation for all grant/contract transactions. Purchasing rules and regulations established by the State Systems and the University must be adhered to for the procurement of supplies, services, and other charges as allowed under the terms of the grant/contract. Likewise, in employing personnel for a project, established university rules will govern the hiring process. Travel utilizing grant/contract funds must adhere to the same conditions as general university travel rules and regulations. The PD should consult the ORGC or other appropriate university offices (i. e., Human Resources, Business Affairs, etc.) for detailed rules, regulations,

procedures, and guidelines. These policies can be found at <http://www.tennessee.edu/policy>, through the Business Affairs web site at <http://www.utm.edu/departments/finadmin/businessaffairs>, and through the ORGC web site at www.utm.edu/rgc. The ORGC will provide an orientation of policies and procedures related to external sponsored funding to new PDs (e.g., General Pre-Award information, Direct and Indirect Costing Principles, Financial Compliance, General Post-Award Information). Representatives from Business Affairs and Human Resources will orient the PD to other general policies and procedures (e.g., completing the travel authorization/reimbursement forms, preparing/completing contracts, IRIS access and use, hiring program staff, completing PIFs, etc.).

Changes in the grant period for scope of work, budget amendments, no-cost extensions, supplemental cost extensions, etc., **must** be initiated by the PD. The Business Manager in the ORGC will work closely with the PD to prepare these items. All such changes must be approved by the ORGC, and in some instances, Business Affairs, before submission to the funding agency by the PD. The ORGC will contact the sponsoring agency in the event a PD is no longer able to fulfill the roles and responsibilities of the grant (i. e., termination, major illness, death, inability to do the work) to secure permission to assign a new PD to the project. For any other reason, the PD must agree to being relieved of duties and responsibilities associated with a grant. A PD cannot be arbitrarily replaced without the University first securing permission from the sponsor.

Academic Affairs

The content and conduct of research and program operations are the responsibility of the faculty and staff members involved. It is the corresponding responsibility of the administration at all levels to exercise strong leadership in encouraging, assisting, recognizing, and rewarding interest and involvement in externally sponsored programs. Roles and responsibilities of administration in sponsored funding are more fully delineated in the UT System Policies FI0205 (https://my.tennessee.edu/portal/page?_pageid=34,140536&_dad=portal&_schema=PORTAL), in EDGAR (<http://www.ed.gov/policy/fund/reg/edgarReg/edgar.html>) and in the OMB Circulars (www.whitehouse.gov). Table 4 below summarizes these roles and responsibilities for UT Martin.

Table 4. Responsibilities of Academic Affairs in Sponsored Funding Activities.

Person/Office	Responsibility
Department Chair	<p>Pre-Award</p> <ul style="list-style-type: none"> ➤ Reviews proposal for consistency with department's strategic goals and objectives. ➤ Reviews proposal for all departmental commitments to the project (e.g., time, space, equipment, clerical assistance, etc.). ➤ Assures that all faculty and department obligations will be met.

	<ul style="list-style-type: none"> ➤ Indicates concurrence with the proposal by signing the ICS, including any cost-sharing or matching agreements noted on the ICS or in the proposal itself. <p>Post-Award</p> <ul style="list-style-type: none"> ➤ Reviews contract for consistency with what was submitted in the proposal. ➤ Indicates concurrence with contract by signing the Contract Review and Approval Sheet. ➤ Approves program expenditures through IRIS. ➤ Works with PD to assure progress toward goals and objectives of project. ➤ Assures that departmental secretary works with ORGC Business Manager to prepare PIFs.
<p>Dean or Director – College, Center, or Unit</p>	<p>Pre-Award</p> <ul style="list-style-type: none"> ➤ Reviews proposal for consistency with college, center, or unit missions, availability and commitment of college, center, or unit support services, including time commitments, space allocation, and financial support. ➤ Assures that all department and college, center, or unit obligations, as delineated in the proposal, will be met. ➤ Indicates concurrence with the proposal by signing the ICS, including any cost-sharing or matching agreements noted on the ICS or in the proposal itself. ➤ Forwards the proposal package to the Office of Research, Grants, and Contracts. <p>Post-Award</p> <ul style="list-style-type: none"> ➤ Reviews contract for consistency with what was submitted in the proposal. ➤ Indicates concurrence with contract by signing the Contract Review and Approval Sheet. ➤ Works with PD to assure progress toward goals and objectives of project. ➤ Assure that PDs, Department Chairs, Departmental secretarial staff, and college business/budget managers receive appropriate training on sponsored funding fiscal policies and procedures. ➤ Assure that all staff working with externally sponsored projects, including Department Chairs, receive appropriate training on sponsored funding compliance issues (i.e., Intellectual Property, Conflict of Interest, Misconduct of Research and Service, IRB, IACUC, Export Control).

<p>Provost and Vice Chancellor for Academic Affairs (VCAA)</p>	<p>Pre-Award</p> <ul style="list-style-type: none"> ➤ Reviews special institutional commitments such as waivers of tuition and/or Facilities and Administrative costs. ➤ Works with department chairs and deans regarding release time and dollars committed to the project. ➤ Works with ORGC, deans, department chairs, and Vice Chancellor for Finance and Administration on matters concerning probable subcontracts. ➤ Works with the VCFA to assure space allocations, any necessary renovations, personnel, facilities, operating expenses, office furnishings, and/or equipment, not covered by the sponsoring agency, are available. <p>Post-Award</p> <ul style="list-style-type: none"> ➤ Reviews sponsor contract, any subcontracts, and any amendments. ➤ Indicates concurrence with contract by signing the Contract Review and Approval Sheet.
<p>Chancellor</p>	<p>Pre-Award</p> <ul style="list-style-type: none"> ➤ Indicates concurrence with the proposal by signing the ICS. ➤ Provide letters of commitment and support for sponsored projects. ➤ Provide insight into the role of sponsored programs in enhancing the University's mission and image. ➤ Seeks and shares information with legislators, community members, business leaders, alumni, and higher education leaders concerning sponsored program activities that the University interested in or committed to. <p>Post-Award</p> <ul style="list-style-type: none"> ➤ With some grants, serves as the University's official who is notified of awards. ➤ Shares information with legislators, community members, business leaders, alumni, and higher education leaders concerning sponsored program activities at UT Martin. ➤ Serves as Chief Executive Officer for all allegations of Misconduct of Research and Service.

Finance and Administration

The Office of Business Affairs is designated as the official office responsible for coordinating and conducting sponsored agreement negotiations. This entails a team relationship between and among the following individuals and offices: PD; appropriate department chair, dean, or director; the Director of ORGC; the appropriate Vice Chancellors; UT System Counsel (if applicable); and the sponsor's designated negotiator. Table 5 below provides an overview of the responsibilities of Finance and Administration in the sponsored funding activities.

Table 5. Responsibilities of Finance and Administration in Sponsored Funding Activities.

Person/Office	Responsibility
Vice Chancellor for Finance and Administration (VCFA)	<p>Pre-Award</p> <ul style="list-style-type: none"> ➤ Indicate concurrence with the proposal by signing the ICS. ➤ Serve as the Authorized Signator for proposals to sponsoring agencies. ➤ Review and approve, if applicable, waiver of tuition and/or F&A costs. ➤ Work with PD, department chairs, deans, and non-academic units on proposals that require cost sharing, match, use of space and facilities. ➤ Provide letters of commitment and/or support for proposals as requested by some sponsors. <p>Post-Award</p> <ul style="list-style-type: none"> ➤ Has legal authorization for commitments of the University in contractual agreements on sponsored projects. ➤ As the University's facilities officer, work with the Provost and VCAA, the PD, the deans, and the Director of Physical Plant on acquisition of space needed to satisfy the scope of work in grant proposals, as needed. ➤ Accommodates and/or approves visits from external auditors, program officers, or program representatives, prior to the visit ➤ Reviews sponsor contract, any subcontracts, and any amendments. ➤ Indicates concurrence with contract by signing the Contract Review and Approval Sheet.
Business Affairs	<p>Pre-Award</p> <ul style="list-style-type: none"> ➤ Work with VCAA, PD, and deans on matters pertaining to required matching and/or cost sharing

	<p>on grant proposals with “large-ticket items” (i.e., equipment, space, services, property, etc.).</p> <ul style="list-style-type: none"> ➤ Work with ORGC Business Manager, PD, and Director of ORGC to develop budgets for sponsored programs. ➤ Review budget and budget narratives <p>Post-Award</p> <ul style="list-style-type: none"> ➤ Develop and deliver training modules related to sponsored funding (e.g., completing contracts and subcontracts, travel reimbursements, budget revisions, purchasing, transfer vouchers, etc.). ➤ Review and negotiate contracts arising out of funding from external sponsoring agencies. ➤ Work with PD and ORGC to develop contracts, subcontracts, and MOUs. ➤ Establish restricted accounts for funds from sponsoring agencies. ➤ Record and distribute F&A. ➤ Close out accounts. ➤ Journal voucher match or cost sharing. ➤ Initiate and post all budget revisions. ➤ Provide copies of all T1's, contracts, budget revisions to ORGC Business Manager. ➤ Initiate all audits required by granting agencies. ➤ Draw down federal funds through the federal governments’ cash management system and invoice other grantors for reimbursement of expenditures, as necessary. ➤ Prepare and submit invoices and financial reports as per guidelines of sponsoring agencies.
<p>Human Resources</p>	<p>Pre-Award</p> <ul style="list-style-type: none"> ➤ Work with PD to establish position descriptions and salary ranges for new hires on sponsored projects ➤ Indicate concurrence with the proposal by signing the ICS, when necessary <p>Post-Award</p> <ul style="list-style-type: none"> ➤ Work with PD to prepare and post position announcements, as needed ➤ Process new hires ➤ Monitor certification of time and effort

Sponsored agreements must be fully read and evaluated for accuracy, the correct application of institutional cost sharing and F&A costs, and other commitments before

acceptance. This effort takes time, and often delays are created by external factors. The PD initiates a Contract Review and Approval Sheet. The original and one (1) copy of the [Contract Review and Approval Sheet \(CRAS\)](#) along with the original and a minimum of five (5) copies of the contract are submitted for appropriate signatures. After the negotiation stage, the Vice Chancellor for Finance and Administration will sign off as Chief Financial Officer, and then Business Affairs will mail the contract to the sponsor. The PD then works with the Business Manager of ORGC to initiate a [Restricted Budget Form T-1](#) for appropriate signatures (PD, Department Chair, Dean, ORGC, and VCFA) to Business Affairs to establish an account for the project.

Once a grant or contract is awarded to the University for a specific project/program, the Office of Business Affairs assists by establishing the restricted grant account. The ORGC provides internal monitoring for the PD to assure (a) compliance with current federal and state fiscal policies, (b) certification of time and effort, and (c) timely, appropriate budget activities. In the event the PD finds cause to amend a sponsored project (e.g., re-budgeting requests, scope of work changes, etc.), he should draft the request and route it through the ORGC and the Office of Business Affairs for review and signatures prior to sending it to the sponsor. **The Director of ORGC is a Reviewer of all Personnel Information Forms (PIF) related to a sponsored program.**

More information about the fiscal policy and procedures for grants and contracts as well as the forms required may be found on the UT Martin Web page <http://www.edu/admin.html> listed under Administration, Division of Finance and Administration, Division of Business Affairs, Fiscal Policies, Section 010 – Grants & Contracts.

The Office of Development

Faculty and staff must work with the Development Office to coordinate contacts with the private sector (businesses, corporations, foundations, and individuals) for funding specified as **gifts** to the University (731.881.7620 or at their web address of <http://www.utm.edu/alumni.html>). When faculty and staff are considering submitting a proposal to a non-governmental funding source wherein a contract will be issued upon approval of funding, they **must** submit the proposal through the ORGC.

There is a difference between a gift and a grant. A **gift** is a contribution which does not require the delivery of a product, service, or technical report. Gifts may be restricted or unrestricted. Unrestricted gifts may be used for university purposes. Restricted gifts are limited by the donor for use by certain units, individuals, or for specific purposes. **Grants and contracts** require the University to deliver a product, service, or technical/financial report to the sponsor. Requests for Proposals (RFPs) specify various conditions. Grants and contracts are awarded directly to the University. For further discussion, contact the Office of Development and/or the ORGC.

The Office of University Relations

The Office of University Relations (731.881.7615 or www.utm.edu/admin.html) is the official conduit for **all** news releases, interviews, publications, or announcements regarding faculty research, contracts, grants, and fellowships. Requests for information from the media should be directed to the Office of University Relations before a response is offered. The ORGC will work with the PD and the Office of University Relations to prepare news releases, publications, and/or announcements, as needed.

Vice Chancellors

Vice Chancellors review grant proposals for external funding arising within or affecting their administrative areas and affirm that they are in keeping with University plans and programs and availability of facilities, staff, equipment, and supporting services. The appropriate vice chancellor signs the Internal Coordination Sheet before the grant proposal leaves campus and the Contract Review and Approval Sheet once the grant is awarded.

Equity and Diversity Officer

The Equity and Diversity Officer coordinates all non-discrimination compliance activities with agencies of the federal government. Information concerning the University's compliance with EEO/AA may be found at www.utm.edu/admin.html.

OVERVIEW OF GRANT SEEKING AND GRANT MANAGEMENT AT UT MARTIN



Definitions of Terms

Award: Financial assistance that provides support of stimulation to accomplish a public purpose. This includes grants and other agreements in the form of money or parity, in lieu of money by the agency to an eligible recipient. This does not include technical assistance, loans, loan guarantees, interest subsidies, or insurance.

Budget Period: The interval of time (usually 12 months) into which the project period is divided for budgetary and reporting purposes.

Contract: A procurement contract under an award or subaward. A contract is required any time a funding agency agrees to provide funds to the university in exchange for a product or service. Contracts must be reviewed for legality and approved by the university's Vice Chancellor for Finance and Administration. In some cases, the signatures of the university legal counsel and the attorney general for the State of Tennessee area also required. For this reason, all proposed contracts need to be submitted to the Office of the Vice Chancellor for Finance and Administration with sufficient lead-time to provide for the required reviews and approvals prior to the effective date on the contract.

Cost Sharing/Matching Requirements. This is the portion of the allowable project costs not borne by the sponsor. This includes the value of in-kind contributions and may be in the form of time and effort of personnel working on the project, cash dollars, or other costs towards the total project expenses. Sponsoring agencies usually require a cost share or a match in varying amounts. The Program Guidelines and Application will provide this information. The Project Director/Principal Investigator will need to discuss any cost sharing/match requirements with his/her department chair and/or dean prior to writing the proposal. All cost sharing/match requirements must be noted on the Internal Coordination Sheet with an explanation of where these are coming from.

Direct Costs: Allowable costs incident to the performance of a sponsored agreement. (For complete discussion of Factors Affecting Allowability of Costs, see <http://www.whitehouse.gov/omb/circulars>). See UT Fiscal Policies on grants and contracts (F10205) for further discussion (<http://www.tennessee.edu/policies>). These are costs **directly** related to the tenure of the project. These are divided into personnel (salaries, wages, consultant fees, fringe benefits) and non-personnel (equipment, supplies, travel, publication charges). Space and utilities may be listed as either Direct Costs or Indirect Costs, depending upon what is allowed by the sponsoring agency.

Facilities and Administrative Costs (indirect): Costs that are incurred for common or joint objectives and, therefore, cannot be identified readily and specifically with a particular sponsored project, an instructional activity, or any other institutional activity (OMB A-21). See UT Fiscal Policies on grants and contracts (F10205) for further discussion (<http://www.tennessee.edu/policies>). Sponsors allow a calculated percentage of the direct costs to be added to the budget request. The indirect cost rate represents the ratio between total indirect costs and benefiting direct costs. Organizations regularly receiving federal grants have an approved federal indirect cost rate that is included in the budgets of federal proposals. Indirect costs are divided into two (2) categories: (1) **Facilities** – depreciation and use allowances on building, equipment and capital improvement, interest on debt associated with certain building, equipment and capital improvements, and operational and maintenance expenses; (2) **Administration** – general administration and general expenses (e. g., directors' office, accounting, library, other items not specifically listed under "facilities"). **Foundations**

usually use the term “administrative costs” rather than indirect costs. **Corporations** use the term “overhead” to mean indirect costs.

As of July 1, 2006, The University of Tennessee at Martin has a negotiated rate through June 30, 2009, with our cognizant agency, Department of Health and Human Services, of 44.0% for on-campus activities and 16.1% for off-campus activities. This rate is figured on salaries and wages including vacation, holiday, sick pay and other paid absences but excluding all other fringe benefits. Grants and contracts will not be subject to more than one F&A cost rate. If more than 50% of a project is performed off-campus, the off-campus rate will apply to the entire project.

Funding Period: The period when funding is available for obligation by the recipient. In many cases, especially with multi-year awards, this time period is not the same as the budget period.

Grant: The award by the Secretary (of an agency) of funds to an eligible organization or individual to assist in meeting the costs of conducting, for the benefit of the public, an identified project that is intended and designed to accomplish the purpose of the program as identified in the guidelines (of the agency – specified program).

Project: The particular activity within the scope of the program supported by the grant award.

Project Director/Principal Investigator: In most instances the Project Director and the Principal Investigator (PD/PI) will be the same person. This is the single individual designated by the grantee in the grant application and approved by the Secretary (of the agency) who is responsible for the direction and management of the project. This may be any person who is personally and professionally qualified to conduct the project determined by the submitting college, center, school, or unit for whom the submitting component will assume full responsibility consistent with other obligations it assumes when transmitting this proposal (UT Policy FI0205). This person must be an employee with UT Martin during the project period. Graduate students may not serve as the PD for any grants.

Project period: The period, as stated in the award document and modifications, if any, during which sponsorship begins and ends.

Recipient: An organization receiving financial assistance from the agency to carry out a project or program.

Sponsored Research: Sponsored research is any project supported by external funds received by the University as a result of some communication such as a letter, application, or other written proposal approved and submitted by an authorized University official. Additional characteristics of sponsored research **are:** restrictions on use of funds; limitations on the use of project data, inventions, and other products; published application guidelines or procedures; specified staff performances and/or project objectives; other reports. The following **are not** considered sponsored research:

faculty fellowships, gifts and bequests to the University, student financial aid, and general solicitations resulting in funds collected by the University's Office of Development.

Proposal Preparation and Submission

Solicited Grant Proposals

Federal agencies generally provide guidelines that describe the procedures to follow in preparing a proposal for funding under a specific program. Included in the guidelines are such things as:

- Deadline date for submission of the proposal and intergovernmental review, if applicable
- Total funds available for awards; approximate number of awards to be made; range of award amounts
- Eligible applicants
- Program priorities
- Review/selection criteria
- Required proposal components
- Procedures for submitting the proposal (number of copies, mailing/delivery information)
- Point of contact the agency for additional information



Unsolicited Grant Proposals

Proposals for which no formal announcement or request for proposals has been made by the potential funding agency are considered unsolicited. **The university procedure for submission of such proposals is the same as for solicited proposals.** There are usually no formal proposal guidelines that must be followed. If the agency does not provide a set of guidelines, then it is suggested that the proposer review the Basic Components of a Proposal found in the [Toolkit](#).

Foundations and the Private Sector

The annual reports of foundations and corporations usually include information on their grants activities and instructions for making application for funding. Otherwise, application procedures are available upon request. The director of ORGC will work in cooperation with the Office of Development prior to making contact with any foundations and/or private agencies for grant requests. Grant requests to foundations and business and industry **must** follow the same procedures as does grant requests to federal and state agencies.

Steps in Proposal Development

Basic steps in the development of a proposal are as follows:

1. Initial Idea. Discuss the solicitation/concept with appropriate supervisor to determine feasibility with respect to the department/university program plans.
2. Intent to submit. Communicate with the ORGC as soon as the decision is made to respond to an RFP. Some agencies allow only one submission per program per institution. Also, the PI may need to be registered with the submission venue.
3. Budget Review. Review of the budget in the early stages of the development of the proposal with the director of the ORGC and/or the Business Manager for the ORGC will ensure that the proposal budget includes proper fringe benefits and F&A cost rates, follows a standard format, and is otherwise in order.
4. Proposal. Develop the full proposal in keeping with guidelines provided by the funding agency.
5. Internal Approvals. Complete UT Martin Internal Coordination Sheet (ICS), securing appropriate signatures up to the Director of ORGC level, and submit along with a complete copy of the proposal, including the budget and budget justification, to the ORGC. The ORGC will serve as the final internal reviewer, checking proposals for content per agency guidelines, clarity, etc. The ORGC will secure the required final signatures and provide a copy of the completed ICS to the Project Director.
6. Proposals with established deadlines should be submitted in final form to the ORGC a minimum of seven (7) working days prior to the published deadline.

Proposal Format

Most funding agencies provide guidelines and format for the submission of a proposal. When such is not provided, a complete proposal would include the following:

1. Title page
2. Abstract
3. Table of Contents, List of Tables, and List of Figures
4. Proposal Summary
5. Introduction of Organization
6. Problem Statement/Needs Assessment
7. Goals and Objectives
8. Methods or Design
9. Evaluation
10. Future or Other Necessary Funding
11. Budget, Narrative, Justification

An in-depth discussion of the proposal items above is located in the [Grant Writing Tool Kit](#).

Proposal Submission

Proposal submission occurs either electronically (e. g., email attachment, grants.gov, Fastlane, eCommons, etc.) or hard copy. **The sponsor's guidelines will indicate the required mode of submission.** The completed proposals along with all required attachments (e. g., Internal Coordination Sheet, budget forms, narratives/justifications, cover sheets, SF424, SF424A and B, Assurances, any exception letters, letters of support and commitment, etc.) must be routed in sufficient time to secure required signatures.

If the grant proposal is to be submitted electronically, the PD must send/bring the grant proposal (formatted to the sponsor's requirements) to the ORGC to be uploaded and work with the ORGC to format the proposal package according to the sponsor's requirements. Electronic submissions are not necessarily quicker. They often require time to account for technological glitches and delays. Please take this into account when you are planning your writing schedule.

If requested by the Project Director, the ORGC will mail out the completed proposal package, if applicable, only after the Project Director provides the required number of copies.

After the proposal package is submitted, the ORGC will contact Tennessee's U.S. senators and representatives for letters of support for the proposed project. These legislators provide letters directly to the sponsoring agencies and send copies to the ORGC.

General Information

Faculty Released Time

A faculty member may secure administrative approval to be released from some scheduled duties to provide time for research, public service, or related professional activities. Before the beginning of the academic year, the department chair and respective dean reviews anticipated faculty workloads to determine commitments for teaching, research, and public service activities. Released time may be arranged following negotiation between all concerned parties, provided that satisfactory arrangements are also made to assure that all assigned teaching duties are performed to the satisfaction of the faculty members of the department concerned.

UT Research Foundation

The University of Tennessee Research Foundation (UTRF), a non-profit organization, assists faculty and staff members in development and management of

patents. Information concerning the UT Research Foundation may be obtained from the UTRF website (<http://utr.f.tennessee.edu>).

Post-Award

Notification of Award

Formal notices of award come in a variety of forms. In some instances, the sponsor will contact the U. S. senators' offices, who in turn contact the chancellor about the award. In other instances, the sponsor will contact the Vice Chancellor for Finance and Administration and the Project Director with notice of the award. Lastly, the sponsor will inform the Director of the ORGC of the award. As soon as the PD is notified of award, he should contact the ORGC to begin processing the award.

In the event that the proposal is denied funding, the PD should request the reviewer's comments and forward a copy of the comments to the ORGC. These comments will be helpful in the event the PD decides to resubmit the proposal or submit the proposal to a different sponsor.

Contracts

When the PD receives a contract package, he should notify the ORGC to begin the process of negotiating the contract and establishing the account for the award. The ORGC will schedule a meeting with the PD and the department chair to go over the contract for schedules of reports and invoicing, the budget that was submitted with the proposal, and the scope of work. The PD completes a [Contract Review and Approval Sheet \(CRAS\)](#), attaches the contract and required documents as per the contract, and signs the front of the CRAS and initials appropriately on the back of the CRAS. The PD then secures the department chair's and the dean's signatures and routes the contract package to the ORGC for review. The Director of the ORGC sends the complete contract package to the appropriate vice chancellor for signature, and then to the Office of Business Affairs. Other than the Chancellor, the university-authorizing official (Vice Chancellor for Finance and Administration) is the only person who can officially accept funding awards on behalf of the university.

Establishing Accounts

The PD can initiate a [T1](#) to establish an account at three times: (1) upon receipt of the award notification, (2) when the contract package is being routed for signatures or (3) when the fully executed contract is returned to campus. In some instances, the ORGC grants business manager will work with the PD to prepare the T1. Some agencies will allow expenditures for a specified amount, 30 to 90 days before the official start of the project. Fiscal policy allows an advanced account to be established, with the understanding that, if the award is de-funded before the project begins, the department will be responsible for all expenditures. UT Martin discourages this practice ([FI 0205, http://controller.tennessee.edu/pdf/WBS.pdf](http://controller.tennessee.edu/pdf/WBS.pdf)).

Grant Closeout

Grant or other agreement closeout is the process by which the sponsoring agency determines that the university and the sponsoring agency have completed all applicable administrative actions and required work of the agreement. The completion date is the date on which all work under grants and other agreements is completed or the date on the award document, or amendment, on which sponsorship ends. Each grant should be closed out as promptly as feasible after the expiration date.

Technical Closeout

The university is obligated to satisfy the established closeout procedures required by each sponsoring agency. PDs must submit to the ORGC the following items by the project completion date or as soon thereafter as possible in order to meet closeout requirements and procedures:

1. Copy of the Final narrative, technical/performance report on the project.
2. Copy of Reprints of all technical publications.
3. An application for all inventions, copyrights, patents. PDs must work with the UT Research Foundation on disclosures of inventions, copyrights, and patents.
4. Official copies of inventory report and final disposition of property from sponsoring agency.
5. Any other documents/materials required by the sponsoring agency.

Fiscal Closeout

In preparation for the closeout date of a grant/contract, the PD should prepare and submit all requisitions and anticipated financial transactions at least two (2) weeks prior to the expiration date. Where necessary, a conference can be held with Purchasing to encumber funds. The Grant Accounting Office will prepare and submit to the sponsoring agency the final financial report, providing a copy for the PD and the ORGC.

Audits

Audits, external and internal, will be conducted as deemed necessary by the university and the sponsoring agency. UT Martin is covered by the annual audit of the University of Tennessee System. This audit is performed by the State Auditor, as set out in the Tennessee Code, Annotated. UT Martin is required to respond to any audit findings by the State Auditor. If a granting agency should require a more in-depth review and/or audit above the current university-wide audit, then arrangements will be made through the Office of Business Affairs.